

ICL Pathway

TPS Reconciliation & Incident Management

Ref: CS/PRO/111

Version: 0.51.0

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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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Author: Richard Brunskill (MSU Manager, ICL Pathway)

Reviewed By: PON: Lynn Kelly, Julie Dart, Liz J Tuddenham, Keith F Baines, ICL Pathway: John C.C. Dicks, John Pope

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Comments By: Asap28/09/00

Comments To: Author

Distribution: Reviewers, plus: John Dicks (Customer Requirements Director, ICL Pathway) John Pope (Customer Requirements, ICL Pathway) Paul Westfield (IS Manager, ICL Pathway) Peter Burden (Customer Services Manager, ICL Pathway) Evandro Manolas (ICL Pathway Process Consultant),

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Martin Box (POCL)
David Pye (POCL)
Graeme Seedall (POCL)
Anne Clarke (POCL)
Phil Turnock (POCL)
ICL Pathway CS/MSU
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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	
0.3	20/12/99	Third issue following review incorporating agreed changes	
0.4	14/01/00	Fourth issue following review and contractual changes	
0.5	27/01/00	Fifth issue following review and further contractual changes	
0.6	18/02/00	Sixth issue following review and comments	
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0.8	14/09/00	Eighth issue following for PON review	
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0.2 Approval Authorities

Name	Position	Signature	Date
John C.C. Dicks	ICL Pathway Director Customer Requirements		
Lynn KellyMartin Box	PONPOCL TIP		

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TPS Reconciliation & Incident Management

Ref: CS/PRO/111

Version: 0.510

SECURITY CLASSIFICATION

Date: 2731/01/0016/10/00

0.3 Associated Documents

Reference	Version	Date	Title	Source
CS/POL/001	1.00.3	28/09/99	Service Management Framework	ICL Pathway / POCL
CS/PRD/063	1.00.3	27/09/99	Generic Service Management Procedures	ICL Pathway / POCL

ICL Pathway

TPS Reconciliation & Incident Management

Ref: CS/PRO/111

SECURITY CLASSIFICATION

Version: 0.51.0

Date: 27/01/0016/10/00

0.4 Abbreviations

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

0.5 Definitions

Term	Explanation
TPS Report Set	The six Exception 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
Not Data Error	Where this term is used within this document it is meant as described within CA Sch. Go1 para 3.6.1.1

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Page: 5 of 54

Page: 34 of 1

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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 POCLPON 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 th July 1999 Schedule Go1, as amended by Schedule 5 of the Third Supplemental Agreement (dated 19 th 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.	

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ICL Pathway *TPS Reconciliation & Incident Management* Ref: CS/PRO/111

SECURITY CLASSIFICATION Version: ~~0.51.0~~
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Version	Changes
0.1.045	Changes in Consolidated PON comments received and incorporated. Reference to CS/POL/001 & CS/PRD/063 has been removed as these documents have now been withdrawn, line with final contractual review and comments received and discussed on 11/1/00, in line with the Third Supplemental Agreement dated 19/01/00

ICL Pathway

TPS Reconciliation & Incident Management

Ref: CS/PRO/111

Version: 0.51.0

SECURITY CLASSIFICATION

Date: 27/01/0016/10/00

0.60.7 Changes Expected

Formatted: Bullets and Numbering

Changes
Merger of APS and TPS Reconciliation & Incident Management procedures at CSR+ document issue.
Correlation with final version of the Supplementary Agreement.

0.70.8 Table of Contents

Formatted: Bullets and Numbering

1 INTRODUCTION..... 7

2 SCOPE 7

3 TPS RECONCILIATION REPORTS 8

4 RECONCILIATION AND INCIDENT HANDLING 9

4.1 Incident Classification..... 9

4.1.1 Business Incidents 9

4.1.2 System Incidents..... 9

4.2 Incident Originators..... 10

4.3 Generation of Business Incidents 10

4.4 Business Incident Categories 11

4.4.1 Data Errors & Not Data Errors 11

4.4.2 Business Incident Matrix 13

4.5 Incident Reporting 13

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..... 17

4.6 Incident Management Process..... 18

4.6.1 MSU Raised Business Incident - BIMS / MER Issued – (Records not repaired) 19

4.6.2 MSU Raised Business Incident - BIMS / MER Issued (Repaired Records) 20

4.6.3 PON TIP Raised Business Incident - BIMS / MER Issued 21

4.6.4 System Incident with Business Implications - BIMS / MER Issued – (Repaired / Not repaired records)..... 22

4.7 Links to Problem Management 23

4.8 Appendix 1: ‘System Incident Log’ 24

4.9 Appendix 2: Business Rules for Data Errors & Not Data Errors 25

4.9 Appendix 3: BIMS Report / MER Format..... 29

ICL Pathway

TPS Reconciliation & Incident Management

Ref: CS/PRO/111

SECURITY CLASSIFICATION

Version: 0.51.0
Date: 27/31/01/0016/10/00

1	INTRODUCTION	6
2	SCOPE	6
3	TPS RECONCILIATION REPORTS	7
4	RECONCILIATION AND INCIDENT HANDLING	8
4.1	Incident Classification	8
4.1.1	Business Incidents	8
4.1.2	System Incidents	8
4.2	Incident Originators	9
4.3	Generation of Business Incidents	9
4.4	Business Incident Categories	10
4.4.1	Data Errors & Not Data Errors	10
4.4.2	Business Incident Matrix	11
4.5	Incident Reporting	14
4.5.1	BIMS Reports / MER	14
4.5.2	System Incident Log	16
4.5.3	Reporting Timescales	16
4.5.4	Widespread Errors	17
4.5.5	Repairing Data	18
4.6	Incident Management Process	18
4.6.1	MSU Raised Business Incident - BIMS / MER Issued - (Records not repaired)	19
4.6.2	MSU Raised Business Incident - BIMS / MER Issued (Repaired Records)	20
4.6.3	POCL TIP Raised Business Incident - BIMS / MER Issued	21
4.6.4	MSU Raised Non Polled Outlet Incident - BIMS only issued	22
4.6.5	System Incident with Business Implications - BIMS / MER Issued - (Repaired / Not repaired records)	24
4.7	Links to Problem Management	25
4.8	Appendix 1: 'System Incident Log'	26
4.9	Appendix 2: Business Rules for Data Errors & Not Data Errors	27
4.9	Appendix 3: BIMS Report / MER Format	31

© 1999-2000 ICL Pathway Limited _____ SECURITY CLASSIFICATION SECURITY CLASSIFICATION

Page: 10 of 54 _____ Page: 34 of 1

Printed On:

16/05/2022 16/10/0016/10/0031/01/0027/01/00

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1	INTRODUCTION	5
2	SCOPE	5
3	TPS RECONCILIATION REPORTS	6
4	RECONCILIATION AND INCIDENT HANDLING	7
4.1	Incident Classification	7
4.1.1	Business Incidents	7
4.1.2	System Incidents	7
4.2	Incident Originators	8
4.3	Generation of Business Incidents	8
4.4	Business Incident Matrix	8
4.5	Incident Reporting	10
4.5.1	BIMS / MER Reports	10
4.5.2	System Incident Log	12
4.5.3	Reporting Timescales	12
4.5.4	Widespread Errors	13
4.6	Incident Management Process	13
4.6.1	MSU Raised Business Incident – BIMS / MER Issued – No Corrective Records	14
4.6.2	MSU Raised Business Incident – BIMS / MER Issued (Corrective Records)	15
4.6.3	POCL TIP Raised Business Incident – BIMS / MER Issued	17
4.6.4	MSU Raised Non Polled Outlet Incident – BIMS only issued	18
4.6.5	'System' Incident with 'Business' Implications – BIMS / MER Issued	20
4.7	Links to Problem Management	21

ICL Pathway

TPS Reconciliation & Incident
Management

Ref: CS/PRO/111

SECURITY CLASSIFICATION

Version: 0.51.0

Date: 27/01/0016/10/00

1 Introduction

The TPS ~~report~~ Report set ~~Set~~ has been designed to enable the transactions carried out in outlets using Electronic Point of Sale Service (EPOSS) system on the Outlet Processing System (OPS), to be reconciled with the transaction data which is returned-transmitted to POCLPON 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 Sets also ~~identify~~ identifies any "exceptionserrors", which occur within Counter-counter transactions, or during the Harvesting-harvesting process. In addition to exceptionserrors highlighted by ICL Pathway within the EPOSS-TPS report-Report set ~~Set~~, exceptionserrors may also be discovered by POCLPON for non-reported non-reported errors when reconciling data within its central systems or which relate to client-enquiries from POCLPON clients. To initiate the BIMS procedure, ICL Pathway and POCLPON may raise ~~generate~~ a Business Incident ~~for~~ Incidents for one or more exceptionserrors discovered.

NB: Acceptance of this document ~~should 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 Management Support Unit (CS / MSU), for dealing with the-Business Incidents relating to the Transaction Processing System (TPS) reconciliation-Rreport Set exceptionserrors and POCLPON raised generated Business Incidents. - This includes reconciling the data contained in the TPS Rreport Sets and raising Horizon System Help Desk (HSH-) Business Incidents, ~~and~~ Business Incident Management System (BIMS) reports Reports and Manual Error Reports (MER) where necessary.

NB: ~~'BIMS' replaces the current Reconciliation Exception Database (RED) (Expected implementation 03/2000) subject to agreement between ICL Pathway and POCL re. the content and format of the incident management reports. If further work is required and BIMS cannot be delivered by 03/2000, it must be assumed, within this document that where references are made to BIMS reports,~~

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Page: 12 of 54

Page: 34 of 1

Printed On:

16/05/202216/10/0016/10/0031/01/0027/01/00

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ICL Pathway

TPS Reconciliation & Incident
Management

Ref: CS/PRO/111

Version: 0.510

SECURITY CLASSIFICATION

Date: 2731/01/0016/10/00

~~the existing RED reports will be adapted to contain the same information as required for a BIMS Report / MER, as set out in this document.~~
~~continue.~~

ICL Pathway

TPS Reconciliation & Incident
Management

Ref: CS/PRO/111

SECURITY CLASSIFICATION

Version: 0.51.0

Date: 27/01/0016/10/00

3 TPS Reconciliation Reports

ICL Pathway will generate currently generate six daily TPS ~~exception~~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~~host to ~~POCLPON~~TIP do not match the ~~Daily~~daily Transaction transaction Totals-totals calculated by the counters.

2. TPS Harvester ~~Exceptions~~Errors:

Lists ~~exception~~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~~control totals for the number of entries on the Cash Account output by the ~~Host~~host to ~~POCLPON~~TIP do not match the ~~Control~~control Totals-totals calculated by the ~~Counters~~counters

4. Counter Detected Reconciliation Errors:

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

5. Counter Transaction ~~Exceptions~~Errors:

Lists ~~exception~~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 ~~POCLPON~~TIP.

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

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ICL Pathway

*TPS Reconciliation & Incident
Management*

Ref: CS/PRO/111

SECURITY CLASSIFICATION

Version: 0.51.0

Date: 27/01/0016/10/00

All ~~six-seven~~ reports will be routed to ICL Pathway ~~Customer Service Management Support Unit (MSU)~~ CS / 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 sense that the reporting process in itself has failed, CS/ MSU will raise a ~~system~~ System incident Incident via the HSH.

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

4 Reconciliation and Incident Handling

4.1 Incident Classification

4.1.1 Business Incidents

~~Resolve 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 ~~POCLPON~~.

A Business Incident relates to one or more of the All exceptionerrors highlighted-reported within the EPOSS-TPS report Report setSet, and-or all-one or more of the reconciliation or settlement issues exceptionerrors highlighted-raised in accordance with this document by POCLPON TIP or TP are classified as 'Business Incidents'. Each exceptionerror is categorised as a Data Error or a Not Data Error in accordance with section 4.4.1. The incident classification determines the resolution detail required to bring the incident to a satisfactory conclusion. In the case of Business Incidents, CS / MSU will ensure sufficient data is supplied to POCL to:

ICL Pathway

TPS Reconciliation & Incident Management

Ref: CS/PRO/111

Version: 0.51.0

Date: 27/01/0016/10/00

SECURITY CLASSIFICATION

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

Or;

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

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

1.1.24.1.2 System Incidents

Resolve/Relate to the underlying 'Cause'

~~System incidents~~System Incidents can may be raised by ICL Pathway initially to cover file rejections, ~~or non-delivery~~non-delivery of files, or failures in the delivery of the TPS Report Set, where there is no associated Business IncidentBusiness Incident. HoweverIn addition, following the creation of a Business IncidentBusiness Incident, it may be deemed necessaryICL Pathway may to raise an associated 'System Incident'System Incident. This System Incidents will be routed to the appropriate area-group within ICL Pathway, i.e. Development or Reference Data, if it is felt that there is a fault within the Horizon System software or reference data that requires attentionfor investigation and resolution.

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

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

~~one to one~~

Or;

- one to many

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ICL Pathway

TPS Reconciliation & Incident
Management

Ref: CS/PRO/111

SECURITY CLASSIFICATION

Version: 0.51.0

Date: 27/01/0016/10/00

1.24.2 Incident Originators

It is envisaged that ~~'Business' incidents~~ Business Incidents will only be generated by the following ~~areas-groups~~ within ICL Pathway and ~~POCLPON~~:

- CS / MSU for ~~exception~~ errors reported via the ~~EPOSS-TPS report~~ Report set ~~Set and the Non-Polled outlets report~~

-

- ~~POCLPON~~ TIP / TP for any other reconciliation or settlement ~~issue~~ ~~exception~~ error discovered by ~~PON~~ that has not been reported by ICL Pathway.

-

- ICL Pathway SSC for any system fault or data 'surgery' which is ~~felt~~ considered by ICL Pathway to have a reconciliation or settlement implication within ~~POCLPON~~.

~~It is not expected at this point that~~ Subject to agreement by the parties to the contrary, ~~Outlet-outlet~~ calls to the HSH will ~~not~~ generate ~~'Business' incidents~~. Business Incidents. However calls from ~~Outlets-outlets~~ will be monitored and if it is ~~felt~~ considered there is a need to route any incident to CS / MSU for action, the procedure can be easily adapted to cater for this occurrence necessary by ICL Pathway, difficulties reported to the HSH will be elevated to Business Incident status.

1.34.3 Generation of Business Incidents

In line with the generic incident management policy agreed between ICL Pathway and ~~POCLPON~~, ~~cross-domain Business Incidents~~ will only be recognised ~~as such~~ if ~~generated by ICL Pathway or POCLPON~~, as appropriate, via the HSH. This ~~is the only way into~~ ensures that the Business

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Page: 17 of 54 _____ Page: 34 of 4

Printed On:

16/05/202216/10/0016/10/0031/01/0027/01/00

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ICL Pathway

TPS Reconciliation & Incident
Management

Ref: CS/PRO/111

SECURITY CLASSIFICATION

Version: 0.51.0

Date: 27/01/0016/10/00

~~Incident is properly logged, enabling BIMS-CS / MSU and therefore the only way~~ to ensure that corrective information can be supplied and any underlying system fault can be rectified.

It is important that ~~enough information is supplied~~ **POCLPON TIP / TP** supply sufficient ~~to information to~~ the HSH when ~~raising-generating an incident a Business Incident~~ to ensure ~~that the incident is routed to the correct area within ICL Pathway and therefore guarantee a speedy resolution, 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~~ The following information ~~being provided by POCLPON TIP / TP must ALWAYS be quoted when raising-generating an a Business incident 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'
- ~~Wherever possible, always quote a~~ The valid incident type-class (from the 'Business Incident Matrix', ~~see below section 4.4)-2), if one is applicable, should be quoted~~ together with any other relevant detail, e.g. product idId, CA lines etc.

NB: Where **POCLPON** TIP / TP raise ~~an 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 CS / MSU. (A current contact list will be made available to **POCLPON**).

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~~1.4.4.4 Business Incident Matrix~~ **Business Incident Categories**

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4.4.1 Data Errors & Not Data Errors

The action to be taken by ICL Pathway in respect of an ~~exceptionerror~~ which gives rise to a Business Incident, and whether or not ICL Pathway has to pay a charge to **POCLPON** in relation to such an ~~exceptionerror~~, depends, amongst other things, on whether the ~~exceptionerror~~ is a Not Data Error or a Data Error.

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Page: 18 of 54

Page: 34 of 1

Printed On:

16/05/202216/10/0016/10/0031/01/0027/01/00

Nothing contained herein shall be deemed or construed as affecting existing contractual obligations or creating new contractual obligations between ICL Pathway and the DSS/or POCL

ICL Pathway

*TPS Reconciliation & Incident
Management*

Ref: CS/PRO/111

SECURITY CLASSIFICATION

Version: 0.51.0

Date: 27/01/0016/10/00

as defined in CA Sch. Go1 para 3.6.61.1. The following explanations are provided to assist ICL Pathway and ~~POCLPON~~ when classifying errors and do not modify, in any way, CA Sch. Go1 para 3.6.

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

If, following discovery of an ~~exceptionerror~~, there is insufficient information available to ICL Pathway to determine whether that ~~exceptionerror~~ 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 ~~exceptionerror~~ shall be treated as a Data Error.

4.4.1.1 Not Data Errors - categories

A. The following ~~exceptionerrors~~, whether they are related to a transaction or a Cash Account are always **Not Data Errors**:

- (i) an ~~exceptionerror~~ 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 ~~exceptionerror~~ caused by the input of erroneous data by a user during migration of ~~POCLPON~~ data to any outlet (i.e. during data migration), except where data migration tools provided by ICL Pathway are supposed to detect such an ~~exceptionerror~~; the migration tool is properly used but the ~~exceptionerror~~ is not detected;
- (iii) an ~~exceptionerror~~ caused by ~~POCLPON~~ reference data, provided that ICL Pathway has properly applied that reference data; and
- (iv) an ~~exceptionerror~~ 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)

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;

- (ai) the inaccuracy was not caused primarily by:

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ICL Pathway

*TPS Reconciliation & Incident
Management*

Ref: CS/PRO/111

SECURITY CLASSIFICATION

Version: 0.51.0

Date: 27/01/0016/10/00

(i)a) inaccurate ICL Pathway reference data;(ii)b) ICL Pathway incorrectly applying POCLPON reference data; or(c) an ICL Pathway generated software error; or(bii) the inaccuracy was caused by one of the causes listed in (ai), but it could have been corrected by a user in the outlet, if that user had applied a "work around" previously agreed by ICL Pathway and POCLPON to deal with such errors/inaccuracies.4.4.1.2 Data Errors – Categories

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

ICL Pathway

*TPS Reconciliation & Incident
Management*

Ref: CS/PRO/111

Version: ~~0.51.0~~
Date: ~~27/01/00~~16/10/00

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4.4.2 Business Incident Matrix

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The following ~~table~~Business Incident Matrix identifies Business incident~~Business Incident classes, which is an attempt to provide a working description of known classes of Business Incidents in relation to BIMS. This list has provisionally been~~is based on the list of incidents

provisionally agreed between ICL Pathway and ~~POCLPON~~ at the joint workshop held on 02/11/99 for EPOSS / TPS related ~~exceptions~~Business Incidents. ~~and The list also includes those additional Business Incident types documented within the 'CA Sch. Go1 Error Matrix, Annex 1'. It is an~~As such the list is an initial attempt to identify all currently ~~understood as many of the Business Incident classes- but it may not possible but is not meant to be exhaustive.~~

~~Nas new Business Incident classes can be added to the table if incidents occur which do not fall within known Business Incident classes, at any time according to requirements. The 'Incident Classification Code' is in accordance with the 'CA Sch-Go1, para 3.6.2' The current Business Incident Matrix is held within the BIMS database and an extract can be provided to PON at any time for audit and checking.~~

Incident Class	CodeBI MS Code	Reported Incident Classification- Code
Outlet paper CA does not agree with electronic CA <u>Committed Cash Account does not agree with Electronic Cash Account</u>	0001	YE
Signed re-printed paper CA does not agree with electronic CA	0002	YA
Transaction has null mode	0003	YC
Transaction posts to a null product	0004	YC
Transaction has no primary mapping	0005	YC
Transaction mode for new reversal - should be Serve Customer	0006	YC
Transaction start date is null	0007	YC
Transaction end date is null	0008	YC

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Ref: CS/PRO/111

Version: 0.51.0

Date: 27/01/0016/10/00

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Transaction for an unknown mode as per mode parameters	0009	YC
Transaction product has no CA mapping object	0010	YD
CA node does not exist for CA mapping node specified	0011	YG
Double negative in quantity field	0012	YC
Double negative in sale value field	0013	YC
Missing EPOSS transactionMigration of erroneous ECCO transfer transactions	0014	YF
Non-polled office	0015	YF
Transaction reversed with incorrect details	0016	NE
Invalid reference data	0017	NG
Customer / Client enquiry	0018	NE
Receipts and Payments do not balance (migration)	0019	YF
Receipts and Payments do not balance (post migration)	0010020	YD
Transaction cannot be reversed following End of Day	00120021	NE

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Ref: CS/PRO/111

SECURITY CLASSIFICATION

Version: 0.51.0

Date: 27/01/0016/10/00

Incident Class	BIMS Code	Incident Classification Code
<u>Deleted Stock Unit (SU)</u>	0022	C
<u>Stock Unit double roll over</u>	0023	A
<u>New Stock Unit / Blank fields</u>	0024	D
<u>Transaction timestamp missing</u>	0025	C
<u>Replication recovery</u>	0026	C
<u>Fee migration correction error</u>	0027	E
<u>Multiple simultaneous roll over</u>	0028	A
<u>Settlement of reversal of the settlement of a stock adjustment</u>	0029	G
<u>Incorrect recording of stock transfer transactions & consequences</u>	0030	A
<u>APS reversal transaction with missing O mode</u>	0031	C
<u>Missing primary mappings in reference data</u>	0032	E
<u>Transfer out transaction with DNN session</u>	0033	C
<u>Persistent Object update problem</u>	0034	D
<u>Deletion of non core reference data</u>	0035	E
<u>Volume only transaction in deleted stock unit</u>	0036	D
<u>Partial transfer</u>	0037	D
<u>Field size problem</u>	0038	C
<u>Migration of incorrect office B/F balance</u>	0039	E
<u>Replication timing problem</u>	0040	D
<u>Transaction input by user to wrong week</u>	0041	E

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Page: 24 of 54 _____ Page: 34 of 4

Printed On:

16/05/202216/10/0016/10/0031/01/0027/01/00

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Management

Ref: CS/PRO/111

SECURITY CLASSIFICATION

Version: 0.51.0

Date: 27/01/0016/10/00

1.54.5 Incident Reporting

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4.5.1 BIMS Reports / MER Reports

BIMS when introduced, will replace the current RED reporting process and has been designed to report the progress to resolution of a 'Business' incidentBusiness Incident to allow POCLPON to complete an accurate reconciliation (within POCLPON central systems) or settlement with their clients. For ease of identification and association with the corresponding HSH call, BIMS report-Report references will mimic the HSH reference. However they will be prefixed with a letter 'B', e.g. HSH ref.: E9912120011 = BIMS ref.: BE9912120011.

1.1.1.4.5.1.1 When a BIMS / MER is RequiredFormat and Content of BIMS Report / MER

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A BIMS report, and if necessary an associated Manual Error Report (MER), giving full transaction detail where necessary, will be issued for each individual exception raised via the HSH to generate a 'Business' incident. Whether or not a MER is raised, is dependent upon the following criteria: A BIMS Report will be issued for each Business Incident raisedgenerated via the HSH. A. In additions part of that BIMS report, ICL Pathway will issue an MER for each exceptionerror associated with the relevant Business Incident where it is necessary to do so to comply with CA Sch. Go1 para 3.6.

ICL Pathway may wish to retain and repair any erroneous records and forward these electronically to POCL. In this case a BIMS report with no MER is issued

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- ICL Pathway may wish to allow a series of erroneous records to be forwarded to POCL, and provide corrective details via a BIMS report with a MER for up to a total of 50 transaction and / or Cash Account errors in a particular CAP, (the same office CAP number as designated by the application). This ceiling of 50 may be increased following agreement between CS / MSU and POCL 'Incident Manager Transaction Processing'. Where the number of errors

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Page: 25 of 54

Page: 34 of 1

Printed On:

16/05/202216/10/0016/10/0031/01/0027/01/00

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ICL Pathway

TPS Reconciliation & Incident Management

Ref: CS/PRO/111

SECURITY CLASSIFICATION

Version: 0.51.0

Date: 27/01/0016/10/00

exceeds 50, ICL Pathway must always return corrected records electronically to POCL.

NB: Any transaction or Cash Account error processed by ICL Pathway which has been discovered after transmission to POCL before the conclusion of the CAP in which it has occurred will count towards the 50 per CAP limit. However, where the transaction or Cash Account error is discovered after transmission to POCL and AFTER the conclusion of the CAP in which it has occurred, ICL Pathway will be entitled to submit a MER in place of an electronic record.

Appendix 2 details in tabular form the different exception criteria and the business rules surrounding the transmission of data from ICL Pathway to POCL and the production of MER where necessary.

1.1.1.2 Format of BIMS / MER

BIMS Reports / MER reports are only designed to advise-notify POCLPON of any-the detail required to assist in the reconciliation or settlement process within POCLPON. They communicate only-information concerning the resolution of the 'Symptom' of any underlying cause, not the cause itself. Where an error is being advised, the BIMS / MER report will identify the original error, the correct information and any difference between the two.

Business Incident reporting to POCLPON 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 POCLPON TIP / TP with a brief description of each exceptionerror to the extent that each exceptionerror can be identified.

2. BIMS Report for a repaired Data Error

This will be the standard BIMS Report as shown in Appendix 3. However, the 'Transaction Details' section may be completed if considered necessary by ICL 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

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TPS Reconciliation & Incident Management

Ref: CS/PRO/111

SECURITY CLASSIFICATION

Version: 0.51.0
Date: 27/31/01/0016/10/00

Error associated with the Business Incident, and specifying in a format (suitable for **POCLPON** TIP to key into a **POCLPON** 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

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- 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.

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

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

Where an associated MER is issued, the appropriate mandatory transaction fields required by **POCL** TIP to manually adjust their processing systems will be completed in respect of both transaction and Cash Account errors.

Where a MER is considered by ICL Pathway to be the chosen option, a separate report will be provided for each transaction error or Cash Account error discovered, subject to the following conditions:

- Where an identical error type in a Cash Account appears in more than one place, all errors of this type will be included on **ONE** MER
- Where two or more different error types appear on the same Cash Account, each will require a separate MER.

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BIMS **Reports** / MER **reports** will not advise any detail as to the underlying 'Cause' of the problem if this is a result of a software error etc. This information is supplied via the 'System Incident Log', (SIL). Where ~~an associated~~ 'System' ~~incident~~**System Incident** is ~~raised~~**generated** to eradicate the cause of a particular problem, ~~leading to one or a series of and there are one or more associated~~ 'Business' ~~incidents~~**Incidents**, cross-references will be supplied on the 'Business' ~~incident~~**Business Incident** -BIMS **Report** / MER ~~report~~ to allow tracking of the 'System' ~~incident~~**System Incident**.

ICL Pathway

*TPS Reconciliation & Incident
Management*

Ref: CS/PRO/111

SECURITY CLASSIFICATION

Version: 0.51.0

Date: 27/01/0016/10/00

~~1.1.1.3~~ 4.5.1.2 Clearance / Closure Criteria & Charges Applicable to MERs

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

A BIMS Report / MER report is 'Cleared' (for the purpose of determining whether the timescales as quoted within section 4.5.3 have been met), when POCL TIP/ TP are satisfied that enough detail has been supplied to allow a full reconciliation or settlement to take place. ICL 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 / MER report is then closed following agreement between POCLPON and ICL 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 System Incident, the BIMS Report/ MER report is closed subject to the clearance criteria described above being met
2. If there is an associated 'System' incident System Incident, the BIMS Report / MER report is closed subject to the successful closure of the 'System' incident System Incident and removal of the underlying system fault, by ICL Pathway.

ICL Pathway will inform POCLPON will advise ICL Pathway on a monthly basis via spreadsheet of any liquidated damages payments it considers are payable to POCLPON (as compensation for POCLPON's costs in dealing with charges resulting from the completion of a MERs) and / or its charges for dealing with widespread errors, are advised to POCL at the monthly Incident Management Review and processed via the agreed invoicing route. 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 liquidated damages payment will be payable 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.

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Page: 28 of 54

Page: 34 of 1

Printed On:

16/05/2022 16/10/0016/10/0031/01/0027/01/00

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ICL Pathway

TPS Reconciliation & Incident
Management

Ref: CS/PRO/111

Version: 0.51.0

Date: 27/01/0016/10/00

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~~1.1.1.4.4.5.1.3~~ Notification of Anticipated ~~Exceptions~~Errors

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There may be certain instances where an ~~exception~~error identified in 'Week 1' will have an equal and opposite ~~exception~~error generated in 'Week 2'. For example, if there is a difference

difference in the derived transaction total transmitted to POCLPON 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 ~~two only one~~ BIMS Reports and / MERs if appropriate, ~~reports~~ will be issued following the notification of the error within Week 1.

~~1.1.1.5.4.5.1.4~~ Report Distribution

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~~It is ICL Pathway's intention to place will distribute all~~ BIMS Reports / MER's and the Non Polled Outlet report ~~reports on a stand alone PC within the Customer Service department and allow dial up access to the necessary departments within POCLPON using the PON mail network accessed via 'Lotus Notes'. In the event that this facility is temporarily unavailable, reports will be distributed via the ICL Pathway mail system. Until this application has been completed facility is available, it has been agreed that BIMS Reports / MERs reports will be faxed by CS / MSU to POCL "Incident Manager Transaction Processing" in respect of of transaction and Cash Account errors, Data Errors and Not Data Errors and posted by first class mail in respect of Non-Polled outlet exceptions.~~

BIMS Reports / MERs sent by fax distributed in accordance with this section will be deemed to have been issued to POCLPON, and / or POCLPON given notice of any ~~exceptions~~errors described therein, at the time of transmission by fax (as confirmed by the relevant ICL Pathway fax delivery report).mail.

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

~~1.1.2.4.5.2~~ System Incident Log

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The SIL is intended to track the progress to resolution of a '~~System incident~~System Incident' ~~raised generated~~ to eradicate an underlying system fault. In practice, one system fault

could lead to a number of '~~ssymptoms~~' generating '~~Business incidents~~Business Incidents'. The SIL has been developed to remove the need to annotate each BIMS Report / MER ~~report~~ associated with a particular system fault, with the

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Page: 29 of 54

Page: 34 of 1

Printed On:

16/05/202216/10/0016/10/0031/01/0027/01/00

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ICL Pathway

TPS Reconciliation & Incident
Management

Ref: CS/PRO/111

SECURITY CLASSIFICATION

Version: 0.51.0

Date: 27/01/0016/10/00

detail required to ensure **POCLPON** 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.

1.1.34.5.3 Reporting Timescales

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CS / MSU will use reasonable endeavours to raise Anan initial BIMS Report / MER report (V1.0) relating to a new Business Incident. -will be issued by CS / MSU and delivered and make this This will be made available in accordance with section 4.5.1.4. -to the **POCLPON** 'Incident Manager, Transaction Processing', on the same working day as the Business Incident is raised-generated via the HSH-, or in any event on the morning of the next working day. (In the event of the EPOSS-TPS reconciliation reports Report Set not being available to CS / MSU inMSU in time to enable any exceptionerrors to be notified within this timescale, CS / MSU will contact the **POCLPON** 'Incident Manager Transaction Processing' to agree a temporary extension to the timescale). This initial, incomplete, BIMS Report -will serve to notify **POCLPON** that a Business Incident has occurred and that the completed BIMS Report will be provided to **POCLPON** within the agreed timescales. MER report may or may not have all the detail required to enable POCL to reconcile or settle with their client(s), however it will be followed up by subsequent versions as more information is acquired by CS / MSU.

The finalICL Pathway will use reasonable endeavours to ensure the final BIMScompleted BIMS Report / MER, is made available in accordance with section 4.5.1.4 and report advising full reconciliation and settlement information must be completedis cleared within five working days from the date the 'Business' incidentIncident was raised-generated via the HSH.

Where a correction file is requiredthere is a need to correct Data Errors (see appendix 2), ICL Pathway will use reasonable endeavours to deliver this filethe corrected data file to TIPto **POCLPON TIP** within five working days from the date the 'Business' incidentBusiness Incident was raised-generated via the HSH. This may however, not always be practical due to the technicalities of creating a correction-corrected data file if there is a high volume of data. If the 5-day timescale cannot be achieved, an agreed form of action will be taken following escalation via the Service Management Forum.

If the BIMS Report / MER is not cleared (in accordance with section 4.5.1.2) or ICL Pathway think it is unlikely to be cleared within five working days, ICL

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Page: 30 of 54

Page: 34 of 1

Printed On:

16/05/202216/10/0016/10/0031/01/0027/01/00

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ICL Pathway

TPS Reconciliation & Incident
Management

Ref: CS/PRO/111

SECURITY CLASSIFICATION

Version: 0.51.0

Date: 27/01/0016/10/00

Pathway shall immediately notify POCLPON's Head of Service Management Incident Manager Transaction Processing and shall procure that ICL Pathway's Customer Service Director Management Support Unit Manager (or in his absence, his deputy) is made available to meet with POCLPON's Head of Service Management Incident Manager Transaction Processing, (or his delegate), to discuss the delay within two working days of such notification.

There is no strict timescale for the resolution of an associated 'System' incident 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 in conjunction with taking into account POCLPON'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. There will however be some exceptional cases where this will not be achievable, however ICL Pathway would not expect this to exceed 5% of the total number of root causes analysed. A System Incident will be closed by ICL Pathway once the relevant fix has been developed and tested, or a correction to the relevant erroneous reference data has been authorised or approved for release through the appropriate agreed procedures between ICL Pathway and PON. The SIL, advising the current status of this 'System' System Incident will be delivered to POCLPON TIP / TP at the end of each week. POCLPON may telephone CS / MSU at any time to receive an update as to the status of any System Incident documented on the SIL.

1.1.44.5.4 Widespread Errors

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ICL Pathway will constantly monitor 'trigger points' within the process, for example HSH calls and the EPOSS TPS reconciliation reports Report Set, which can alert of any likely potential or actual 'widespread' errors in either 'Data' or 'Not Data' which are those Data Errors or Not Data Errors affecting Cash Accounts in a Cash Account Period at more than 100 outlets. (This includes the notification of Cash Account files not sent to TIP and whether or not ICL Pathway is in a position to recover any missing data files)

Should this scenario occur, joint, ICL Pathway Business Continuity Manager shall immediately notify POCLPON Business Continuity Manager of the widespread error. Upon giving such notice the provisions of this document (other than this section) shall cease to apply to that particular widespread

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Page: 31 of 54

Page: 34 of 1

Printed On:

16/05/2022 16/10/0016/10/0031/01/0027/01/00

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ICL Pathway

TPS Reconciliation & Incident
Management

Ref: CS/PRO/111

SECURITY CLASSIFICATION

Version: 0.51.0

Date: 27/31/01/0016/10/00

error. Instead alternative joint action will be agreed between ICL Pathway and POCLPON and POCL in accordance with the Business-business Continuity continuity Processpolicy. as documented in:described in the following documents which are intended to become CCD's:

- CS/POL/001 'Service Management Framework / Business Continuity Management' (or pending the signature of CS/POL/001, the draft of that document dated 28/09/99, Vo.3)
- CS/PRD/063 'Generic Service Management Process. (or pending the signature of CS/PRD/063, the draft of that document dated 27/09/99, Vo.3).

The charges for widespread errors shall be as set out in CA Sch.Goi paras 3.6.4.3 & 3.6.4.4.

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4.5.5 Repairing Data

Where Data Errors are corrected by ICL Pathway ICL Pathway corrects Data Errors, ONE Business Incident will be raised to cover each exception whicherror, which has been corrected (or group of exceptionerrors 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 exceptionerror or group of exceptionerrors.

Where there is a need to correct Data Errors, ICL 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, CS / MSU will promptly inform POCLPON '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. POCLPON may wish to review and validate these assumptions on a case by case basis and it should be noted that any assumptions made would not necessarily set a precedent.

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

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Page: 32 of 54

Page: 34 of 1

Printed On:

16/05/202216/10/0016/10/0031/01/0027/01/00

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ICL Pathway

*TPS Reconciliation & Incident
Management*

Ref: CS/PRO/111

SECURITY CLASSIFICATION

Version: 0.51.0

Date: 27/01/0016/10/00

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 usual processes required to bring each 'Business' Business Incident and 'System' incident System Incident to a successful conclusion within ICL Pathway and POCLPON and are for information only. They do not attempt to describe any low-level ICL Pathway procedures.

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

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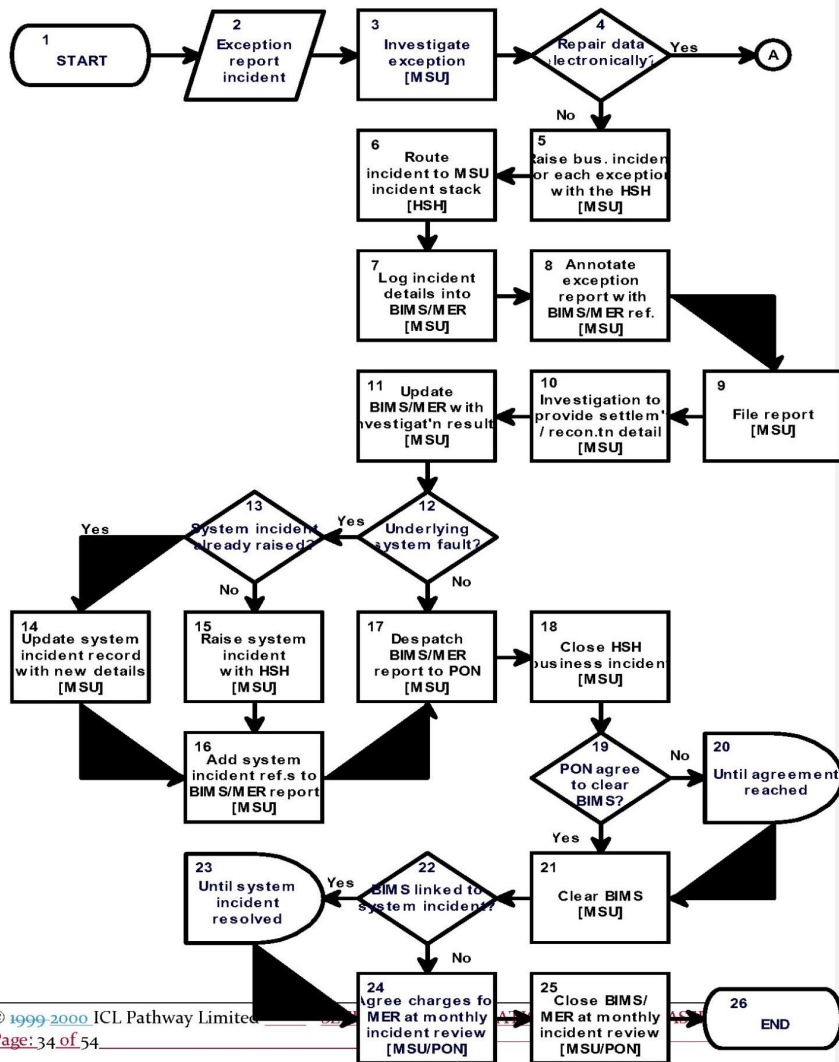
Ref: CS/PRO/111

SECURITY CLASSIFICATION

Version: 0.51.0

Date: 27/01/0016/10/00

1.1.14.6.1 MSU Raised Business Incident - BIMS / MER Issued -- (No Corrective Records not repaired) Records



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Page: 34 of 54

16/05/202216/10/0016/10/0031/01/0027/01/00

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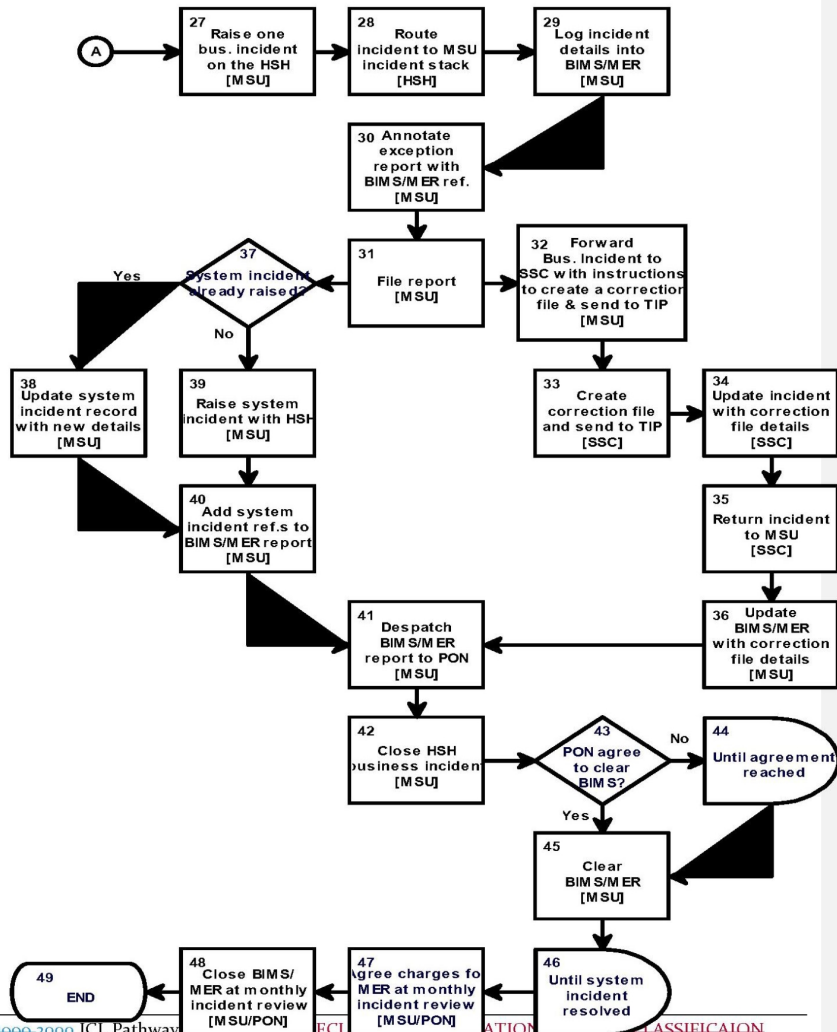
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Ref: CS/PRO/111

SECURITY CLASSIFICATION

Version: 0.51.0
Date: 27/01/0016/10/00

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



Printed On:

16/05/202216/10/0016/10/0031/01/0027/01/00

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Rules and Assumptions

1. Where the decision is taken to return transaction or Cash Account records electronically, one new 'Business' incident will be raised to cover all applicable exceptions, which will generate a new BIMS report. Any existing BIMS reports raised throughout the period for the individual exceptions, which have now accumulated to 50+ will be cleared and then closed at the following monthly reconciliation review.

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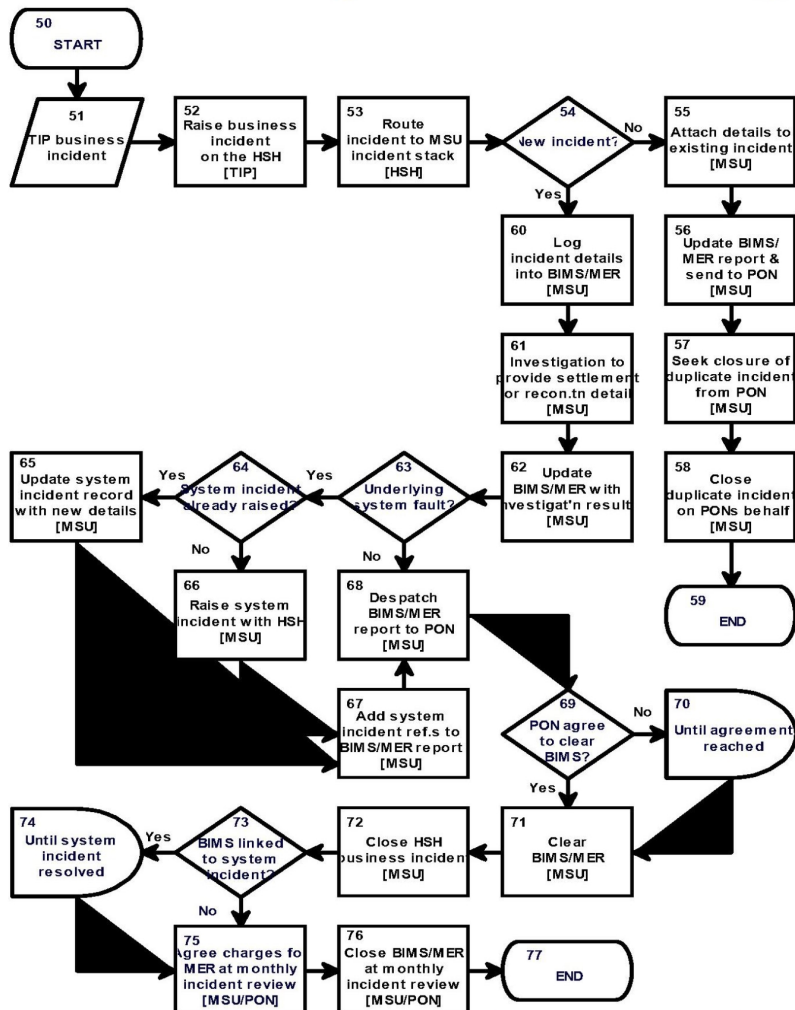
Ref: CS/PRO/111

SECURITY CLASSIFICATION

Version: 0.51.0

Date: 27/01/0016/10/00

1. Where a correction file is generated, ICL Pathway CS/SSC may make corrective assumptions based upon the format and content of previous 'successful' transaction records of the same type if no other detail is available. For example,



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Page: 37 of 54

Page: 34 of 4

Printed On:

16/05/2022 16/10/0016/10/0031/01/0027/01/00

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ICL Pathway *TPS Reconciliation & Incident Management* Ref: CS/PRO/111

SECURITY CLASSIFICATION

Version: 0.510
Date: 27/01/0016/10/00

where a Transaction Mode is unknown, the mode used may be obtained from a previous transaction of the same type. CS / MSU will always inform POCL 'Incident Manager Transaction Processing' of the assumption by fax within an hour of transmission. Decisions of this nature will be reviewed and validated by POCL on a case by case basis. It should be noted that assumptions will not necessarily set a precedent.

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16/05/202216/10/0016/10/0031/01/0027/01/00

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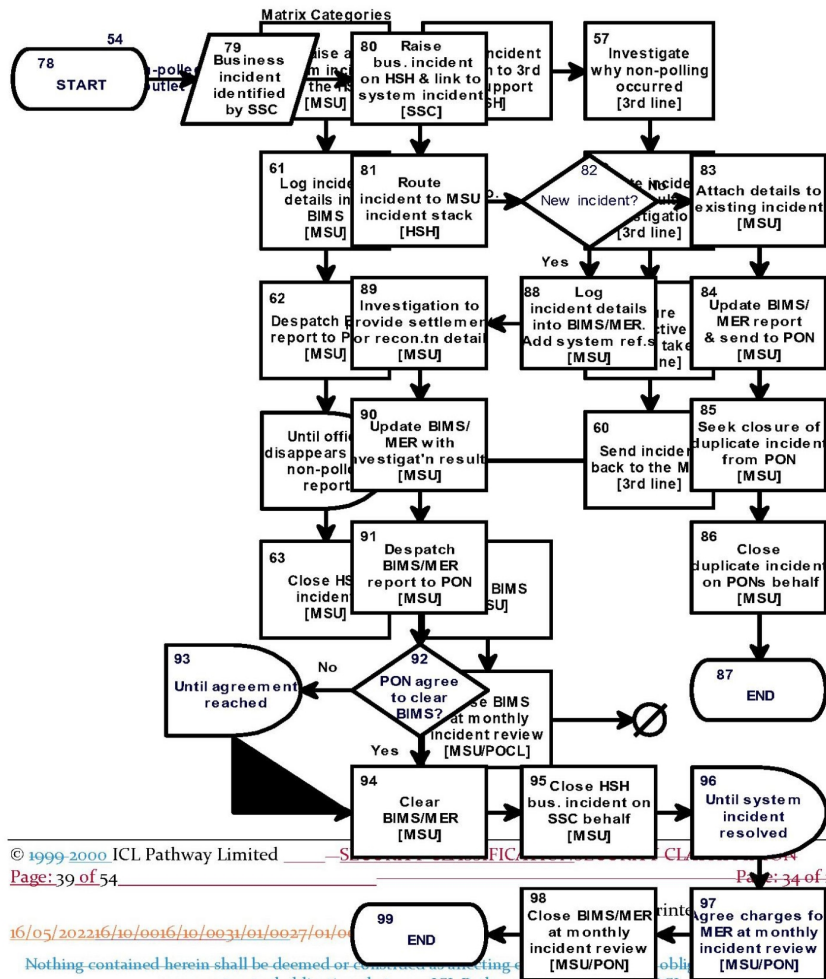
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Version: 0.51.0
Date: 27/01/0016/10/00

1.1.34.6.3 POCLPON TIP Raised Business Incident - BIMS / MER Issued

~~MSU Raised Non Potted Outlet Incident - BIMS only issued~~



ICL Pathway *TPS Reconciliation & Incident Management* Ref: CS/PRO/111

SECURITY CLASSIFICATION Version: *0.51.0*
Date: *27/31/01/0016/10/00*

1.1.4 MSU Raised Non Potted Outlet Incident - BIMS only issued

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

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Rules and Assumptions for the generating of non-polled outlet System Incidents;

~~System Incidents~~ are only ~~raised~~ generated for non-polled ~~offices~~ outlets when;

- The office has failed to poll for two consecutive days and appears on the Non Polled outlet report
- The office has failed to poll for two days within any ~~seven day~~seven-day period and appears on the Non Polled outlet report.

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NB: An outlet is considered 'Reportable' for polling purposes when it has returned at least one End of Day marker to the ~~Host~~host. This condition ensures that only outlets transacting live business are identified as ~~non-polling~~non-polling should this scenario occur. This is to ensure that all outlets which are considered live within reference data but not yet migrated are not included in the reporting process with the consequential distortion of the problem.

DN: ICL Pathway will be developing supplementary ~~Non non~~Polled-polled outlet reporting to ensure those outlets which have been migrated and are completing live transactions are identified if for any reason they fail to poll and have not returned at least one End of Day marker to the ~~Host~~host.

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TPS Reconciliation & Incident
Management

Ref: CS/PRO/111

SECURITY CLASSIFICATION

Version: 0.51.0

Date: 27/01/0016/10/00

~~1.1.54.6.4~~ 'System' Incident with 'Business' Implications - BIMS /
MER Issued – (Repaired / Not repaired records)~~1.74.7~~ Links to Problem Management

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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, "pProblems" will may be raised by ICL Pathway or POCLPON according to the following criteria~~in the following scenarios:

- Where there is a trend of similar ~~'Business' incidents~~Business Incidents where there is no identifiable cause. ~~This will may include the scenario where the number of Data Errors discovered after transmission to POCLPON TIP exceeds 20 within the relevant Data Error Counting Period. (CA Sch. G01 para 3.6.6.2)~~
- Where a ~~'System' incident~~System Incident has been raised and the cause is unknown. (A problem may not necessarily be raised for every ~~'System' incident~~System Incident).

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

~~Whilst the A 'System' incident~~System Incident is generated by is used within ICL Pathway to ensure the relevant code, ~~fix or fix~~ etc. is developed, tested and delivered to the live estate., ~~However, resolution of the Problem problems which arise as a result of that System Incident will cover the specific~~any additional requirements of ~~POCL both parties~~ e.g. Counter News updates, briefings etc. and in many cases the authority ~~from POCLPON~~ to proceed with a relevant fix.

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Ref: CS/PRO/111

SECURITY CLASSIFICATION

Version: ~~0.51.0~~
Date: ~~27/01/2016~~ 16/10/00

4.8 *Appendix 1: 'System Incident Log'*

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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 CS / 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

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*TPS Reconciliation & Incident
Management*

Ref: CS/PRO/111

SECURITY CLASSIFICATION

Version: ~~0-51.0~~
Date: ~~27/01/2021~~ 16/10/00

- Cause Rectification of Error: A non technical description of the fault and the solution to rectify
- Fix Detail: The Work Package (WP) detail and associated dates of any fix delivered to the estate
- Problem Mgt Ref.: The associated Problem Management Database reference
- Closure Date: The date the 'System' Incident was closed following successful delivery of fix detail or reference data changes.

ICL Pathway

TPS Reconciliation & Incident
Management

Ref: CS/PRO/111

SECURITY CLASSIFICATION

Version: ~~0-51.0~~
Date: ~~27/31/01/0016/10/00~~

4.9 Appendix 2: Business Rules for Data Errors & Not Data Errors

Data Errors Discovered Before Transmission to ~~POCLPON~~ TIP

		Action by ICL Pathway								
Data Error Criteria	Para (in CA Sch. G01)	Retain Original Record	Transmit Original Record	Correct the Data Error	Correct the Data Error if POCLPO N Agree	MER (Subject to 50 Limit) Note 3	MER (No Limit)	Send Corrected Record	Report – Explain Correction	Charge to ICL 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

SECURITY CLASSIFICATION

Version: ~~0-51.0~~
Date: ~~27/31/01/00~~ ~~16/10/00~~

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

SECURITY CLASSIFICATION

Version: ~~0.51.0~~
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Data Errors Discovered After Transmission to ~~POCLPON~~ TIP

		Action by ICL Pathway								
Data Error Criteria	Para (in CA Sch. G01)	Retain Original Record	Transmit Original Record	Correct the Data Error	Correct the Data Error if POCLPO N Agree	MER (Subject to 50 Limit) Note 3	MER (No Limit)	Send Corrected Record	Report – Explain Correction	Charge to ICL 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 (Data Error – Corrected) – Corrected	3.6.6.1 (a)	N/A	N/A		✓			✓	✓	N/A
Cash Account Error (Data Error – Not corrected) – Not Corrected	3.6.6.1 (b)	N/A	N/A			✓ Note 2				✓ £100

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Management*

Ref: CS/PRO/111

SECURITY CLASSIFICATION

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Ref: CS/PRO/111

SECURITY CLASSIFICATION

Version: ~~0-51.0~~
Date: ~~27/31/01/00~~ 16/10/00

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, ICL 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). ICL Pathway and POCLPON may agree that the '50 limit' may be increased if felt operationally viable.

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Ref: CS/PRO/111

SECURITY CLASSIFICATION

Version: ~~0-51.0~~
Date: ~~27/01/00~~ 16/10/00

Not Data Errors Discovered Before or After Transmission to POCLPON TIP

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

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Version: ~~0.51.0~~
Date: ~~27/31/01/0016/10/00~~

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~~Appendix 2: Business Rules for the Correction or Manual Resolution of Exceptions~~

Exception Criteria	Original Record		Corrective Record		BIMS	Comments
	Send	Do Not Send	Electronic	MER + Charge Band	Y/N	
Corrective action taken by ICL Pathway which results in an exception being created within POCL systems		⊗	⊗	Then ⊗ 'A'	Y	MER requires erroneous data complete
Corrective action taken by ICL Pathway which does not result in an exception being created within POCL systems		⊗	⊗		N	
Transaction or Cash Account errors notified via the EPOSS exception reports as missing or incorrect	⊗		As required ⊗	Up to 50 only per CAP ⊗ 'A' or 'C'	Y	50+ transaction MER applies
POCL advised Business Incidents resulting from errors within the POCL domain i.e. incorrect reference data	⊗		As required ⊗	⊗ (if option taken = not chargeable)	Y	Electronic MER at discretion
POCL advised Business Incidents resulting from errors within the ICL Pathway domain	⊗			⊗ 'A' or 'C'	Y	
Inaccurate Cash Account 'With Warning' i.e. where the outlet manager has committed a Cash Account roll over after a warning message has been displayed at the counter PC	⊗				Y	
Inaccurate Cash Account 'Without Warning' i.e. where the outlet manager has committed a Cash Account roll over and the paper and electronic Cash Account are in error.	⊗			⊗ 'B'	Y	
Cash Account records 'repaired' by ICL Pathway prior to transmission to POCL (electronic Cash Account will differ from paper Cash Account signed within the outlet)		⊗	⊗	Formatted: Bullets and Numbering		

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TPS Reconciliation & Incident
Management

Ref: CS/PRO/111

SECURITY CLASSIFICATION

Version: 0.51.0

Date: 27/01/0016/10/00

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~~4.10 Appendix 2: Continued:~~

~~4.11~~

~~4.12 Charge Bands for MER~~

~~4.13~~

~~4.14 'A': MER relating to a Transaction Error discovered
after transmission of the relevant data~~

~~4.15 'B': MER relating to a Transaction Error discovered
before transmission of the relevant data~~

~~4.16 'C': MER relating to a Cash Account error
discovered~~

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Page: 52 of 54 Page: 34 of 4

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16/05/2022 16/10/0016/10/0031/01/0027/01/00

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4.17 Appendix 3: BIMS Report / MER Report Format

BIMS INCIDENT REPORT

BIMS Reference: BE/9912240077		
Incident Type:	Version:	Last Updated:
Incident Class	Originator:	
Transaction Date:	CAP:	FAD:
Status:	ExceptionError Value: £	
OTHER REFERENCES	TRANSACTION LIABILITY	
PinICL reference:	Provisional:	
Incident 'xref' :	Final:	
TIP / TP ref:		
System Incident References	Settlement Details	
HSH:	Transaction Settlement	
PinICL:	Settled Amount:	
	Invoice Number:	
	Invoice Date:	
	MER Charge	
	No of Chargeable MER	
	MER Settlement Amount:	
	MER Invoice Number	
	MER Invoice Date	
INCIDENT HISTORY		
Date Received		
Date Cleared		
Date Closed		
ACTIONS		
Action Date / Time:	Action Type:	Analyst:
[Text description]		

TPS Reconciliation & Incident Management

Ref: CS/PRO/111

Version: 0.51.0

Date: 27/01/2016

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TRANSACTION / CASH ACCOUNT DETAIL - ———MANUAL ERROR
REPORT: Y/N

20 Fields available for insertion of Transaction or Cash Account detail in content and format agreed with **POCLPON** TIP.