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		Version:	2.0
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Document Title: Network Banking End to End Reconciliation Reporting

Document Type: Reconciliation Report Specification (AIS)

Release: N/A

Abstract: This document specifies the reconciliation report output to satisfy the end to end reconciliation of the Network Banking Stream

Document Status: APPROVED

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0.0 Document Control

0.1 Document History

Version No.	Date	Reason for Issue	Associated CP/PinICL
0.1	06/06/01	First draft for review	
0.2	20/06/01	Second draft for review following POL discussion workshop and other comments from reviewers.	
0.3	02/08/01	Third draft for review following POL discussion workshop and other comments from reviewers.	
0.4	27/09/01	Fourth draft for review following POL discussion workshop and other comments from reviewers.	
0.5	03/12/01	Fifth draft for review following POL discussion workshop and other comments from reviewers.	
1.0	19/12/01	Fifth draft for approval following POL discussion workshop and other comments from reviewers.	
2.0	21/01/02	Final for approval inclusion of new section 5	

0.2 Approval Authorities

Name	Position	Signature	Date
John Pope	ICL Pathway		
Sue Harding	PON / BDA		
Clive Reed	PON / TDA		

0.3 Associated Documents

Reference	Version	Date	Title	Source
NB/SPE/002			Network Banking DRS On-line Workstation Specification	ICL Pathway PVCS
NB/SDS/004			System Design Specification for Network Banking Reconciliation	ICL Pathway PVCS
CR/SPE/028			Network Banking – Transaction States and Data Flows	ICL Pathway PVCS
NB/PRO/002			Network Banking Reconciliation & Incident Management	ICL Pathway PVCS

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

0.4 Abbreviations/Definitions

Abbreviation	Definition
Authorised Client Transaction Awaiting Confirmation (ACTAC)	From a 'Client' perspective, a transaction that has been authorised but within the NBE has not yet been matched with the Counter Confirmation. This signifies projected settlement awaiting the Confirmed Client Transaction. From a system perspective, an 'S' transaction.
Column Date	For Reports NB101a and NB101b the Reconciliation Date applicable to each column of the reports.
Confirmed Client Transaction (CCT)	From a 'Client' perspective, a transaction that has been authorised to either debit or credit an account. From a system perspective, a 'C4' transaction.
Counter Confirmations	From an outlet / PON perspective, a successfully completed transaction at the counter. From a system perspective, a 'C12' transaction.
Exceptioned Client Transaction (ECT)	From a Client perspective, a transaction reconciliation difference highlighted within the NBE and notified to Horizon. From a system perspective, a 'D' transaction.
Exception Types	Within all reports the 'Exceptions' category will include: • 'Incomplete States', i.e. those transactions where one or more transaction component is missing – a C4 without a C12 etc • Genuine exceptions where transaction components belonging to the same high level transaction have been exceptioned, i.e. C12 (amount) not = to C4 (amount) etc. • NBE / DRS corruption's
'New' Transactions	Transactions that have had a change of state since they were last reported, or have never been reported except in NB102 section 6. Note that if a transaction appears in NB012 section 6 it is future dated as is reported in that section for information only. Once future dated transactions become current dated, they must be reported as though they have not appeared on the reports before.
'Old' Transactions	Transactions that have NOT had a change of state since they were last reported.
Reconciliation Date	The Reconciliation Date is the date attributed to a transaction to allow PON to reconcile. It will be set the first available Bank Settlement date from the transaction elements (C112, C12, C4, S & D) that make up a Network Banking transaction. If no Bank Settlement date is available, the Reconciliation Date will be set to the processing date that the Data Reconciliation Service first recorded any element of the transaction being received. If a Settlement date subsequently becomes available, the first available Bank Settlement date will replace the processing date. However, once a transaction has been accounted for on the reconciliation reports, the Reconciliation Date will never change.
Routing_Gateway	This refers to the Routing_Gateway as defined in Network Banking – Transaction States and Data Flows (CR/SPE/028)

Run Date	This is the System Processing Date for which the report refers, i.e. all transaction components processed by the DRS on System Processing Date dd/mm/yyyy are accounted for on this report.
Settlement Date	Settlement Date is often the same as Run Date but some Financial Institutions will assign a Settlement Date in the future: e.g. the following Monday may be set on transactions processed on the preceding Friday, Saturday and Sunday.
TIP Transactions	From an outlet / POL perspective, a transaction that has been sent from TPS to POL TIP. From a system perspective, a 'C112' transaction.
CAP	Cash Account Period
CBDB	Counters Business Data Base (POL)
CS	Customer Service (ICL Pathway)
DRS	Data Reconciliation Service
EPOSS	Electronic Point Of Sale Service
MSU	Management Support Unit (ICL Pathway)
POL	Post Office Limited
TIP	Transaction Information Processing (POL)
TPS	Transaction Processing Service

0.5 Changes in this Version

Version	Changes
0.2	Changes to report layouts and format following discussions with POL & inclusion of revised state table.
0.3	Changes to report layouts and format following discussions with POL & inclusion of revised state table.
0.4	• Clarification provided following review comments from POL. Major revision of NB101a data definition to explain both in a business and technical sense the progression of transaction components throughout the reporting cycle. The final reconciliation and settlement in accordance with the requirements has not been amended. • Inclusion of Incomplete State and Exception state matrices to identify report population for specific error types. Section 3.1.4.14 / 15. • C2 transaction components have now been renamed C12. • Revised System State Table
0.5	• C1 transaction components have now been renamed C112 • Revised System State Table – now section 5 • New sections, 11 & 12 added to NB102 to allow for Future Dated Transactions • Transaction flow diagram removed from section 1 • New R.A.C diagram included as section 4 • Definition of 'Today' removed from document. • Definition of 'New', 'Old' and 'Settlement Date' included in document. • Removal of exception states E15 – E19 from all reports following revision to State Table. • New fields inserted into NB102 series reports & revision of format of cleared reports (sections 7 – 10) • Incomplete and Exception state amendments to some reports where inconsistencies were evident.
1.0	• Re-ordering of NB102 sections • Review following detailed check of system states • New sub total lines included in NB100a and NB100b • Detailed rules added to NB103 • Discrepancy reason codes added to NB102
1.1	• New Section 5 included identifying reported values in accordance with system states. Appropriate report rules point to this new section

0.6 Changes Expected

Changes
No further changes expected

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0.7 Table of Contents

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1.0 Introduction

This document has been compiled to specify all ICL Pathway outputs from the Data Reconciliation Service (DRS) to enable a generic end to end reconciliation of Network Banking transaction processing.

All reports specified are required to ensure client transactions, counter confirmations and Network Banking EPOSS (TIP) transactions sent to POL / TIP are completely reconciled and any exceptions are identified and resolved.

Section 4 identifies the transaction flows within the Network Banking model.

2.0 Scope

This document defines the format and content of all reconciliation reports, which satisfy the Network Banking reconciliation requirement. It does not attempt to define within the operating systems, including the Network Banking Engine, (NBE) how the transactions are processed.

The following Network Banking requirements are satisfied by this document:
- Reconciliation: [NBR0040], [NBR0042], [NBR0183], [NBR0212], [NBR0227], [NBR0229], [NBR0278], [NBR0294], [NBR0389].
- Settlement: [NBR0230], [NBR0456].
- Error Resolution: [NBR0260]

It is assumed that each of the PON clients, as dictated by Routing_Gateway (assumed to be at this point the Banks / LINK) will require a separate reconciliation report set.

Within this report set, separate reports will be provided as per the following table:

Report Number	Deposit Transactions	Withdrawal Transactions	Balance Enquiries
NB100a	Combined Report		Separate Report
NB100b	Combined Report		Separate Report
NB101a	Y	Y	Not Required
NB101b	Y	Y	Not Required
NB102	Combined Report		Not Required
NB103	Y	Y	Not Required

NB: Where there is either a deposit or withdrawal with balance, they are to be treated as deposits or withdrawals without balances respectively.

The format and content of each client's report is considered to be identical when allowing for these specific requirements. It should therefore be understood that the specifications documented here are applicable to each client report set. (Specific client

requirements outside of this reporting specification are not covered within this document)

There must be a separate set of reports to provide for transactions for which the Routing Gateway and/or Transaction Type is not known.

No report will mix currency, so if ever the transactions selected to appear on a set of reports are not of a single currency, then a separate set of reports will be produced for each currency. All the amounts in a single transaction will always use the same currency

2.1.1   Reconciliation Reports Specified

- NB100a: NBE / DRS Reconciliation Statement
- NB100b: TIP / DRS Reconciliation Statement
- NB101a: Network Banking Settlement Statement <=5 days
- NB101b: Network Banking Settlement Statement > 5 days
- NB102:   Exception Summary
- NB103:   Settled Transaction / Cash Account Reconciliation Statement

Rows and columns are described in detail, together with the mathematical calculations required to achieve reconciliation.

All general aspects relating to the production and transmission of the reports are described.

This document does not attempt to define the business processes undertaken within ICL Pathway and POL with respect to the resolution of any exceptions, which may arise, nor does it scope the requirement for any systems that may be required to assist in this process. This information can be found in the associated documents, reference:

- NB/SPE/002: Network Banking DRS On-line Workstation Specification
- NB/PRO/002: Network Banking Reconciliation & Incident Management

NB: It should be noted that where a system 'state' definition is quoted, this takes precedence over any narrative which has only been provided to help understand the business processes.

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3.0   General Report Specifications

A separate set of reports is produced for each POL client as identified by the Routing_Gateway. (LINK being a single client). The specification is general to all reports sets.

1. For volumes and values the accounting sense for reporting purposes to allow settlement totals to be correctly derived, will be:

    - Absolute volume
    - Net value
    - Where no value reported show "[Currency] 0.00"
    - Where no volume reported show 0

2. Each report will show the following general information:

    - Report title – including the client name (derived from Routing_Gateway.)
    - Transaction Type – (if applicable)
    - Report 'Run Date' - i.e., the period for which the report refers
    - Production date and time
    - ICL Pathway report number
    - ICL Pathway reference and contact point

3. Where 'Received' and 'Reconciliation Date' are quoted against time parameters:

    - 'Received = New': defines transactions that have had a change of state since they were last reported, or have never been reported, except in NB102 section 6
    - 'Received = Old': defines transactions that have NOT had a change of state since they were last reported

4. Reports: NB100a, NB100b, NB101a, NB101b, NB102, will be produced **DAILY**, NB103 will be produced **WEEKLY** after Friday's and prior to Saturdays TPS processing schedule. They will be delivered by 08.00hrs the <u>day following the Run Date</u> to:
    - POL / TIP gateway: The Host writes the reports to a directory. These are picked up by FTMS and posted to the TIP gateway. *(As per other Host to external systems applications)*
    - ICL Pathway CS / MSU, DRS Workstation.

5. Within all reports the 'Exceptions' category will include:
    *   'Incomplete States', i.e. those transactions where one or more transaction component is missing – a C4 without a C12 etc
    *   Genuine exceptions where transaction components belonging to the same high level transaction have been exceptioned, i.e. C12 (amount) not = to C4 (amount) etc.
    *   NBE / DRS corruption's

6. For clarity within this document, field sizes are shown within 'Report Layout' and not within the 'Data Definition'

7. All reports are run against a consistent data set.

8. 'Currency' is implied by date on the basis that POL will define the cut off date from £ Sterling to Euro.

9. All reports will be produced as ASCII text files – one for each report. The report layout will be fixed format with space characters providing the blank space. This will allow for 'Excel' input, using fixed field width facilities. The formatting (lines & shading referred to in this document) will not be included within the file.

10. See also comments in Section 2: 'Scope'

3.1.1 NB100a: NBE / DRS Reconciliation Statement

This report is a critical requirement as it allows the reconciliation of data between the NBE and the DRS, giving a clear view of the number and value of exceptions at the beginning and end of each day. It also gives an indication of the values paid / received from the customer as compared to the values processed by the POL client.

3.1.1.1 NB100a: Rules

1. NB100a is run daily
2. NB100a is repeated for each Routing_Gateway.
3. For reporting purposes only: To gain an NBE view of the client settlement position, the 'Matching' process should only match 'C4' & 'C12' type transactions in their appropriate system states, i.e. states: 2-3, 18-19, (report line 12)
4. For reporting purposes only:, 'S' type transactions in their appropriate system states must always be exceptioned, i.e. states: 8-11, (report line 8)
5. See Section 5 for specific values to be reported against appropriate system states

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.1.1.2   **NB100a: Report Layout**

NB100a: NBE / DRS Reconciliation Statement	Client: Barclays etc	Produced on: dd/mm/yyyy at hh:mm:ss
Run Date: dd/mm/yyyy	Transaction Type: Deposit & Withdrawal / Balance Enquiries	ICL Pathway MSU

	Volume	Value
1. NBE / DRS exceptions outstanding from previous days	999999999	9999999999.99
2. NBE / DRS exceptions manually cleared	999999999	9999999999.99
3. **Sub Total**	9999999999	99999999999.99
4. NBE / DRS corruption's outstanding from previous days	999999999	9999999999.99
5. NBE / DRS corruption's manually cleared	999999999	9999999999.99
6. **Sub Total**	9999999999	99999999999.99
7. CCT processed today (C4)	999999999	9999999999.99
8. ACTAC processed today (S)	999999999	9999999999.99
9. ECT processed today (D)	999999999	9999999999.99
10. **Sub Total**	9999999999	99999999999.99
11. Counter confirmations processed today (C12)	9999999999	99999999999.99
12. CCT / Counter confirmations matched today (C4 / C12)	9999999999	99999999999.99
13. NBE / DRS exceptions outstanding today	9999999999	99999999999.99
14. NBE / DRS corruption's outstanding today	9999999999	99999999999.99

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.1.1.3 **NB100a: Data Definition**

NB100a: NBE / DRS Reconciliation Statement	Client: (Derived from Routing_Gateway.)	Produced on: (Date / time of report production)
Run Date: (The period for which the report refers)	Transaction Type: (Derived from Txn_Type)	ICL Pathway MSU

Data Description	Absolute Volume	Net Value
1. Total of all NBE / DRS exceptions still outstanding from previous days	**System States**: 1, 4, 6-14, 15-17, 20-23, E02-09, E11-14, E21-24, E26, E32-33, E35-38 Received = Old, Reconciliation date: < Run Date	
2. Total of all NBE / DRS exceptions manually cleared	Last reported row 1 exception types Set to F99: New	
3. Sub Total	Total of Rows 1 + 2	
4. Total of all NBE / DRS corruption's still outstanding from previous days	**System States**: E28 – 31 Received = Old, Reconciliation date:< Run Date	
5. Total of all NBE / DRS corruption's manually cleared	Last reported row 4 exception types Set to F99: New	
6. Sub Total	Total of Rows 4 + 5 Must = previous days NB100a report – row 14	
7. Total of all CCT processed by the DRS	**System States**: 2-4, 7, 16-19 Received = New, Reconciliation date: < = Run Date	
8. Total of all ACTAC processed by the DRS	**System States**: 8-11 Received = New, Reconciliation date: < = Run Date	
9. Total of all ECT processed by the DRS	**System States**: 12-15, 20-23 Received = New, Reconciliation date: < = Run Date	
10. Sub Total	Total of Rows 7 + 8 + 9	
11. Total of all counter confirmations processed by the DRS	**System States**: 1-3, 6, 10-11, 13, 15, 18-19, 22-23 Received = New, Reconciliation date: < = Run Date	
12. Total of all matched CCT / counter confirmations	**System States**: 2-3, 18-19 Received = New, Reconciliation date: < = Run Date	
13. Total of NBE / DRS exceptions still outstanding today	**System States**: 1, 4, 6-14, 15-17, 20-23, E02-09, E11-14, E21-24, E26, E32-33, E35-38 Received = New + Old, Reconciliation date: < = Run Date	
14. Total of all NBE / DRS corruption's still outstanding today	**System States**: E28 – 31 Received = New + Old, Reconciliation date: < = Run Date	

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3.1.2 NB100b: TIP / DRS Reconciliation Statement

This report is a critical requirement as it allows the reconciliation of data between PON / TIP and the DRS, giving a clear view of the number and value of exceptions at the beginning and end of each day. It also gives an indication of the values paid / received from the customer as compared to the values delivered to POL / TIP

3.1.2.1 NB100b: Rules

1. NB100b is run daily
2. NB100b is repeated for each Routing_Gateway
3. For reporting purposes only: To gain a TIP view of the transaction processing position, the 'Matching' process should only match 'C12' & 'C112' transaction types in their appropriate system states, i.e. states: 3, 6, 11, 15, 19, 23, (report line 7)
4. See Section 5 for specific values to be reported against appropriate system states

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3.1.2.2   **NB100b: Report Layout**

NB100b: TIP / DRS Reconciliation Statement	Client: Barclays etc	Produced on: dd/mm/yyyy at hh: mm :ss
Run Date: dd/mm/yyyy	Transaction Type: Deposit & Withdrawal / Balance Enquiries	ICL Pathway MSU

	Volume	Value
1. TIP / DRS exceptions from previous days	999999999	9999999999.99
2. TIP / DRS exceptions manually cleared	999999999	9999999999.99
3. Sub Total	9999999999	99999999999.99
4. Counter confirmations received today (C12)	999999999	9999999999.99
5. TIP transactions received today (C112)	999999999	9999999999.99
6. Sub Total	9999999999	99999999999.99
7. Counter confirmations / TIP transactions matched today (C12 / C112)	9999999999	99999999999.99
8. TIP / DRS exceptions outstanding today	9999999999	99999999999.99

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.1.2.3   **NB100b: Data Definition**

NB100b: TIP / DRS Reconciliation Statement	Client (Derived from Routing_Gateway.)	Produced on: (date / time of report production)
Run Date: (The period for which the report refers)	Transaction Type: (Derived from Txn_Type)	ICL Pathway MSU

Data Description	Absolute Volume	Net Value
1. Total of all TIP / DRS exceptions still outstanding from previous days	System States: 1-2, 5, 7, 9-10, 13-14, 17-18, 21-22, E01-02, E10-11, E20-22, E25, E27-28, E34-35 Received = Old Reconciliation date: < Run Date	
2. Total of all TIP / DRS exceptions manually cleared	Last reported row 1 exception types Set to F99: New	
3. Sub Total	Total of rows 2 + 3	
4. Total of all counter confirmations processed by the DRS	System States: 1-3, 6, 10-11, 13, 15, 18-19, 22-23 Received = New, Reconciliation date: < = Run Date	
5. Total of all TIP transactions processed by the DRS	System States: 3, 5-7, 9, 11, 14-15, 17, 19, 21, 23 Received = New, Reconciliation date: < = Run Date	
6. Sub Total	Total of rows 4 + 5	
7. Total of all matched counter confirmations / TIP transactions	System States: 3, 6, 11, 15, 19, 23 Received = New, Reconciliation date: < = Run Date	
8. Total of all TIP / DRS exceptions still outstanding today	System States: 1-2, 5, 7, 9-10, 13-14, 17-18, 21-22, E01-02, E10-11, E20-22, E25, E27-28, E34-35 Received = New + Old, Reconciliation date: < = Run Date	

3.1.3 NB101a: Network Banking Settlement Statement < = 5 days

This report identifies CCT, ACTAC and ECT transactions received against each reconciliation date. The report flows across by reconciliation date with the **latest** reconciliation date, i.e. the date applicable to the run date of the report, being the first date listed.

To assist with the understanding of the report, a worked example is shown in section 3.1.3.4.

3.1.3.1 NB101a: Rules

1. NB101a is run daily
2. NB101a is repeated for each Routing_Gateway
3. NB101a is repeated for each transaction type within Routing_Gateway
4. For reconciliation dates more than 5 days old, use report NB101b
5. A reconciliation date entry must always be shown across report NB101a or NB101b if exceptions remain.
6. Within this report, for clarity within the row titles, the following definitions will be used:
   * Confirmed Client Transactions (CCT) are defined as 'Confirmed Txns'
   * Authorised Client Transactions Awaiting Confirmation (ACTAC) are defined as 'Unconfirmed Txns'
   * Exceptioned Client Transactions (ECT) are defined as 'Exceptioned Txns'
7. A transaction will be posted against its reconciliation date. If it is received later than it's reconciliation date it will be shown as a 'late' transaction against this reconciliation date on the day it is received.
8. Where an 'Unconfirmed Txn' ('S') is shown against a reconciliation date, when the 'Confirmed Txn' ('C4') arrives, the 'Unconfirmed Txn' value will be deleted and replaced by the C4 value within the 'Late Confirmed Txn' row. This concept flows throughout the reports as transaction components are replaced during the course of processing across a number of days.
9. For reporting purposes only:, 'S' type transactions in their appropriate system states must always be exceptioned, i.e. states: 8-11
10. For exception state E39, always report against the reconciliation date.
11. See Section 5 for specific values to be reported against appropriate system states

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5.1.3.2   NB101a: Report Layout

NB101a: Network Banking Settlement Statement < = 5 days		Client:	Barclays etc		Produced on:	dd/mm/yyyy at hh: mm :ss	
Run Date: dd/mm/yyyy		Transaction Type:	Deposits etc		ICL Pathway MSU		

	Reconciliation Date: dd/mm/yyyy		Reconciliation Date: dd/mm/yyyy		Reconciliation Date: dd/mm/yyyy		Reconciliation Date: dd/mm/yyyy		Reconciliation Date: dd/mm/yyyy	
	Volume	Value	Volume	Value	Volume	Value	Volume	Value	Volume	Value
1. Confirmed Txns (C4)	9999999	999999999.99	9999999	999999999.99	9999999	999999999.99	9999999	999999999.99	9999999	999999999.99
2. Late Confirmed Txns (C4)	0	0.00	9999999	999999999.99	9999999	999999999.99	9999999	999999999.99	9999999	999999999.99
3. Sub Total	99999999	9999999999.99	99999999	9999999999.99	99999999	9999999999.99	99999999	9999999999.99	99999999	9999999999.99
4. Unconfirmed Txns (S)	9999999	999999999.99	9999999	999999999.99	9999999	999999999.99	9999999	999999999.99	9999999	999999999.99
5. Late Unconfirmed Txns (S)	0	0.00	9999999	999999999.99	9999999	999999999.99	9999999	999999999.99	9999999	999999999.99
6. Sub Total	99999999	9999999999.99	99999999	9999999999.99	99999999	9999999999.99	99999999	9999999999.99	99999999	9999999999.99
7. Total of Confirmed & Unconfirmed Txns	999999999	99999999999.99	999999999	99999999999.99	999999999	99999999999.99	999999999	99999999999.99	999999999	99999999999.99
8. Exceptioned Txns (D)	9999999	999999999.99	9999999	999999999.99	9999999	999999999.99	9999999	999999999.99	9999999	999999999.99
9. Late Exceptioned Txns (D)	0	0.00	9999999	999999999.99	9999999	999999999.99	9999999	999999999.99	9999999	999999999.99
10. TOTAL of Confirmed, Unconfirmed & Exceptioned Txns	999999999	99999999999.99	999999999	99999999999.99	999999999	99999999999.99	999999999	99999999999.99	999999999	99999999999.99
11. NBE / DRS exceptions O/S	9999999	999999999.99	9999999	999999999.99	9999999	999999999.99	9999999	999999999.99	9999999	999999999.99
12. TIP / DRS exceptions O/S	9999999	999999999.99	9999999	999999999.99	9999999	999999999.99	9999999	999999999.99	9999999	999999999.99
13. NBE / DRS corruption's O/S	9999999	999999999.99	9999999	999999999.99	9999999	999999999.99	9999999	999999999.99	9999999	999999999.99

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.1.3.3   **NB101a: Data Definition**

NB101a: Network Banking Reconciliation Statement < 5 days	Client (Derived from Routing_Gateway.)	Produced on: (Date / time of report production)
Run Date: (The period for which the report refers)	**Transaction Type:** (Derived from Txn_Type)	**ICL Pathway MSU**

Data Description	Reconciliation Date /Column Date = Run Date	Reconciliation Date /Column Date = Run Date– N (N = 1 to 4)
	For each Reconciliation Date / Column Date report Absolute Volume and Net Value	
1. Total of all today's CCT processed by the DRS	**System States**: 2-4, 7, 16-19 Received = New, Reconciliation Date = Run Date	**System States**: 2-4, 7, 16-19 Received = Old, Reconciliation Date = Column Date
2. Total of late CCT processed by the DRS	Zero Volume and Values	**System States**: 2-4, 7, 16-19 Received = New, Reconciliation date = Column Date
3. Sub Total	Total rows 1 & 2	Total rows 1 & 2
4. Total of all today's ACTAC processed by the DRS	**System States**: 8-11 Received = New, Reconciliation Date = Run Date	**System States**: 8-11 Received = Old, Reconciliation Date = Column Date
5. Total of all late ACTAC processed by the DRS	Zero Volume and Values	**System States**: 8-11 Received = New, Reconciliation date = Column Date
6. Sub Total	Total rows 4 & 5	Total rows 4 & 5
7. Total of all CCT and ACTAC processed by the DRS	Total rows 3 & 6	Total rows 3 & 6
8. Total of all today's ECT processed by the DRS	**System States**: 12-15, 20-23 Received = New, Reconciliation Date = Run Date	**System States**: 12-15, 20-23 Received = Old, Reconciliation Date = Column Date
9. Total of late ECT processed by the DRS	Zero Volume and Values	**System States**: 12-15, 20-23 Received = New, Reconciliation date = Column Date
10. Total of all CCT, ACTAC & ECT processed by the DRS	Total rows 7, 8 & 9	Total rows 7, 8 & 9
11. Total of all NBE / DRS exceptions O/S	**System States**: 1, 4, 6-14, 15-17, 20-22, E02-09, E11-14, E21-24, E26, E32-33, E35-39 Received = New, Reconciliation Date = Run Date	**System States**: 1, 4, 6-14, 15-17, 20-23, E02-09, E11-14, E21-24, E26, E32-33, E35-39 Received = New +Old, Reconciliation Date = Column Date
12. Total of all TIP / DRS exceptions O/S	**System States**: 1-2, 5, 7, 9-10, 13-14, 17-18, 21-22, E01-02, E10-11, E20-22, E25, E27-28, E34-35 Received = New, Reconciliation Date = Run Date	**System States**: 1-2, 5, 7, 9-10, 13-14, 17-18, 21-22, E01-02, E10-11, E20-22, E25, E27-28, E34-35 Received = New +Old, Reconciliation Date = Column Date
13. Total of all NBE / DRS corruption's O/S	**System States**: E28 – 31 Received = New, Reconciliation Date = Run Date	**System States**: E28 – 31 Received = New +Old, Reconciliation Date = Column Date

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.1.3.4   **NB101a: Worked Example showing reconciliation date allocation**

.4.1   **Day 1: Run Date 01/01/2001**

NB101a: Network Banking Settlement Statement < = 5 days			Client:	Barclays			Produced on:	02/01/2001 03:15:22	
Run Date: 01/01/2001			Transaction Type:	Deposits			ICL Pathway MSU		

	Reconciliation Date: 01/01/2001		Reconciliation Date: 31/12/2000		Reconciliation Date: 30/12/2000		Notes for example Transactions received:
	Volume	Value	Volume	Value	Volume	Value	Txn 'AA' 'C4' £100.00 reconciliation date
							01/01/2001, received run date 01/01/2001
1. Confirmed Txns (C4)	1	(AA) £100.00	0	£0.00	0	£0.00	Txn 'BB' 'C4' £50.00 reconciliation date
2. Late Confirmed Txns (C4)	0	£0.00	1	(BB) £50.00	1	(CC) £25.00	31/12/2000, received run date 01/01/2001
3. Sub Total	1	(AA) £100.00	1	(BB) £50.00	1	(CC) £25.00	Txn 'CC' 'C4' £25.00 reconciliation date
4. Unconfirmed Txns (S)	1	(DD) £34.00	0	£0.00	0	£0.00	30/12/2000, received run date 01/01/2001
5. Late Unconfirmed Txns (S)	0	£0.00	1	(EE) £45.00	0	£0.00	Txn 'DD' 'S' £34.00 reconciliation date
6. Sub Total	1	(DD) £34.00	1	(EE) £45.00	0	£0.00	01/01/2001, received run date 01/01/2001
7. Total of Confirmed & Unconfirmed Txns	2	(AA DD) £134.00	2	(BB EE) £95.00	1	(CC) £25.00	Txn 'EE' 'S' £45.00 reconciliation date 31/12/2000, received run date 01/01/2001
8. Exceptioned Txns (D)	1	(HH) £200.00	0	£0.00	0	£0.00	Txn 'FF' 'E04' £10.00 reconciliation date
9. Late Exceptioned Txns (D)	0	£0.00	0	£0.00	0	£0.00	31/12/2000, received run date 01/01/2001 Txn 'GG' 'E01' £65.00 reconciliation date
10. Total of Confirmed, Unconfirmed & Exceptioned Txns	3	(AA DD HH) £334.00	2	(BB EE) £95.00	1	(CC) £25.00	31/12/2000, received run date 01/01/2001 Txn 'HH; 'D' £200.00 reconciliation date 01/01/2001, received run date 01/01/2001
11. NBE / DRS exceptions O/S	0	£0.00	1	(FF) £10.00	0	£0.00	No exceptions / corruption's have been set to F99 by MSU.
12. TIP / DRS exceptions O/S	0	£0.00	1	(GG) £65.00	0	£0.00	No exceptions corruption's have been auto matched by the DRS
13. NBE / DRS corruption's O/S	0	£0.00	0	£0.00	0	£0.00	

NB: In reality this report would run for five reconciliation dates.

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.4.2   **Day 2: Run date 02/01/2001**

NB101a: Network Banking Settlement Statement < = 5 days	Client:	Barclays	Produced on:	03/01/2001 02:17:15
Run Date: 02/01/2001	Transaction Type:	Deposits	ICL Pathway MSU	

	Reconciliation Date: 02/01/2001		Reconciliation Date: 01/01/2001		Reconciliation Date: 31/12/2000		Notes for example
	Volume	Value	Volume	Value	Volume	Value	**Transactions received:**
1. Confirmed Txns (C4)	1	(JJ) £90.00	1	(AA) £100.00	1	(BB) £50.00	Txn 'JJ' 'C4' £90.00 reconciliation date 02/01/2001, received run date 02/01/2001
2. Late Confirmed Txns (C4)	0	£0.00	1	(DD) £34.00	2	(KK) £80.00	Txn 'KK' 'C4' £80.00 reconciliation date 31/12/2000, received run date 02/01/2001
3. Sub Total	**1**	**(JJ) £90.00**	**2**	**(AA DD) £134.00**	**2**	**(BB KK) £130.00**	Txn 'EE' 'C4' £45.00 reconciliation date 01/01/2001, received run date 02/01/2001(replaces 'S' and is exceptioned due to timing error)
4. Unconfirmed Txns (S)	0	£0.00	0	£0.00	0	£0.00	
5. Late Unconfirmed Txns (S)	0	£0.00	0	£0.00	0	£0.00	Txn 'DD' 'C4' £34.00 reconciliation date 01/01/2001, received run date 02/01/2001 (replaces 'S')
6. Sub Total	**0**	**£0.00**	**0**	**£0.00**	**0**	**£0.00**	
7. Total of Confirmed & Unconfirmed Txns	**1**	**(JJ) £90.00**	**3**	**(AA DD) £134.00**	**2**	**(BB KK) £130.00**	Txn 'FF' 'E04' £10.00 reconciliation date 31/12/2000 set to state F99 by MSU on 02/01/2001
8. Exceptioned Txns (D)	0	£0.00	1	(HH £200.00	0	£0.00	Txn 'GG' 'E01) £65.00 reconciliation date 31/12/2001 set to state F99 by MSU on 02/01/2001
9. Late Exceptioned Txns (D)	0	£0.00	0	£0.00	0	£0.00	
10. Total of Confirmed, Unconfirmed & Exceptioned Txns	**1**	**(JJ) £90.00**	**3**	**(AA DD HH) £334.00**	**2**	**(BB KK) £130.00**	
11. NBE / DRS exceptions O/S	0	£0.00	1	(EE) £45.00	0	£0.00	
12. TIP / DRS exceptions O/S	0	£0.00	0	£0.00	0	£0.00	
13. NBE / DRS corruption's O/S	0	£0.00	0	£0.00	0	£0.00	

NB: In reality this report would run for five reconciliation dates.

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3.1.4 NB101b: Network Banking Settlement Statement > 5 days

This report identifies CCT, ACTAC, & ECT transactions received against each reconciliation date more than 5 days older than the run date of the report. The report flows across by reconciliation date with the **latest** reconciliation date, i.e. the next reconciliation date required following the cessation of NB101a.

For example:
The final reconciliation date listed on NB101a, report date 05/01/2001 would be 01/01/2001.

For the report date 06/01/2001, if the reconciliation date of 01/01/2001 has no exceptions outstanding, this reconciliation date would disappear.

3.1.4.1 NB101b: Rules

1. NB101b is run daily
2. NB101b is repeated for each Routing_Gateway
3. NB101b is repeated for each transaction type within Routing_Gateway
4. Where there is no data to report, produce a file with report headers only
5. Where there are more than 5 reconciliation dates being reported, the text within the file to be repeated indefinitely to the right.
6. For reconciliation dates less than 5 days old, use report NB101a
7. A reconciliation date entry must always be shown across report NB101a or NB101b if exceptions remain.
8. Within this report, for clarity within the row titles, the following definitions will be used:
   - Confirmed Client Transactions (CCT) are defined as 'Confirmed Txns'
   - Authorised Client Transactions Awaiting Confirmation (ACTAC) are defined as 'Unconfirmed Txns'
   - Exceptioned Client Transactions (ECT) are defined as 'Exceptioned Txns'
9. Where an 'Unconfirmed Txn' ('S') is shown against a reconciliation date, when the 'Confirmed Txn' ('C4') arrives, the 'Unconfirmed Txn' value will be deleted and replaced by the C4 value within the 'Late Confirmed Txn' row. This concept flows throughout the reports as transaction components are replaced during the course of processing across a number of days.
10. For reporting purposes only:, 'S' type transactions in their appropriate system states must always be exceptioned, i.e. states: 8-11
11. For exception state E39, always report against the reconciliation date.
12. See Section 5 for specific values to be reported against appropriate system states

3.1.4.2   **NB101b: Report layout & Data Definition**

NB101b report layout follows report NB101a. However it commences on Reconciliation Date / Column Date = Run Date – N where N = 5. There is no maximum number of days within report NB101b. NB101b reports as many Reconciliation Dates / Column Dates as necessary subject to the rules identified within section 3.1.4.1

For example, if on 06/01/2001 subject to the rules identified within section 3.1.3.1 for NB101a, either an exception remains or a new transaction is received for reconciliation date 01/01/2001 or earlier, the appropriate reconciliation date would be included within NB101b until no exceptions remained. In effect NB101b could run for an indefinite number of Reconciliation Dates / Column Dates if exceptions remained or late transaction components were received.

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3.1.5 NB102: Exception Summary

This report is divided into twelve sections:

- Section 1: Uncleared Confirmed, Unconfirmed & TIP exceptions <24 hours
- Section 2: Uncleared Exceptioned Client Transactions
- Section 3: Uncleared NBE / DRS corruption's
- Section 4: Uncleared Timing Differences
- Section 5: Uncleared Confirmed, Unconfirmed & TIP exceptions >24 hours
- Section 6: Uncleared Future Dated Transactions by Client
- Section 7: Cleared Confirmed, Unconfirmed & TIP exceptions <24 hours
- Section 8: Cleared Exceptioned Client Transactions
- Section 9: Cleared NBE / DRS corruption's
- Section 10: Cleared Timing Differences
- Section 11: Cleared Confirmed, Unconfirmed & TIP exceptions >24 hours
- Section 12: Cleared Future Dated Transactions by Client

Liability issues are not covered within this document, nor are the business processes involved in the resolution of any exception.

3.1.5.1 NB102: Rules

1. NB102 is run daily
2. NB102 is repeated for each Routing_Gateway.
3. For each report section, the column 'Values' will be partitioned into 8 sub columns to contain the values for: 'C12', 'S', 'C4', 'C112' & the four values from a 'D' which are: Amount Requested, Amount Authorised, Amount Confirmed, Amount Discrepancy. The reports will populate all values that are available.
4. For reporting purposes within NB102 sections 2,3,4,5,8,9,10,11, the column headed 'Discrepancy Type' will report the 'D' discrepancy type and be populated with the following codes:
   - 01 - [E2] not received by maximum number of retries or at close of next business day - Business Rule BR – 054
   - 02 - Mismatch of value between [R2] and [C2] BR - 021
   - 03 - [C2] approve for [A1] Decline BR -033
   - 04 - [C2] approve with no R or A messages i.e. orphan [C2] - BR - 026

   NB: "BR-nnn" refers to a business rule in the NBE Business Rules Catalogue, reference [12].
5. Where an exception is set to F99 by ICL Pathway, clearance of this exception within the appropriate NB102 section, (e.g. section 2 exceptions shown as cleared within section 8), will always refer to the previously reported state regardless of any change of state which may have occurred within the DRS.

6. Within this report, for clarity within the row titles, the following definitions will be used:
   - Confirmed Client Transactions (CCT) are defined as 'Confirmed Txns'
   - Authorised Client Transactions Awaiting Confirmation (ACTAC) are defined as 'Unconfirmed Txns'
   - Exceptioned Client Transactions (ECT) are defined as 'Exceptioned Txns'
7. Uncleared Confirmed, Unconfirmed & TIP exceptions <24 hours are reported as summary totals by exception type - (NB102 section 1)
8. Uncleared Exceptioned Client Transactions are listed individually - (NB102 section 2)
9. Uncleared NBE/ DRS corruption's exceptions are listed individually - (NB102 section 3)
10. Uncleared Timing Differences are listed individually – (NB102 section 4)
11. Uncleared Confirmed, Unconfirmed & TIP exceptions >24 hours are listed individually – (NB102 section 5)
12. Uncleared Future Dated Transactions are reported as summary totals by Client identified by Routing_Gateway – (Section 6)
13. Cleared Confirmed, Unconfirmed & TIP exceptions <24 hours are reported as summary totals by exception type - (NBE102 section 7)
14. Cleared Exceptioned Client Transactions are listed individually – (NB102 section 8)
15. Cleared NBE / DRS corruption's are listed individually – (NB102 section 9)
16. Cleared Timing differences are listed individually – (NB102 section 10)
17. Cleared Confirmed, Unconfirmed & TIP exceptions >24 hours are listed individually – (NB102 section 11)
18. Cleared Future Dated Transactions are reported as summary totals by Client identified by Routing_Gateway – (Section 12)
19. Where both volume and value are zero within sections 3 and 9, the appropriate line is suppressed
20. Within each section, exception summary totals / individual transactions are to be grouped and sub totalled by reconciliation date with a total provided for the entire section.
21. For reporting purposes:
   - Timing Differences: relate to differences in the reconciliation date / settlement date allocated where a settlement date on a transaction element is not the same as the reconciliation date first reported on that transaction.
   - Future Dated Transactions: relate to those transactions that have a Reconciliation Date ahead of the Run Date of the report. For example, most Clients will settle Friday, Saturday and Sunday transactions on the following Monday. This means that each transaction completed on these days will have a Reconciliation Date ahead of the Run Date of the report. These transactions are expected to clear naturally once the Reconciliation Date and the Run Date are in sync, however in the rare eventuality that a Reconciliation Date is considerably ahead of the Run Date, POL may wish to clear the exception manually. In this case, ICL Pathway will set the transaction to 'F99'.

22. For reporting purposes, within NB102 sections 2,3,4,5,8,9,10.11, the column headed 'Transaction Type' will be populated by the following codes:

- 03 – Withdrawal (With PIN)
- 04 – Withdrawal with balance (With PIN)
- 05 – Withdraw all (With PIN)
- 13 – Withdrawal (With signature)
- 14 – Withdrawal with balance (With signature)
- 15 – Withdraw all (With signature)
- 22 – Deposit (No verification)

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3.1.5.2 NB102: Section 1: Uncleared Confirmed, Unconfirmed & TIP exceptions <24 hours

3.1.5.2.1   **NB102: Section 1 - Report Layout**

NB102 Section 1: Confirmed, Unconfirmed & TIP exceptions < 24 hours	Client: Barclays etc	Produced on: dd/mm/yyyy at hh:mm:ss
Run Date: dd/mm/yyyy	Transaction Type: Deposit & Withdrawal	ICL Pathway MSU

Exception Type	Reconciliation Date	Volume	Values (8 sub columns)
State 1 etc	dd/mm/yyyy	99999999	99999999.99
State 2 etc	dd/mm/yyyy	99999999	99999999.99
Sub total		999999999	999999999.99
State E02 etc	dd/mm/yyyy	99999999	99999999.99
Sub total		999999999	999999999.99
Total Section 1		9999999999	9999999999.99

3.1.5.2.2   **NB102: Section 1 - Data Definition**

NB102 Section 1: Confirmed, Unconfirmed & TIP exceptions < 24 hours	Client: (Derived from Routing_Gateway.)	Produced on: (Date and time of report production)
Run Date: (The period for which the report refers)	Transaction Type: (Derived from Txn_Type)	ICL Pathway MSU

Exception Type / Reconciliation Date	Volume	Values (8 sub columns) Value of each transaction component
One row for each system state where exceptions are being reported grouped within reconciliation date with a sub total for each reconciliation date and a grand total for the section. Where no data is being reported against and exception state, the row for that exception state is to be suppressed. Where dates are shown for the same exception type, list in descending order	**System State**: 1-2, 4-11, 16-18, E01-02 E04-06, E10-12, E14, E20-24, E32, E34 -E36, E38 Received = New + Old Reconciliation date: < = Run Date	

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5.1.5.3   **NB102: Section 2: Uncleared Exceptioned Client Transactions**

5.3.1   **NB102: Section 2 – Report Layout**

NB102 Section 2: Uncleared Exceptioned Client Transactions	Client: Barclays etc	Produced on: dd/mm/yyyy at hh : mm : ss
Run Date: dd/mm/yyyy	**Transaction Type:** Deposit & Withdrawal	**ICL Pathway MSU**

Exception Type	Reconciliation Date	Horizon Txn Id	Transaction Type	Bank Txn Id	Receipt Date	Receipt Time	Discrepancy Type	Values (8 sub columns)
E13	dd/mm/yyyy	Char (32)	Code (99)	Char (12)	dd/mm/yyyy	hhmmss	Code (99)	99999999.99
E13	dd/mm/yyyy	Char (32)	Code (99)	Char (12)	dd/mm/yyyy	hhmmss	Code (99)	99999999.99
State 12	dd/mm/yyyy	Char (32)	Code (99)	Char (12)	dd/mm/yyyy	hhmmss	Code (99)	99999999.99
Sub Total								999999999.99
E13	dd/mm/yyyy	Char (32)	Code (99)	Char (12)	dd/mm/yyyy	hhmmss	Code (99)	99999999.99
Sub Total								999999999.99
Total Section 2								9999999999.99

5.3.2   **NB102: Section 2 – Data Definition**

NB102 Section 2: Uncleared Exceptioned Client Transactions	Client: (Derived from Routing_Gateway.)	Produced on: (Date and time of production)
Run Date: (The period for which the report refers)	Transaction Type: (Derived from Txn_Type)	ICL Pathway MSU

Exception Type / Reconciliation Date	Horizon Txn Id	Transaction Type	Bank Txn Id	Receipt Date	Receipt Time	Discrepancy Type	Values (8 sub columns)
One row for each exception, with specific system states listed in order, grouped within reconciliation date with a sub total for each reconciliation date and a grand total for the section. Where dates are shown for the same exception type, list in descending order.	Horizon_Txn_Num	Txn_Type	Bank_Transaction_Id	Receipt_Transaction_Date	Receipt_Transaction_Time	Discrepancy_Reason_Codes	Value of each transaction component

System State: 12-15, 20-23, E03, E07 – E09, E13, E25 – E26, E33, E37
Received = New + Old
Reconciliation date: < = Run Date

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3.1.5.4   NB102: Section 3: Uncleared NBE / DRS Corruption's

5.4.1   NB102: Section 3 – Report Layout

NB102 Section 3: Uncleared NBE / DRS Corruption's	Client: Barclays etc	Produced on: dd/mm/yyyy at hh : mm : ss
Run Date: dd/mm/yyyy	Transaction Type: Deposit & Withdrawal	ICL Pathway MSU

Exception Type	Reconciliation Date	Horizon Txn Id	Transaction Type	Bank Txn Id	Receipt Date	Receipt Time	Discrepancy Type	Values (8 sub columns)
E28	dd/mm/yyyy	Char (32)	Code (99)	Char (12)	dd/mm/yyyy	hhmmss	Code (99)	99999999.99
E29	dd/mm/yyyy	Char (32)	Code (99)	Char (12)	dd/mm/yyyy	hhmmss	Code (99)	99999999.99
E31	dd/mm/yyyy	Char (32)	Code (99)	Char (12)	dd/mm/yyyy	hhmmss	Code (99)	99999999.99
Sub Total								999999999.99
E31	dd/mm/yyyy	Char (32)	Code (99)	Char (12)	dd/mm/yyyy	hhmmss	Code (99)	99999999.99
Sub Total								999999999.99
Total Section 3								9999999999.99

5.4.2   NB102: Section 3 – Data Definition

NB102 Section 3: Uncleared NBE / DRS corruption's	Client: (Derived from Routing_Gateway.)	Produced on: (Date and time of production)
Run Date: (The period for which the report refers)	Transaction Type: (Derived from Txn_Type)	ICL Pathway MSU

Exception Type / Reconciliation Date	Horizon Txn Id	Transaction Type	Bank Txn Id	Receipt Date	Receipt Time	Discrepancy Type	Values (8 sub columns)
One row for each corruption, with specific system states listed in order, grouped within reconciliation date with a sub total for each reconciliation date and a grand total for the section. Where dates are shown for the same exception type, list in descending order.	Horizon_Txn_Num	Txn_Type	Bank_Transaction_Id	Receipt_Transaction_Date	Receipt_Transaction_Time	Discrepancy_Reason_Codes	Value of each transaction component
	System State: E27 –31 Received = New + Old Reconciliation date: < = Run Date						

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.1.5.5   **NB102: Section 4: Uncleared Timing Differences**

.5.1   **NB102: Section 4 - Report Layout**

NB102 Section 4: Uncleared Timing Differences	Client: Barclays etc	Produced on: dd/mm/yyyy at hh : mm : ss
Run Date: dd/mm/yyyy	**Transaction Type:** Deposit & Withdrawal	**ICL Pathway MSU**

Exception Type	Reconciliation Date	Horizon Txn Id	Transaction Type	Bank Txn Id	Receipt Date	Receipt Time	Discrepancy Type	Values (8 sub columns)
E39	dd/mm/yyyy	Char (32)	Code (99)	Char (12)	dd/mm/yyyy	hhmmss	Code (99)	99999999.99
E39	dd/mm/yyyy	Char (32)	Code (99)	Char (12)	dd/mm/yyyy	hhmmss	Code (99)	99999999.99
E39	dd/mm/yyyy	Char (32)	Code (99)	Char (12)	dd/mm/yyyy	hhmmss	Code (99)	99999999.99
Sub Total								999999999.99
E39	dd/mm/yyyy	Char (32)	Code (99)	Char (12)	dd/mm/yyyy	hhmmss	Code (99)	99999999.99
Sub Total								999999999.99
Total Section 4								9999999999.99

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5.5.2   **NB102: Section 4 – Data Definition**

NB102 Section 4: Uncleared Timing Differences	Client: (Derived from Routing_Gateway.)	Produced on: (Date and time of production)
Run Date: (The period for which the report refers)	**Transaction Type:** (Derived from Txn_Type)	**ICL Pathway MSU**

Exception Type / Reconciliation Date / Settlement Date	Horizon Txn Id	Transaction Type	Bank Txn Id	Receipt Date	Receipt Time	Discrepancy Type	Values (8 sub columns)
One row for each timing difference, grouped within reconciliation date with a sub total for each reconciliation date and a grand total for the section. Where dates are shown for the same exception type, list in descending order.	Horizon_Txn_Num	Txn_Type	Bank_Transaction_Id	Receipt_Transaction_Date	Receipt_Transaction_Time	Discrepancy_Reason_Codes	Value of each transaction component
	System State: E39 Received = New + Old Reconciliation date: < = Run Date						

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5.1.5.6   **NB102: Section 5: Uncleared Confirmed, Unconfirmed & TIP exceptions >24 hours**

5.6.1   **NB102: Section 5 – Report Layout**

NB102 Section 5: Uncleared Confirmed, Unconfirmed & TIP exceptions >24 hours	Client: Barclays etc	Produced on: dd/mm/yyyy at hh : mm : ss
Run Date: dd/mm/yyyy	Transaction Type: Deposit & Withdrawal	ICL Pathway MSU

Exception Type	Reconciliation Date	Horizon Txn Id	Transaction Type	Bank Txn Id	Receipt Date	Receipt Time	Discrepancy Type	Values (8 sub columns)
State 1	dd/mm/yyyy	Char (32)	Code (99)	Char (12)	dd/mm/yyyy	hhmmss	Code (99)	99999999.99
State 2	dd/mm/yyyy	Char (32)	Code (99)	Char (12)	dd/mm/yyyy	hhmmss	Code (99)	99999999.99
State 6	dd/mm/yyyy	Char (32)	Code (99)	Char (12)	dd/mm/yyyy	hhmmss	Code (99)	99999999.99
Sub Total								999999999.99
State 6	dd/mm/yyyy	Char (32)	Code (99)	Char (12)	dd/mm/yyyy	hhmmss	Code (99)	99999999.99
Sub Total								999999999.99
Total Section 5								9999999999.99

5.6.2   NB102: Section 5 – Data Definition

NB102 Section 5: Uncleared Confirmed, Unconfirmed & TIP exceptions >24 hours	Client: (Derived from Routing_Gateway.)	Produced on: (Date and time of production)
Run Date: (The period for which the report refers)	Transaction Type: (Derived from Txn_Type)	ICL Pathway MSU

Exception Type / Reconciliation Date	Horizon Txn Id	Transaction Type	Bank Txn Id	Receipt Date	Receipt Time	Discrepancy Type	Values (8 sub columns)
One row for each critical exception, with specific system states listed in order, grouped within reconciliation date with a sub total for each reconciliation date and a grand total for the section. Note: an extra constraint for system state 18 is that the outlet must have harvested (TPS) successfully. Should an outlet be confirmed as non-polling, **system states 2 &18** for that outlet on the date(s) in question should not be included on this report. Where dates are shown for the same exception type, list in descending orders	Horizon_Txn_Num	Txn_Type	Bank_Transaction_Id	Receipt_Transaction_Date	Receipt_Transaction_Time	Discrepancy_Reason_Codes	Value of each transaction component
	System State: 1, 2, 4, 5, 6, 7, 8, 9, 10, 11, 16, 17, 18, E01-02 E04-06, E10-12, E14, E20-24, E32, E34 -E36, E38 Received = Old Reconciliation date: < Run Date (i.e. where transaction components have remained in the above incomplete states for >24 hours)						

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3.1.5.7 NB102: Section 6: Uncleared Future Dated Transactions by Client

.1.5.7.1 NB102: Section 6 - Report Layout

NB102 Section 6: Uncleared Future Dated Transactions by Client	All Clients	Produced on: dd/mm/yyyy at hh:mm:ss
Run Date: dd/mm/yyyy	Transaction Type: Deposit & Withdrawal	ICL Pathway MSU

Client	Reconciliation Date	Volume	Values (8 sub columns)
Barclays	dd/mm/yyyy	99999999	99999999.99
Lloyds	dd/mm/yyyy	99999999	99999999.99
Total Section 11		9999999999	9999999999.99

.1.5.7.2 NB102: Section 6 - Data Definition

NB102 Section 6: Uncleared Future Dated Transactions by Client	All Clients	Produced on: (Date and time of report production)
Run Date: (The period for which the report refers)	Transaction Type: (Derived from Txn_Type)	ICL Pathway MSU

Client / Reconciliation Date	Volume	Values (8 sub columns)
One row for each Client derived from Routing_Gateway where transactions have been received with a reconciliation date ahead of the run date. Where dates are shown for the same exception type, list in descending order.	**System State**: All States Reconciliation date: > Run Date	

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3.1.5.8 NB102: Section 7: Cleared Confirmed, Unconfirmed & TIP exceptions < 24 hours

.1.5.8.1　　　　**NB102: Section 7 – Report Layout**

NB102 Section 7: Cleared Confirmed, Unconfirmed & TIP exceptions < 24 hours	Client:　　Barclays etc	Produced on: dd/mm/yyyy at hh : mm : ss
Run Date: dd/mm/yyyy	Transaction Type: Deposit & Withdrawal	ICL Pathway MSU

Exception Type	Reconciliation Date	Volume	Values (8 sub columns)
State 1 etc	dd/mm/yyyy	99999999	99999999.99
State 2 etc	dd/mm/yyyy	99999999	99999999.99
Sub total		999999999	999999999.99
State E02 etc	dd/mm/yyyy	99999999	99999999.99
Sub total		999999999	999999999.99
Total Section 1		9999999999	9999999999.99

.1.5.8.2　　　　**NB102: Section 7 - Data Definition**

NB102 Section 7: Cleared Confirmed, Unconfirmed & TIP exceptions < 24 hours	Client: (Derived from Routing_Gateway.)	Produced on: (Date and time of report production)
Run Date: (The period for which the report refers)	Transaction Type: (Derived from Txn_Type)	ICL Pathway MSU

Exception Type / Reconciliation Date	Volume	Values (8 sub columns) Value of each transaction component
One row for each system state where exceptions are being reported grouped within reconciliation date with a sub total for each reconciliation date and a grand total for the section. Where no data is being reported against and exception state, the row for that exception state is to be suppressed. Where dates are shown for the same exception type, list in descending order.	**For last reported System States**: 1-2, 4-11, 16-18, E01-02, E04-06, E10-12, E14, E20-24, E32, E34 -36, E38 Set to F99: New Reconciliation date: < = Run Date	

.1.5.9   **NB102: Section 8: Cleared Exceptioned Client Transactions**

.9.1   **NB102: Section 8 – Report Layout**

NB102 Section 8: Cleared Exceptioned Client Transactions	Client: Barclays etc	Produced on: dd/mm/yyyy at hh : mm : ss
Run Date: dd/mm/yyyy	**Transaction Type:** Deposit & Withdrawal	**ICL Pathway MSU**

Exception Type	Reconciliation Date	Horizon Txn Id	Transaction Type	Bank Txn Id	Receipt Date	Receipt Time	Discrepancy Type	Values (8 sub columns)
E13	dd/mm/yyyy	Char (32)	Code (99)	Char (12)	dd/mm/yyyy	hhmmss	Code (99)	99999999.99
E13	dd/mm/yyyy	Char (32)	Code (99)	Char (12)	dd/mm/yyyy	hhmmss	Code (99)	99999999.99
State 12	dd/mm/yyyy	Char (32)	Code (99)	Char (12)	dd/mm/yyyy	hhmmss	Code (99)	99999999.99
Sub Total								999999999.99
E13	dd/mm/yyyy	Char (32)	Code (99)	Char (12)	dd/mm/yyyy	hhmmss	Code (99)	99999999.99
Sub Total								999999999.99
Total Section 8								9999999999.99

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5.9.2   **NB102: Section 8 – Data Definition**

NB102 Section 8: Cleared Exceptioned Client Transactions	Client: (Derived from Routing_Gateway.)	Produced on: (Date and time of production)
Run Date: (The period for which the report refers)	**Transaction Type:** (Derived from Txn_Type)	ICL Pathway MSU

Exception Type / Reconciliation Date	Horizon Txn Id	Transaction Type	Bank Txn Id	Receipt Date	Receipt Time	Discrepancy Type	Values (8 sub columns)
One row for each exception, with specific system states listed in order, grouped within reconciliation date with a sub total for each reconciliation date and a grand total for the section. Where dates are shown for the same exception type, list in descending order.	Horizon_Txn_Num	Txn_Type	Bank_Transaction_Id	Receipt_Transaction_Date	Receipt_Transaction_Time	Discrepancy_Reason_Codes	Value of each transaction component
	For last reported System States: 12-15, 20-23, E03, E07 - E09, E13, E25 – E26, E33, E37 Set to F99: New Reconciliation Date: <= Run Date						

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5.1.5.10   **NB102: Section 9: Cleared NBE / DRS Corruption's**

5.10.1   **NB102: Section 9 – Report Layout**

| NB102 Section 9: Cleared NBE / DRS Corruption's | Client: Barclays etc | Produced on: dd/mm/yyyy at hh : mm : ss |
| Run Date: dd/mm/yyyy | Transaction Type: Deposit & Withdrawal | ICL Pathway MSU |

Exception Type	Reconciliation Date	Horizon Txn Id	Transaction Type	Bank Txn Id	Receipt Date	Receipt Time	Discrepancy Type	Values (8 sub columns)
E28	dd/mm/yyyy	Char (32)	Code (99)	Char (12)	dd/mm/yyyy	hhmmss	Code (99)	99999999.99
E29	dd/mm/yyyy	Char (32)	Code (99)	Char (12)	dd/mm/yyyy	hhmmss	Code (99)	99999999.99
E31	dd/mm/yyyy	Char (32)	Code (99)	Char (12)	dd/mm/yyyy	hhmmss	Code (99)	99999999.99
Sub Total								999999999.99
E31	dd/mm/yyyy	Char (32)	Code (99)	Char (12)	dd/mm/yyyy	hhmmss	Code (99)	99999999.99
Sub Total								999999999.99
Total Section 9								9999999999.99

ICL Pathway Ltd	NETWORK BANKING END TO END RECONCILIATION REPORTING	Ref:	CS/SPE/011
		Version:	2.0
	COMMERCIAL IN CONFIDENCE	Date:	21/01/2002

5.10.2   **NB102: Section 9 – Data Definition**

NB102 Section 9: Cleared NBE / DRS corruption's	Client: (Derived from Routing_Gateway.)	Produced on: (Date and time of production)
Run Date: (The period for which the report refers)	Transaction Type: (Derived from Txn_Type)	ICL Pathway MSU

Exception Type / Reconciliation Date	Horizon Txn Id	Transaction Type	Bank Txn Id	Receipt Date	Receipt Time	Discrepancy Type	Values (8 sub columns)
One row for each corruption, with specific system states listed in order, grouped within reconciliation date with a sub total for each reconciliation date and a grand total for the section. Where dates are shown for the same exception type, list in descending order.	Horizon_Txn_Num	Txn_Type	Bank_Transaction_Id	Receipt_Transaction_Date	Receipt_Transaction_Time	Discrepancy_Reason_Codes	Value of each transaction component
	For last reported System States: E27 –31 Set to F99: New Reconciliation Date: <= Run Date						

ICL Pathway Ltd	NETWORK BANKING END TO END RECONCILIATION REPORTING	Ref:	CS/SPE/011
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	COMMERCIAL IN CONFIDENCE	Date:	21/01/2002

3.1.5.11   **NB102: Section 10: Cleared Timing Differences**

5.11.1   **NB102: Section 10 - Report Layout**

NB102 Section 10: Cleared Timing Differences	Client: Barclays etc	Produced on: dd/mm/yyyy at hh : mm : ss
Run Date: dd/mm/yyyy	Transaction Type: Deposit & Withdrawal	ICL Pathway MSU

Exception Type	Reconciliation Date	Horizon Txn Id	Transaction Type	Bank Txn Id	Receipt Date	Receipt Time	Discrepancy Type	Values (8 sub columns)
E39	dd/mm/yyyy	Char (32)	Code (99)	Char (12)	dd/mm/yyyy	hhmmss	Code (99)	99999999.99
E39	dd/mm/yyyy	Char (32)	Code (99)	Char (12)	dd/mm/yyyy	hhmmss	Code (99)	99999999.99
E39	dd/mm/yyyy	Char (32)	Code (99)	Char (12)	dd/mm/yyyy	hhmmss	Code (99)	99999999.99
Sub Total								999999999.99
E39	dd/mm/yyyy	Char (32)	Code (99)	Char (12)	dd/mm/yyyy	hhmmss	Code (99)	99999999.99
Sub Total								999999999.99
Total Section 10								9999999999.99

ICL Pathway Ltd	NETWORK BANKING END TO END RECONCILIATION REPORTING	Ref:	CS/SPE/011
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5.11.2   NB102: Section 10 – Data Definition

NB102 Section 10: Cleared Timing Differences	Client: (Derived from Routing_Gateway.)	Produced on: (Date and time of production)
Run Date: (The period for which the report refers)	Transaction Type: (Derived from Txn_Type)	ICL Pathway MSU

Exception Type / Reconciliation Date / Settlement Date	Horizon Txn Id	Transaction Type	Bank Txn Id	Receipt Date	Receipt Time	Discrepancy Type	Values (8 sub columns)
One row for each timing difference, grouped within reconciliation date with a sub total for each reconciliation date and a grand total for the section. Where dates are shown for the same exception type, list in descending order.	Horizon_Txn_Num	Txn_Type	Bank_Transaction_Id	Receipt_Transaction_Date	Receipt_Transaction_Time	Discrepancy_Reason_Codes	Value of each transaction component
	For last reported System States: E39 Set to F99: New Reconciliation Date: <= Run Date						

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3.1.5.12   NB102: Section 11: Cleared Confirmed, Unconfirmed & TIP exceptions > 24 hours

3.12.1   NB102: Section 11 – Report Layout

NB102 Section 11: Cleared Confirmed, Unconfirmed & TIP exceptions > 24 hours	Client: Barclays etc	Produced on: dd/mm/yyyy at hh : mm : ss
Run Date: dd/mm/yyyy	Transaction Type: Deposit & Withdrawal	ICL Pathway MSU

Exception Type	Reconciliation Date	Horizon Txn Id	Transaction Type	Bank Txn Id	Receipt Date	Receipt Time	Discrepancy Type	Values (8 sub columns)
State 1	dd/mm/yyyy	Char (32)	Code (99)	Char (12)	dd/mm/yyyy	hhmmss	Code (99)	99999999.99
State 2	dd/mm/yyyy	Char (32)	Code (99)	Char (12)	dd/mm/yyyy	hhmmss	Code (99)	99999999.99
State 6	dd/mm/yyyy	Char (32)	Code (99)	Char (12)	dd/mm/yyyy	hhmmss	Code (99)	99999999.99
Sub Total								999999999.99
State 6	dd/mm/yyyy	Char (32)	Code (99)	Char (12)	dd/mm/yyyy	hhmmss	Code (99)	99999999.99
Sub Total								999999999.99
Total Section 11								9999999999.99

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5.12.2   **NB102: Section 11 – Data Definition**

NB102 Section 11: Cleared Confirmed, Unconfirmed & TIP exceptions > 24 hours	Client: (Derived from Routing_Gateway.)	Produced on: (Date and time of production)
Run Date: (The period for which the report refers)	**Transaction Type:** (Derived from Txn_Type)	**ICL Pathway MSU**

Exception Type / Reconciliation Date	Horizon Txn Id	Transaction Type	Bank Txn Id	Receipt Date	Receipt Time	Discrepancy Type	Values (8 sub columns)
One row for each critical exception, with specific system states listed in order, grouped within reconciliation date with a sub total for each reconciliation date and a grand total for the section. Note: an extra constraint for system state 18 is that the outlet must have harvested (TPS) successfully. Should an outlet be confirmed as non-polling, **system state 2 & 18** for that outlet on the date(s) in question should not be included on this report. Where dates are shown for the same exception type, list in descending orders	Horizon_Txn_Num	Txn_Type	Bank_Transaction_Id	Receipt_Transaction_Date	Receipt_Transaction_Time	Discrepancy_Reason_Codes	Value of each transaction component

For last reported System States: 1, 2, 4, 5, 6, 7, 8, 9, 10, 11, 16, 17, 18, E01-02 E04-06, E10-12, E14, E20-24, E32, E34 - E36, E38
Set to F99: New
Reconciliation Date: <= Run Date

3.1.5.13 NB102: Section 12: Cleared Future Dated Transactions by Client

.1.5.13.1 NB102: Section 12 - Report Layout

NB102 Section 12: Cleared Future Dated Transactions by Client	All Clients	Produced on: dd/mm/yyyy at hh:mm:ss
Run Date: dd/mm/yyyy	Transaction Type: Deposit & Withdrawal	ICL Pathway MSU

Client	Reconciliation Date	Volume	Values (8 sub columns)
Barclays	dd/mm/yyyy	99999999	99999999.99
Lloyds	dd/mm/yyyy	99999999	99999999.99
Total Section 11		9999999999	9999999999.99

.1.5.13.2 NB102: Section 12 - Data Definition

NB102 Section 12: Cleared Future Dated Transactions by Client	All Clients	Produced on: (Date and time of report production)
Run Date: (The period for which the report refers)	Transaction Type: (Derived from Txn_Type)	ICL Pathway MSU

Client / Reconciliation Date	Volume	Values (8 sub columns)
One row for each Client derived from Routing_Gateway where transactions have been received with a reconciliation date ahead of the run date. Where dates are shown for the same exception type, list in descending order.	**System State**: All States All transactions that were included on report NB102 Section 6 on 'yesterday's' reports and are not included in NB102 Section 6 on 'today's' reports.	

3.1.5.14 Incomplete State: Report Matrix

This table identifies reports NB100a / b where an incomplete state is exceptioned and the NB102 series report section where this is reported in detail.

Incomplete State	Transaction Components					Report Number	Exception report NB102 Section	
	C112	C12	C4	S	D		Uncleared	Cleared
1		√				100a/b	1 & 5	7 & 11
2		√	√			100b	1 & 5	7 & 11
4			√			100a	1 & 5	7 & 11
5	√					100b	1 & 5	7 & 11
6	√	√				100a	1 & 5	7 & 11
7	√		√			100a/b	1 & 5	7 & 11
8				√		100a	1 & 5	7 & 11
9	√			√		100a/b	1 & 5	7 & 11
10		√		√		100a/b	1 & 5	7 & 11
11	√	√		√		100a	1 & 5	7 & 11
12					√	100a	2	8
13		√			√	100a/b	2	8
14	√				√	100a/b	2	8
15	√	√			√	100a	2	8
16			Then √	√		100a	1 & 5	7 & 11
17	√		Then √	√		100a/b	1 & 5	7 & 11
18		√	Then √	√		100b	1 & 5	7 & 11
20				√	Then √	100a	2	8
21	√			√	Then √	100a/b	2	8
22		√		√	Then √	100a/b	2	8
23	√	√		√	Then √	100a	2	8

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3.1.5.15   Exception State: Report Matrix

This table identifies reports NB100a / b where a true exception appears and the NB102 series report section where this is reported in detail.

Exception State	Description	Report Number	Exception report NB102 Section	
			Uncleared	Cleared
E01	Additional C112	100b	1 & 5	7 & 11
E02	Additional C12	100a/b	1 & 5	7 & 11
E03	Additional D	100a	2	8
E04	Additional C4	100a	1 & 5	7 & 11
E05	Additional S	100a	1 & 5	7 & 11
E06	S after C4	100a	1 & 5	7 & 11
E07	S after D	100a	2	8
E08	C4 after D	100a	2	8
E09	D after C4	100a	2	8
E10	C112 after final state	100b	1 & 5	7 & 11
E11	C12 after final state	100a/b	1 & 5	7 & 11
E12	C4 after final state	100a	1 & 5	7 & 11
E13	D after final state	100a	2	8
E14	S after final state	100a	1 & 5	7 & 11
E15	Not Used			
E16	Not Used			
E17	Not Used			
E18	Not Used			
E19	Not Used			
E20	Amount of C112#C12	100b	1 & 5	7 & 11
E21	Amount of C112#C4	100a/b	1 & 5	7 & 11
E22	Amount of C112#S & C1#0	100a/b	1 & 5	7 & 11
E23	Amount of C12#C4	100a	1 & 5	7 & 11
E24	Amount of C12#S & C12#0	100a	1 & 5	7 & 11
E25	Amount of C112#D	100b	2	8
E26	Amount of C12#D	100a	2	8
E27	Incomplete/corrupt C112	100b	3	9
E28	Incomplete/corrupt C12	100a/b	3	9
E29	Incomplete/corrupt C4	100a	3	9
E30	Incomplete/corrupt D	100a	3	9
E31	Incomplete/corrupt S	100a	3	9
E32	Amount of C4#S & C4#0	100a	1 & 5	7 & 11
E33	Amount of D#S	100a	2	8
E34	C112 arrived after state F99	100b	1 & 5	7 & 11
E35	C12 arrived after state F99	100a/b	1 & 5	7 & 11
E36	C4 arrived after state F99	100a	1 & 5	7 & 11
E37	D arrived after state F99	100a	2	8
E38	S arrived after state F99	100a	1 & 5	7 & 11
E39	Settlement Date # Reconciliation Date	N/A	4	10

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3.1.6 NB103: Settled transaction / Cash Account Reconciliation Statement

This report allows POL to reconcile the settlement stream against the Outlet Cash Account stream. This reconciliation is required as settlement with the individual POL clients is based upon the reconciliation date, i.e. the business day upon which the transaction took place – this is carried right through the 'C4', 'S' & 'D', transaction components. To complete a full reconciliation, it is important to know which Cash Account the settled transaction was posted to, to enable a reconciliation of settlement to be made with the outlet records. This report reconciles the transactions by reconciliation date and Cash Account record.

3.1.6.1 NB103: Rules

1. NB103 is run weekly: In order to align with internal POL / TIP processing it is required that this report is produced **AFTER** TPS processing on Friday and **BEFORE** TPS processing on Saturday. The report should include all C4, S and D transaction components where:
   - reconciliation date = run date and,
   - reconciliation date = run date – 'N' (where 'N' = 1 to 13).
2. Where a C112 is available and the CAP is known, the transaction will be posted against the appropriate CBDB applicable to the reconciliation date – (see rules 8 & 9).
3. Where no C112 is available and therefore the CAP is unknown:
   - the C4, S and D transaction components should be posted to 'No Cash Account Allocated' (Column 7)
   - then, when the C112 becomes available, the entry should be deleted from 'No Cash Account Allocated' (Column 7) and posted to the appropriate CBDB week applicable to the reconciliation date on the C112 (see rules 8 & 9)
   - if no C112 has been received after 14 days, **the entry within 'No Cash Account Allocated' (Column 7) should remain until the C112 becomes available even if this exceeds 14 days**
4. If a transaction is posted to the row 'No C/A to TIP' (according to it's reconciliation date):
   - the transaction should remain in this row until the Cash Account has been delivered to TIP and then move up into the row 'C/A to TIP'
   - if no Cash Account has been delivered to TIP after 14 days, **the entry within 'No C/A to TIP' should remain until the Cash Account is delivered to TIP even if this exceeds 14 days**
5. As the report is run each week, the transactions should move across the report according to the CAP and the reconciliation date; for example, a transaction posted to CBDB>=plus 2 in the first week, will move to CBDB plus 1 the second week and then appear in CBDB the third week, until disappearing off the report after 14 days
6. NB103 reports on **VALUE** only
7. Only system states for settled transaction types (C4, S & D) to appear on this report.

8. Five CAP's will be shown, the 'CBDB', the 'CBDB' minus 1, the 'CBDB' <= minus 2, the 'CBDB' plus 1 and the 'CBDB' >=plus 2. In addition, those settled transactions which currently have not been allocated a Cash Account will be shown.

9. The 'CBDB' Cash Account period (CAP) equates to **TWO** CAP's prior to the CAP applicable to the run date of the report. For example: If the report was run on Saturday 20th January within CAP42 (*CAP 42 commenced on Thursday 17th January*), the 'CBDB' CAP would be CAP40 (*CAP40 commenced Thursday 3rd January, ended Wednesday 9th January*)

10. Where the CAP in which the Outlet is trading is numerically more than 2 weeks prior to the 'CBDB' CAP, if this takes the Outlet CAP into the previous year, this will be reported as such. For example: The 'CBDB' CAP is CAP 1 and the Outlet is trading in CAP 51, this is assumed to be CAP 51 of the previous year, (*therefore 'CBDB' <=minus 2*) and not reported ahead in the current year.

11. See Section 5 for specific values to be reported against appropriate system states

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.1.6.2   **NB103: Report Layout**

NB103: Settled Transaction / Cash Account Reconciliation Statement	Client:	Barclays etc	Produced on: dd/mm/yyyy at hh:mm:ss
Run Date: dd/mm/yyyy	**Transaction Type**:	Deposits etc	**ICL Pathway MSU**

Settled Transaction Reconciliation Date		CAP 'XX' < = - 2	CAP 'XX' -1	CBDB CAP 'XX'	CAP 'XX' +1	CAP 'XX' >= +2	No Cash Account Allocated	Total Value of Confirmed / Unconfirmed Txns
dd/mm/yyyy	C/A to TIP	99999999.99	99999999.99	99999999.99	99999999.99	99999999.99	99999999.99	9999999999.99
	No C/A to TIP	99999999.99	99999999.99	99999999.99	99999999.99	99999999.99	99999999.99	9999999999.99
dd/mm/yyyy	C/A to TIP	99999999.99	99999999.99	99999999.99	99999999.99	99999999.99	99999999.99	9999999999.99
	No C/A to TIP	99999999.99	99999999.99	99999999.99	99999999.99	99999999.99	99999999.99	9999999999.99
dd/mm/yyyy	C/A to TIP	99999999.99	99999999.99	99999999.99	99999999.99	99999999.99	99999999.99	9999999999.99
	No C/A to TIP	99999999.99	99999999.99	99999999.99	99999999.99	99999999.99	99999999.99	9999999999.99
dd/mm/yyyy	C/A to TIP	99999999.99	99999999.99	99999999.99	99999999.99	99999999.99	99999999.99	9999999999.99
	No C/A to TIP	99999999.99	99999999.99	99999999.99	99999999.99	99999999.99	99999999.99	9999999999.99
Repeat for 14 reconciliation dates + any reconciliation dates where there are settled transactions where the Cash Account has not been delivered to POL TIP or 'No Cash Account Allocated' (Column 7)								

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3.1.1.3   NB103: Data Definition

NB103: Settled Transaction / Cash Account Reconciliation Statement	Client: (Derived from Routing_Gateway)	Produced on: (Date and time of production)
Run Date: (The period for which the report refers – post Friday pre Saturday TPS processing)	**Transaction Type**: (Derived from Txn_Type)	**ICL Pathway MSU**

Settled Transaction Reconciliation Date		CAP 'XX' < = - 2	CAP 'XX' -1	CBDB CAP 'XX'	CAP 'XX' +1	CAP 'XX' >= +2	No Cash Account Allocated	Total Value of Confirmed / Unconfirmed Txns
dd/mm/yyyy	Confirmed & Unconfirmed transactions completed where the Cash Account **has** been delivered to PON / TIP	Total value of all settled transactions (C4, S & D), according to reconciliation date as allocated (or otherwise – column 7) to the appropriate CAP – where 'Reported CAP' is as section 3.1.6.1: NB103 Rules. **System State**: 2 - 4, 7 – 23 Reconciliation date = Run date & Run date – N (N = 1 to 13) and Reconciliation date = Run date – N (N = 14+) where 'No Cash Account Allocated' (Column 7) – See NB103 rule 3 bullet 3						Sum Columns 2,3,4,5,6,7 for this reconciliation date
dd/mm/yyyy	Confirmed and Unconfirmed transactions completed where the Cash Account **has not** been delivered to PON TIP	Total value of all settled transactions (C4, S & D), according to reconciliation date as allocated (or otherwise – column 7) to the appropriate CAP – where 'Reported CAP' is as section 3.1.6.1: NB103 Rules. **System State**: 2 - 4, 7 – 23 Reconciliation date = Run date & Run date – N (N = 1 to 13) and Reconciliation date = Run date – N (N = 14+) - See NB103 rule 4 bullet 2						Sum Columns 2,3,4,5,6,7 for this reconciliation date
Repeat for 14 reconciliation dates + any reconciliation dates where there are settled transactions where the Cash Account has not been delivered to POL TIP or 'No Cash Account Allocated' (Column 7)								

4.0 Transaction Flow (R.A.C Diagram)

Client

POCL

R3   A1   E1   E2   C3   C3$_{ac}$ EoD

NBE 3

A2

EoDS

C4/D

AIS I/F 4 — Settlement Support — Summaries by client (ΣC) & exceptions

TIP AIS — TP

C111 (within normal TIP feed)

AIS I/F 1   **AIS I/F 2**   **AIS I/F 3**

R2

C2

(Reconciliation Processing Tables) 2

Data Reconciliation Service Host

C112 (inc. CAP)

TP Host 4

C1

Authorisation Agent

2 Confirmation Agent

1

Existing TP Agent

C11 (within normal EOD harvest) inc. CAP

Campus

Outlet

R1   A3   C1

EPOSS Recon. totals

Riposte Messaging & Desktop

Counter Application

EOD Process

Notes

1. Logical And_Split (handled through multiple message harvesting into C11 & C12 **And_Split** (C2 message elem)
2. Logical ents are extracted from C12 as signed subset for onward transfer to NBE via interface agent)
3. Logical Or_Split. (explicit reporting, implicit reporting with error notification, implicit reporting normal path without error; internal to NBE)
4. Logical And_Split (handled through TPS host table extract & transfer, separate subsets transferred to DRSH as C112 and to TIP as C111)

ICL Pathway Ltd	NETWORK BANKING END TO END RECONCILIATION REPORTING COMMERCIAL IN CONFIDENCE	Ref:	CS/SPE/011
		Version:	2.0
		Date:	21/01/2002

5.0   Reporting Values according to System State

State				Value to use	State		Value to use
1	C12			C12	E01	Additional C112	C112
2	C12	C4		C4	E02	Additional C12	C12
3	C12	C4	C112	C4	E03	Additional D	D
4		C4		C4	E04	Additional C4	C4
5			C112	C112	E05	Additional S	S
6	C12		C112	C12	E06	S after C4	C4
7		C4	C112	C4	E07	S after D	D
8		S		S	E08	C4 after D	C4
9		S	C112	C112	E09	D after C4	D
10	C12	S		C12	E10	C112 after final state	C112
11	C12	S	C112	C12	E11	C12 after final state	C12
12		D		D	E12	C4 after final state	C4
13	C12	D		D	E13	D after final state	D
14		D	C112	D	E14	S after final state	S
15	C12	D	C112	D	E15	Not used	-
16		S/C4		C4	E16	Not used	-
17		S/C4	C112	C4	E17	Not used	-
18	C12	S/C4		C4	E18	Not used	-
19	C12	S/C4	C112	C4	E19	Not used	-
20		S/D		D	E20	Amount of C112#C12	C12
21		S/D	C112	D	E21	Amount of C112#C4	C112-C4
22	C12	S/D		D	E22	Amount of C112#S & C112#0	C112-S
23	C12	S/D	C112	D	E23	Amount of C12#C4	C12-C4
					E24	Amount of C12#S & C12#0	C12-S
					E25	Amount of C112#D	D
					E26	Amount of C12#D	C12-D
					E27	Incomplete/Corrupt C112	See below
					E28	Incomplete/Corrupt C12	See below
					E29	Incomplete/Corrupt C4	See below
					E30	Incomplete/Corrupt D	See below
					E31	Incomplete/Corrupt S	See below
					E32	Amount of C4#S & C4#0	C4
					E33	Amount of D#S	D-S
					E34	C112 arrived after state F99	C112
					E35	C12 arrived after state F99	C12
					E36	C4 arrived after state F99	C4
					E37	D arrived after state F99	D
					E38	S arrived after state F99	S
					E39	Settlement Date # Reconciliation Date	See below
					F99	MSU resolved	See below

Rules for E27 to E31, E39 and F99

If C4 is present, use C4 value	else	
If D is present, use Amount Authorised from D	else	
If C12 is present, use C12 amount	else	
If C112 is present, use C112 amount	else	
Use S amount		

Additional Notes

For states E27 to E31, use the first non corrupt value. If all values are corrupt or missing, then use 0.00

Wherever D value is shown, use Amount_Authorised from D

6.0 System States

Pre-validation
On Incomplete/Corrupt error go to:

When C112 C12 C4 D S Arrives, then: pre-validate E27 E28 E29 E30 E31

Validate on entry to State (# means 'not equal to')

	State	Conf Agent	NBE	TPS	When valid, go to State					Amount:Action	Amount:Action	Amount:Action	Settlement Date:Action	Raise alert when in State
Start	0				5	1	4	12	8	-	-	-	-	-
	1	C12			6	E02	2	13	10	-	-	-	-	Via report NB102 Section 5
	2	C12	C4		3	E02	E04	E09	E06	C12#C4:E23	-	-	C4 Settle Dt#Rec Dt:E39	Via report NB102 Section 5
Final	3	C12	C4	C112	E10	E11	E12	E13	E14	C112#C12:E20	C112#C4:E21	-	C4 Settle Dt#Rec Dt:E39	No
	4		C4		7	2	E04	E09	E06	-	-	-	C4 Settle Dt#Rec Dt:E39	Immediate if > 100
	5			C112	E01	6	7	14	9	-	-	-	-	Immediate if > 100
	6	C12		C112	E01	E02	3	15	11	C112#C12:E20	-	-	-	Via report NB102 Section 5
	7		C4	C112	E01	3	E04	E09	E06	C112#C4:E21	-	-	C4 Settle Dt#Rec Dt:E39	Immediate if > 100
	8			S	9	10	16	20	E05	-	-	-	S Settle Dt#Rec Dt:E39	Via report NB102 Section 5
	9			S C112	E01	11	17	21	E05	C112#S & C112#0:E22	-	-	S Settle Dt#Rec Dt:E39	Immediate if > 100
	10	C12		S	11	E02	18	22	E05	C12#S & C12#0:E24	-	-	S Settle Dt#Rec Dt:E39	Via report NB102 Section 5
	11	C12		S C112	E01	E02	19	23	E05	C112#C12:E20	C12#S & C12#0:E24	-	S Settle Dt#Rec Dt:E39	Via report NB102 Section 5
	12		D		14	13	E08	E03	E07	-	-	-	D Settle Dt#Rec Dt:E39	Via report NB102 Section 2
	13	C12	D		15	E02	E08	E03	E07	C12#D(C12):E26	-	-	D Settle Dt#Rec Dt:E39	Via report NB102 Section 2
	14		D	C112	E01	15	E08	E03	E07	C112#D(C12):E25	-	-	D Settle Dt#Rec Dt:E39	Via report NB102 Section 2
	15	C12	D	C112	E01	E02	E08	E03	E07	C112#C12:E20	C112#D(C12):E25	-	D Settle Dt#Rec Dt:E39	Via report NB102 Section 2
	16		S/C4		17	18	E04	E09	E05	C4#S & C4#0:E32	-	-	S or C4 Settle Dt#Rec Dt:E39	Via report NB102 Section 5
	17		S/C4	C112	E01	19	E04	E09	E05	C112#C4:E21	C4#S & C4#0:E32	-	S or C4 Settle Dt#Rec Dt:E39	Via report NB102 Section 5
	18	C12	S/C4		19	E02	E04	E09	E05	C12#C4:E23	C4#S & C4#0:E32	-	S or C4 Settle Dt#Rec Dt:E39	Via report NB102 Section 5
Final	19	C12	S/C4	C112	E10	E11	E12	E13	E14	C112#C12:E20	C12#C4:E23	C4#S & C4#0:E32	S or C4 Settle Dt#Rec Dt:E39	No
	20		S/D		21	22	E08	E03	E05	D(A)#S:E33	-	-	S or D Settle Dt#Rec Dt:E39	Via report NB102 Section 2
	21		S/D	C112	E01	23	E08	E03	E05	C112#S & C112#0:E22	D(A)#S:E33	-	S or D Settle Dt#Rec Dt:E39	Via report NB102 Section 2
	22	C12	S/D		23	E02	E08	E03	E05	C12#S & C12#0:E24	D(A)#S:E33	-	S or D Settle Dt#Rec Dt:E39	Via report NB102 Section 2
	23	C12	S/D	C112	E01	E02	E08	E03	E05	C112#C12:E20	C112#S & C112#0:E22	D(A)#S:E33	S or D Settle Dt#Rec Dt:E39	Via report NB102 Section 2

Exception states

	When									Raise alert
E01 Additional C112	-	-	-	-	-	-	-	-	-	Immediate if > 100
E02 Additional C12	-	-	-	-	-	-	-	-	-	Immediate if > 100
E03 Additional D	-	-	-	-	-	-	-	-	-	Immediate if > 100
E04 Additional C4	-	-	-	-	-	-	-	-	-	Immediate if > 100
E05 Additional S	-	-	-	-	-	-	-	-	-	Immediate if > 100
E06 S after C4	-	-	-	-	-	-	-	-	-	Immediate if > 100
E07 S after D	-	-	-	-	-	-	-	-	-	Immediate if > 100
E08 C4 after D	-	-	-	-	-	-	-	-	-	Immediate if > 100
E09 D after C4	-	-	-	-	-	-	-	-	-	Immediate if > 100
E10 C112 after final state	-	-	-	-	-	-	-	-	-	Immediate if > 100
E11 C12 after final state	-	-	-	-	-	-	-	-	-	Immediate if > 100
E12 C4 after final state	-	-	-	-	-	-	-	-	-	Immediate if > 100
E13 D after final state	-	-	-	-	-	-	-	-	-	Immediate if > 100
E14 S after final state	-	-	-	-	-	-	-	-	-	Immediate if > 100
E15 Not used	-	-	-	-	-	-	-	-	-	-
E16 Not used	-	-	-	-	-	-	-	-	-	-
E17 Not used	-	-	-	-	-	-	-	-	-	-
E18 Not used	-	-	-	-	-	-	-	-	-	-
E19 Not used	-	-	-	-	-	-	-	-	-	-
E20 Amount of C112#C12	-	-	-	-	-	-	-	-	-	Immediate if > 100
E21 Amount of C112#C4	-	-	-	-	-	-	-	-	-	Immediate if > 100
E22 Amount of C112#S & C112#0	-	-	-	-	-	-	-	-	-	Immediate if > 100
E23 Amount of C12#C4	-	-	-	-	-	-	-	-	-	Immediate if > 100
E24 Amount of C12#S & C12#0	-	-	-	-	-	-	-	-	-	Immediate if > 100
E25 Amount of C112#D	-	-	-	-	-	-	-	-	-	Immediate if > 100
E26 Amount of C12#D	-	-	-	-	-	-	-	-	-	Immediate if > 100
E27 Incomplete/Corrupt C112	-	-	-	-	-	-	-	-	-	Immediate if > 100
E28 Incomplete/Corrupt C12	-	-	-	-	-	-	-	-	-	Immediate if > 100
E29 Incomplete/Corrupt C4	-	-	-	-	-	-	-	-	-	Immediate if > 100
E30 Incomplete/Corrupt D	-	-	-	-	-	-	-	-	-	Immediate if > 100
E31 Incomplete/Corrupt S	-	-	-	-	-	-	-	-	-	Immediate if > 100
E32 Amount of C4#S & C4#0	-	-	-	-	-	-	-	-	-	Immediate if > 100
E33 Amount of D#S	-	-	-	-	-	-	-	-	-	Immediate if > 100
E34 C112 arrived after state F99	-	-	-	-	-	-	-	-	-	Immediate if > 100
E35 C12 arrived after state F99	-	-	-	-	-	-	-	-	-	Immediate if > 100
E36 C4 arrived after state F99	-	-	-	-	-	-	-	-	-	Immediate if > 100
E37 D arrived after state F99	-	-	-	-	-	-	-	-	-	Immediate if > 100
E38 S arrived after state F99	-	-	-	-	-	-	-	-	-	Immediate if > 100
E39 Settlement Date # Reconciliation Date	-	-	-	-	-	-	-	-	-	Via report NB102 Section 4
Final F99 MSU resolved	E34	E35	E36	E37	E38	-	-	-	-	No