

ICL Pathway **TPS Reconciliation & Incident Management** Ref: CS/PRO/111
Version: 1.0
Date: 16/10/00
SECURITY CLASSIFICATION

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.

Document Status: Definitive V 1.0

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ICL Pathway

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0.0 Document Control

0.1 Document History

Version No.	Date	Reason for Issue	Associated CP/Pin/ICL 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	
0.7	08/06/00	Seventh issue following final PON review	
0.8	14/09/00	Eighth issue following for PON review	
1.0	16/10/00	Final issue following PON review	

0.2 Approval Authorities

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0.3 Associated Documents

Reference	Version	Date	Title	Source

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
HSH	Horizon System Help Desk
MER	Manual Error Report
PON	Post Office Network
PON TIP	Transaction Information Processing
PON TP	Transaction Processing
RED	Reconciliation 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 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. G01 para 3.6.1.1
Not Data Error	Where this term is used within this document it is meant as described within CA Sch. G01 para 3.6.1.1

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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 PON 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. G01 para 3.6.1.1 & 3.6.1.3)
'CA Sch. G01 para.....'	Refers to the Codified Agreement, dated 28 th July 1999 Schedule G01, 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. G01 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. G01 para 3.6, all other words and expressions defined in CA Sch. G01 para 3.6 shall bear the same meanings when used in this document.	

0.6 Changes in this Version

Version	Changes
1.0	Consolidated PON comments received and incorporated. Reference to CS/POL/001 & CS/PRD/063 has been removed as these have now been withdrawn.

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0.7 Changes Expected

Changes
Merger of APS and TPS Reconciliation & Incident Management procedures at CSR+ document issue.

0.8 Table of Contents

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1 1 Introduction

The TPS Report Set has been designed to enable the transactions carried out in outlets using the Electronic Point of Sale Service (EPOSS), to be reconciled with the transaction data which is transmitted to PON Transaction Information Processing (TIP), and also to reconcile the daily transaction data with the Cash Account (CA) data at the end of the Cash Account Period (CAP). The TPS Report Set identifies errors which occur within counter transactions or during the harvesting process. In addition to errors highlighted by ICL Pathway within the TPS Report Set, errors may also be discovered by PON when reconciling data within its central systems or which relate to enquiries from PON clients. To initiate the BIMS procedure, ICL Pathway and PON generate Business Incidents for one or more errors discovered.

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

2 Scope

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

TPS Reconciliation Reports

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

1. Host Detected Transaction Control Errors:

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

2. TPS Harvester Errors:

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

3. Host Detected Cash Account Control Errors:

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

4. Counter Detected Reconciliation Errors:

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

5. Counter Transaction Errors:

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

6. Receipts not Equal to Payments:

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

7. Non Polled Outlets:

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

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

All seven reports will be routed to ICL Pathway 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 Incident via the HSH.

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

3 Reconciliation and Incident Handling

3.1 Incident Classification

3.1.1 Business Incidents

Relate to the 'Symptom' of an underlying cause – e.g. the effect of the system fault on the resulting reconciliation or settlement information sent to PON.

- A Business Incident relates to one or more of the errors reported within the TPS Report Set, or one or more of the reconciliation or settlement errors raised in accordance with this document by PON TIP or TP. Each error is categorised as a Data Error or a Not Data Error in accordance with section 4.4.1.

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

3.1.2 System Incidents

Relate to the underlying 'Cause'

System Incidents may be raised by ICL Pathway to cover file rejections, non-delivery of files, or failures in the delivery of the TPS Report Set, where there is no associated Business Incident. In addition, following the creation of a Business Incident, ICL Pathway may raise an associated System Incident. System Incidents will be routed to the appropriate group within ICL Pathway, for investigation and resolution.

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

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

3.2 Incident Originators

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

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

Subject to agreement by the parties to the contrary, outlet calls to the HSH will not generate Business Incidents. However calls from outlets will be monitored and if it is considered necessary by ICL Pathway, difficulties reported to the HSH will be elevated to Business Incident status.

3.3 Generation of Business Incidents

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

It is important that PON TIP / TP supply sufficient information to the HSH when generating a Business Incident to ensure the timescales for the resolution of Business Incidents referred to in section 4.5.3 can be achieved. Achievement of such timescales is dependent upon the following information being provided by PON TIP / TP when generating a Business Incident via the HSH:

- A valid 'PATH' code must be quoted, e.g. **'PATH040'** etc.
- Prefix all narrative with **'THIS IS A BUSINESS INCIDENT FOR MSU'**
- The valid incident class (from the 'Business Incident Matrix', section 4.4.2), if one is applicable, should be quoted together with any other relevant detail, e.g. product Id, CA lines etc.

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

3.4 Business Incident Categories

3.4.1 Data Errors & Not Data Errors

The action to be taken by ICL Pathway in respect of an error which gives rise to a Business Incident, and whether or not ICL Pathway has to pay a charge to PON in relation to such an error, depends, amongst other things, on whether the error is a Not Data Error or a Data Error, as defined in CA Sch. G01 para 3.6.1.1. The following explanations are provided to assist ICL Pathway and PON when classifying errors and do not modify, in any way, CA Sch. G01 para 3.6.

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

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

3.4.1.1 Not Data Errors - categories

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

- (i) an error caused by invalid data input by users in outlets (except where the input of data puts a previously balanced Cash Account into a state of imbalance);
- (ii) an error caused by the input of erroneous data by a user during migration of PON data to any outlet (i.e. during data migration), except where data migration tools provided by ICL Pathway are supposed to detect such an error; the migration tool is properly used but the error is not detected;
- (iii) an error caused by PON reference data, provided that ICL Pathway has properly applied that reference data; and
- (iv) an error which falls within a Business Incident classified in the table under section 4.4.2 as "F" or "G".

B. **Inaccurate Cash Account (Not Data Error)**

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

- (i) the inaccuracy was not caused primarily by:
 - (a) inaccurate ICL Pathway reference data;

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- (b) ICL Pathway incorrectly applying PON reference data; or
 - (c) an ICL Pathway generated software error; or
 - (ii) the inaccuracy was caused by one of the causes listed in (i), but it could have been corrected by a user in the outlet, if that user had applied a “work around” previously agreed by ICL Pathway and PON to deal with such inaccuracies.

3.4.1.2 Data Errors – Categories

Inaccurate Cash Account (Data Error)

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

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

Cash Account Error

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

Transaction Errors

An error in one or more data fields in the electronic record of a transaction, or a missing, duplicate or spurious additional transaction record is known as a Transaction Error. A Transaction Error is a Data Error, unless it falls within section 4.4.1.1(A) above.

3.4.2 Business Incident Matrix

The Business Incident Matrix identifies known classes of Business Incidents. This list is based on the list of incidents provisionally agreed between ICL Pathway and PON at the joint workshop held on 02/11/99 for EPOSS / TPS related Business Incidents. The list also includes those additional Business Incident types documented within the 'CA Sch. G01 Error Matrix, Annex 1'. As such the list is an initial attempt to identify all currently understood Business Incident classes but it may not be exhaustive. The current Business Incident Matrix is held within the BIMS database and an extract can be provided to PON at any time for audit and checking.

3.5 Incident Reporting

3.5.1 BIMS Reports / MER

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

3.5.1.1 Format and Content of BIMS Report / MER

A BIMS Report will be issued for each Business Incident generated via the HSH. As part of that BIMS report, ICL Pathway will issue a MER for each error associated with the relevant Business Incident where it is necessary to do so to comply with CA Sch. G01 para 3.6.

BIMS Reports / MER are designed to notify PON of the detail required to assist in the reconciliation or settlement process within PON. They communicate information concerning the resolution of the symptom of an underlying cause, not the cause itself. Business Incident reporting to PON 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 PON TIP / TP with a brief description of each error to the extent that each error can be identified.

2. BIMS Report for a repaired Data Error

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 Error associated with the Business Incident, and specifying in a format (suitable for PON TIP to key into a PON TIP data input facility):

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

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

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

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

3.5.1.2 Clearance / Closure Criteria & Charges Applicable to MERs

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

A BIMS Report is 'Cleared' (for the purpose of determining whether the timescales as quoted within section 4.5.3 have been met), when 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 is then closed following agreement between PON 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, the BIMS Report is closed subject to the clearance criteria described above being met
2. If there is an associated System Incident, the BIMS Report is closed subject to the successful closure of the System Incident by ICL Pathway.

PON will advise ICL Pathway on a monthly basis via spreadsheet of any payments it considers are payable to PON (as compensation for PON's costs in dealing with MERs) and / or its charges for dealing with widespread errors, at the monthly Incident Management Review. For the avoidance of doubt, if an error, treated as a Data Error due to a lack of information in accordance

with section 4.4.1 is subsequently found to be a Not Data Error, then no payment will be made in respect of a MER which may have been issued in respect of that error. If the parties disagree whether the error is a Data Error or Not Data Error, this will be initially discussed at the monthly Incident Management Review and then escalated via a 'Case Law Referral' form, to the Contract Administration Board for a final decision to be made.

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

3.5.1.3 Notification of Anticipated Errors

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

3.5.1.4 Report Distribution

ICL Pathway will distribute BIMS Reports / MER's and the Non Polled Outlet report within PON 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.

BIMS Reports / MERs distributed in accordance with this section will be deemed to have been issued to PON, and / or PON given notice of any errors described therein, at the time of transmission by mail.

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

3.5.2 System Incident Log

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

could lead to a number of symptoms generating Business Incidents. The SIL has been developed to remove the need to annotate each BIMS Report / MER associated with a particular system fault, with the detail required to ensure PON 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.

3.5.3 Reporting Timescales

CS / MSU will use reasonable endeavours to raise an initial BIMS Report (V1.0) relating to a new Business Incident. This will be made available in accordance with section 4.5.1.4, to the PON 'Incident Manager, Transaction

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Processing', on the same working day as the Business Incident is generated via the HSH, or in any event on the morning of the next working day. In the event of the TPS Report Set not being available to CS / MSU in time to enable any errors to be notified within this timescale, CS / MSU will contact the PON 'Incident Manager Transaction Processing' to agree a temporary extension to the timescale. This initial, incomplete, BIMS Report will serve to notify PON that a Business Incident has occurred and that the completed BIMS Report will be provided to PON within the agreed timescales.

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

Where there is a need to correct Data Errors (see appendix 2), ICL Pathway will use reasonable endeavours to deliver the corrected data file to PON TIP within five working days from the date the Business Incident was generated via the HSH. This may however, not always be practical due to the technicalities of creating a corrected data file if there is a high volume of data.

If the BIMS Report / MER is not cleared (in accordance with section 4.5.1.2) or ICL Pathway think it is unlikely to be cleared within five working days, ICL Pathway shall immediately notify PON's Incident Manager Transaction Processing and shall procure that ICL Pathway's Management Support Unit Manager (or in his absence, his deputy) is made available to meet with PON's 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 a System Incident as the time taken to develop a fix or correct erroneous reference data cannot be determined. Obviously however, ICL Pathway will give every System Incident the priority it deserves taking into account PON's requirement and would aim to deliver an initial analysis of the root cause within 5 working days and a final analysis and evidence of remedial action, within 10 working days. A System Incident will be closed by 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 SystemIncidents will be delivered to PON TIP / TP at the end of each week. PON may telephone CS / MSU at any time to receive an update as to the status of any System Incident documented on the SIL.

3.5.4 Widespread Errors

ICL Pathway will monitor 'trigger points', for example HSH calls and the TPS Report Set, which can alert of any likely potential or actual 'widespread' errors 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)

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- Should this scenario occur, ICL Pathway Business Continuity Manager shall immediately notify PON Business Continuity Manager of the widespread error. Upon giving such notice the provisions of this document (other than this section) shall cease to apply to that particular widespread error. Instead alternative joint action will be agreed between ICL Pathway and PON in accordance with the business continuity policy.

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

3.5.5 Repairing Data

Where ICL Pathway corrects Data Errors, ONE Business Incident will be raised to cover each error, which has been corrected (or group of errors if they are related to each other or if they relate to one Cash Account). A BIMS report containing appropriate information (in accordance with section 4.5.1.1) will be issued relating to that error or group of errors.

Where there is a need to correct Data Errors, 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 PON '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. PON 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.

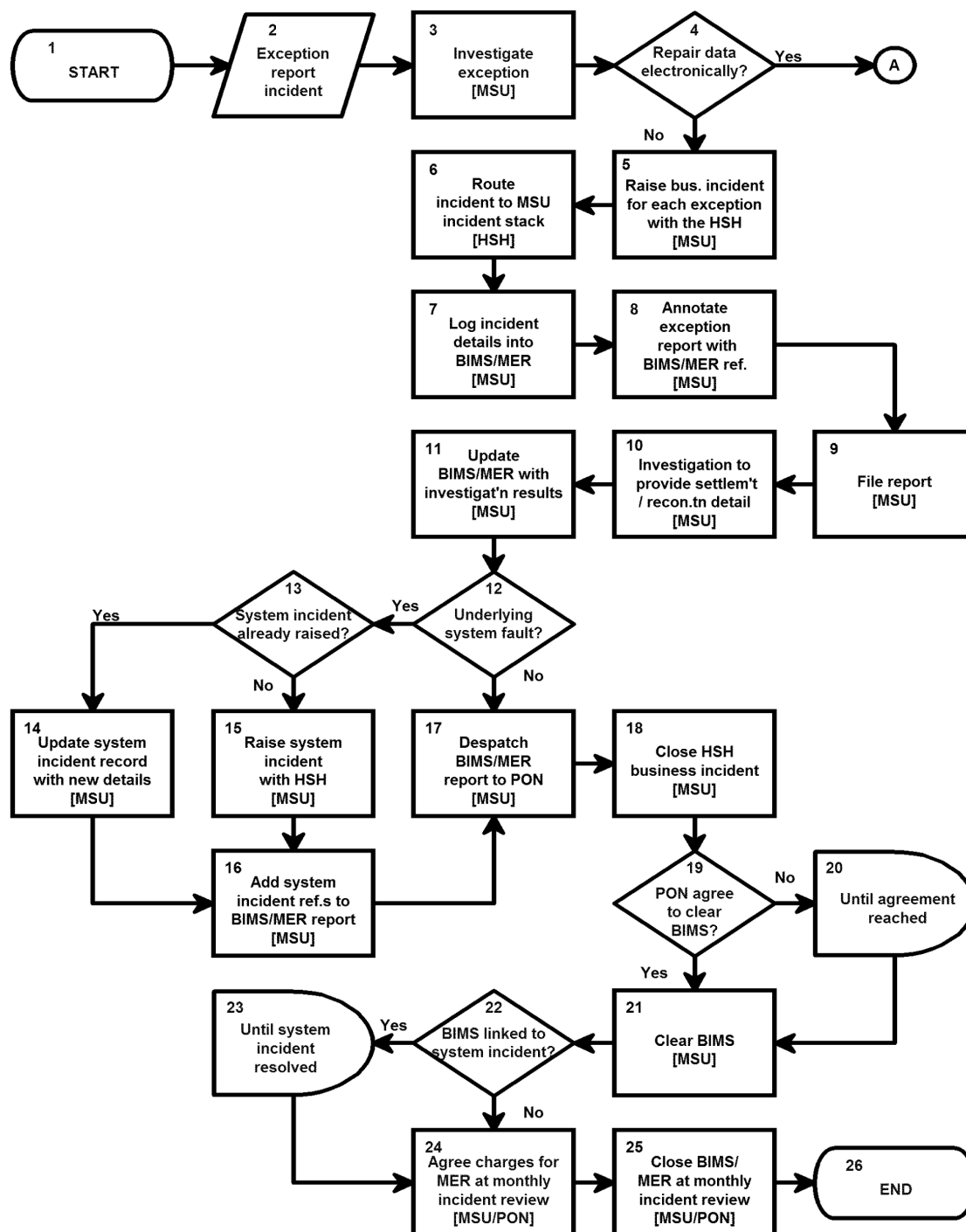
Where PON agrees that a Cash Account transmitted to PON TIP shall be repaired rather than require a MER, then ICL Pathway's obligation to transmit a repaired Cash Account may be satisfied by transmitting such part of the repaired Cash Account as is necessary to correct the Data Error concerned, provided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

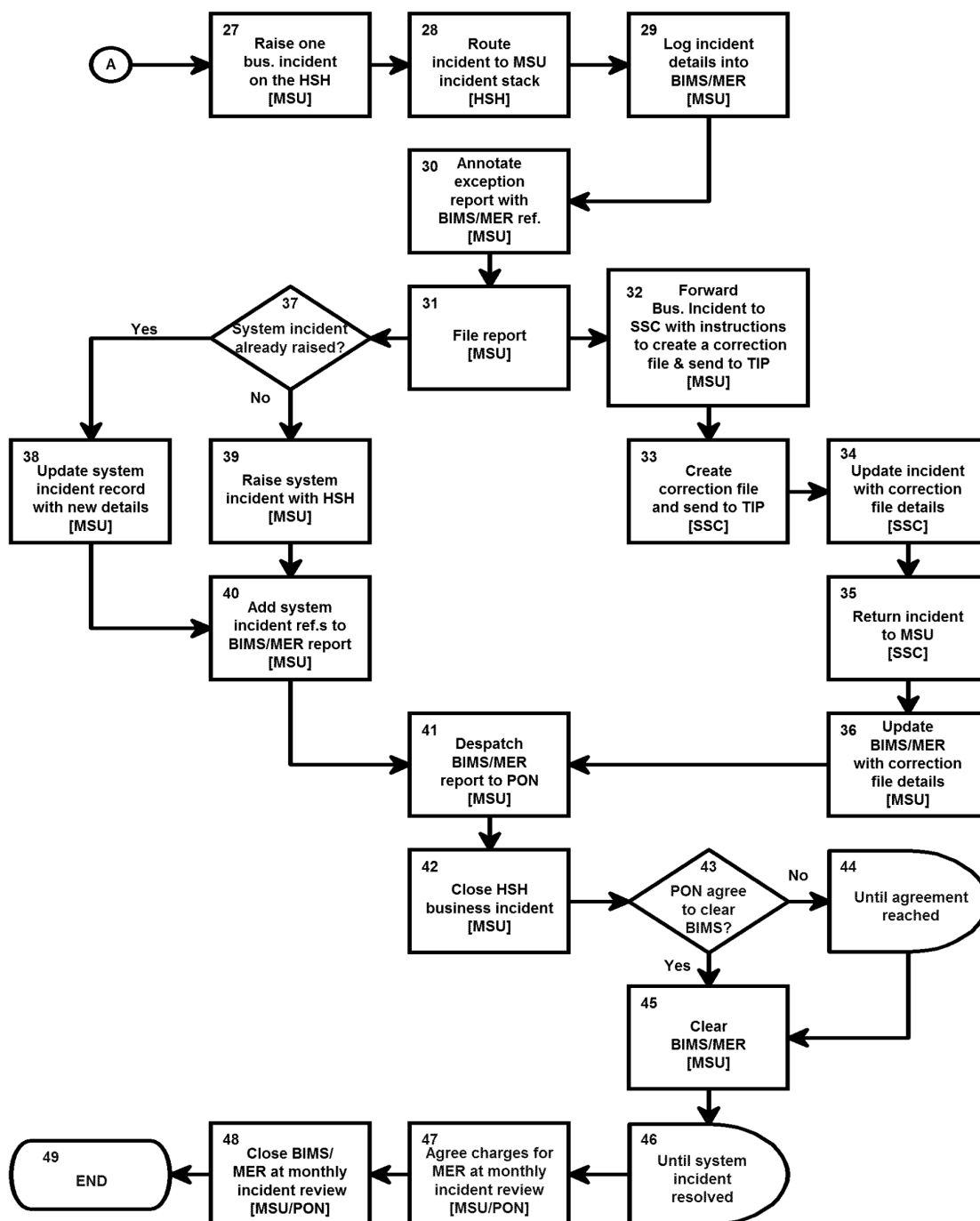
Appendix 2 sets out the rules surrounding the decision to repair data or advise corrections via MER.

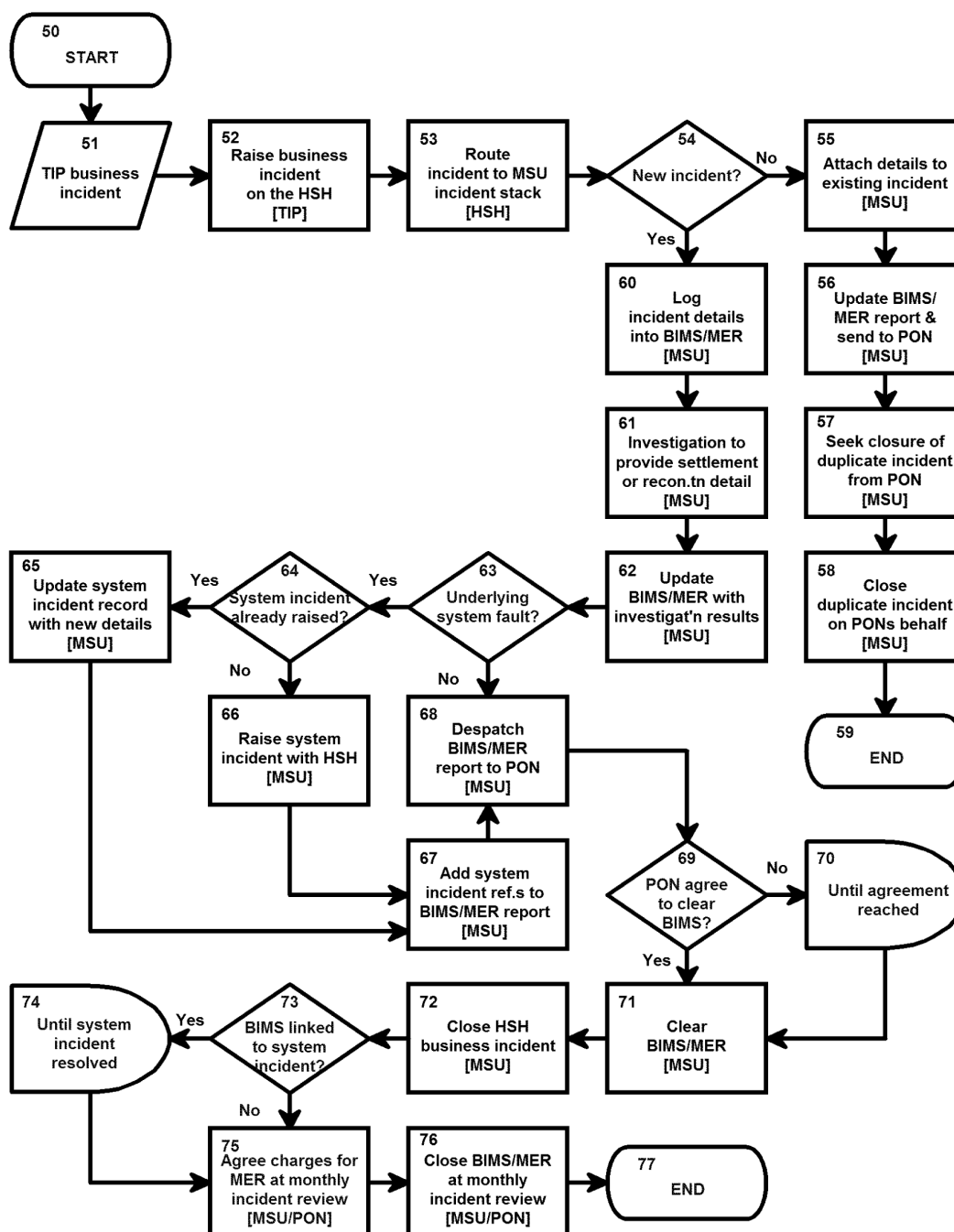
3.6 Incident Management Process

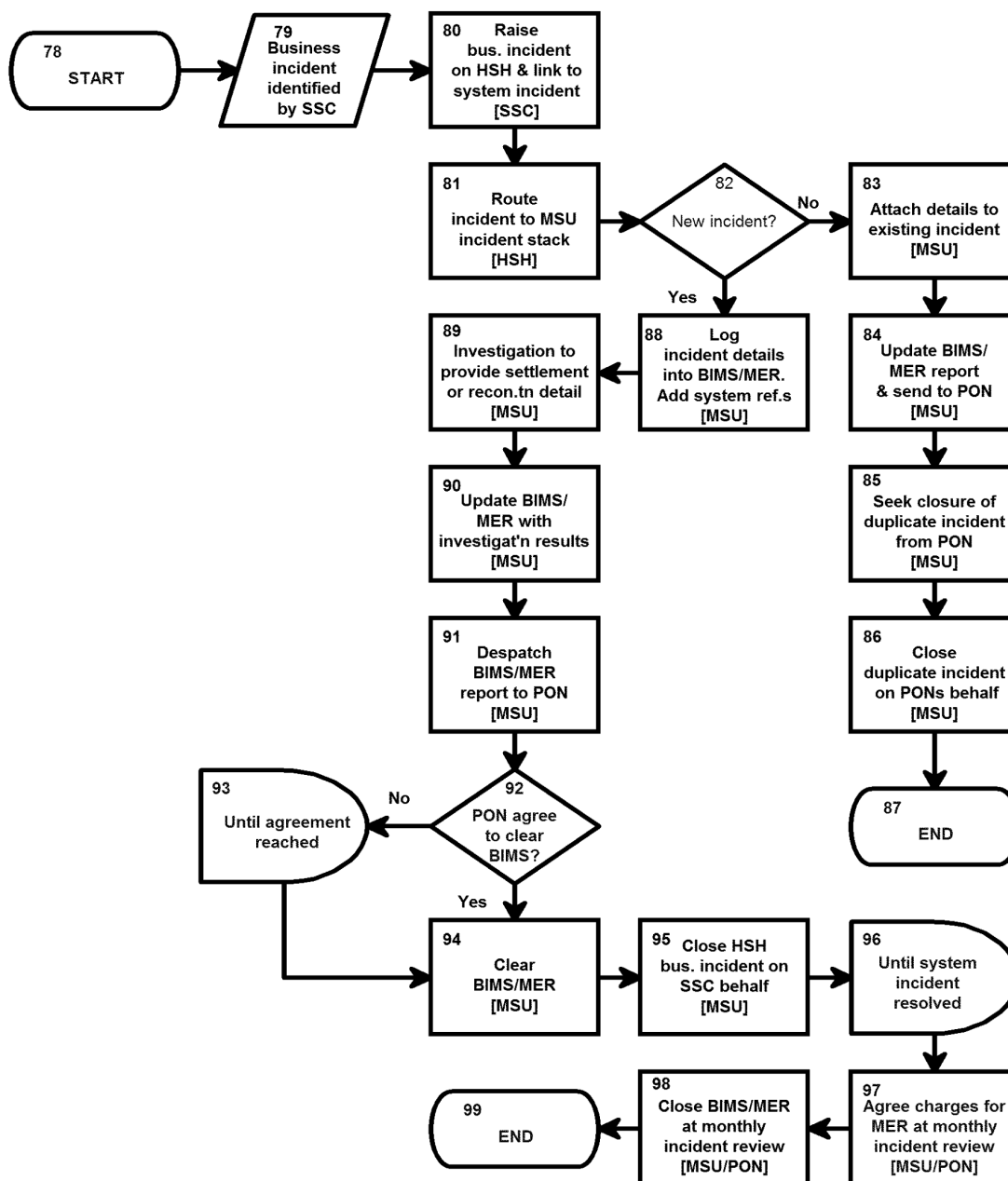
The following flowcharts have been prepared to describe the usual processes required to bring each Business Incident and System Incident to a successful conclusion within ICL Pathway and PON and are for information only. They do not attempt to describe any low-level ICL Pathway procedures.

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

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

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

3.6.3 PON TIP Raised Business Incident - BIMS / MER Issued



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

3.7 Links to Problem Management

The processes highlighted within this document are not intended to replace the current agreed Problem Management procedures, which will run side by side with the incident management process, as has always been the case.

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

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

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

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

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3.8 Appendix 1: 'System Incident Log'

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

Description of Fields

System Incident References

- Date Raised: The date the System Incident was raised by 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

- 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.

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

Data Errors Discovered Before Transmission to PON 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 PON Agree	MER (Subject to 50 Limit) Note 3	MER (No Limit)	Send Corrected Record	Report Explain Correction	Charge to ICL Pathway (Amt. MER) Per	
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	

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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Date: 16/10/00**Data Errors Discovered After Transmission to PON 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 PON 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 Corrected	3.6.6.1 (a)	N/A	N/A		✓			✓	✓	N/A
Cash Account Error – Not Corrected	3.6.6.1 (b)	N/A	N/A			✓ Note 2				✓ £100

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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 PON may agree that the '50 limit' may be increased if felt operationally viable.

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Not Data Errors Discovered Before or After Transmission to PON 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 PON Agree	BIMS Report (No MER)	To the extent that is reasonable, ICL Pathway to Assist PON to:	Charge to ICL Pathway (Amt. Per MER)
Not Data Error	3.6.7		✓			✓	a) investigate and seek to prevent the recurrence of such Not Data Error and; b) prevent the production of Cash Accounts which are incorrect as a result of such Not Data Error	N/A

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Appendix 3: BIMS Report / MER Format

BIMS Reference: BE/9912240077		
Incident Type:	Version:	Last Updated:
Incident Class	Originator:	
Transaction Date:	CAP:	FAD:
Status:	Error 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]		
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 PON TIP.		