

ICL PATHWAY

**ICL PATHWAY CUSTOMER SERVICE / BUSINESS SUPPORT UNIT MONTHLY
INCIDENT REVIEW**

Ref: CS/REP/033
Version: 1.0
Date: 01.02.99

Document Title: **ICL PATHWAY CUSTOMER SERVICE / BUSINESS SUPPORT UNIT
MONTHLY INCIDENT REVIEW**

Document Type: INCIDENT REVIEW – JANUARY 1999

Abstract: This document contains a summary of the performance of the ICL Pathway Customer Service Business Support Unit in respect of reconciliation incident handling and resolution for the period 1st to 31st January 1999.

Status: Final

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ICL Pathway Customer Service Management Team

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0. DOCUMENT CONTROL

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0.1 DOCUMENT HISTORY

Version	Date	Reason
1.0	01.02.99	Circulation for review

0.2 ASSOCIATED DOCUMENTS

Version	Date	Title

0.3 ABBREVIATIONS

AP Authorised Payment
BA Benefits Agency
BSU ICL Pathway Business Support Unit

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CAPS	Customer Accounting & Payments Strategy
DSS	Department of Social Security
PAS	Payment Authorisation Service
PO	Post Office
POCL TP	Post Office Counters Ltd. Transaction Processing
RED	Reconciliation Exception Database
TMS	Transaction Management Service

0.4 CHANGES IN THIS VERSION

None

0.5 GLOSSARY

DSS INCIDENT:

- A reconciliation incident within DSS central systems (CAPS, CPCS etc.) with possible ICL Pathway system / service implications.

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FALLBACK INCIDENT

- A reconciliation incident arising as a result of agreed 'Fallback' procedures being invoked by the Postmaster in order to facilitate the collection of benefit during times of ICL Pathway system failure.

FRAUD INCIDENT

- A reconciliation incident arising following fraudulent activity within the DSS, POCL or ICL Pathway system / service.

INCOMPLETE TRANSACTION

- Transactions resulting in the payment of benefit to a customer without the associated authorised payment being processed and marked as 'Encashed', due to ICL Pathway system failure or clerical error within the post office, resulting in a possible duplicate encashment when collecting subsequent benefit payments. (NB. Incomplete Transactions, although technically falling into either the PO Incident or POCL Incident categories, have been classified separately due to their high profile).

NON-COMMITTED TRANSACTION

- Transactions resulting in the payment of benefit to a customer without the associated authorised payment being processed and marked as 'Encashed'. This can be due to the transaction being wilfully voided or any other clerk action which prevents transaction committal when the system is working correctly.

PAS INCIDENT

- A reconciliation incident occurring within the ICL Pathway PAS with possible DSS, POCL or ICL Pathway system / service implications.

PO INCIDENT

- A reconciliation incident identified (usually at the time) by the Postmaster.

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POCL INCIDENT

- A reconciliation incident identified within POCL TP Chesterfield when comparing values posted to the weekly office Cash Account by the ICL Pathway system against cash values declared by the Postmaster.

TMS INCIDENT

- A reconciliation incident occurring within the ICL Pathway TMS with possible DSS, POCL or ICL Pathway system / service implications.

UNMATCHED ENCASHMENT

- A reconciliation incident identified within the main CBoS reports in respect of an encashed payment which has failed to match with an authorised payment record.

1. INTRODUCTION

The ICL Pathway Customer Service / Business Support Unit Monthly Incident Review is issued to present in a central document a complete analysis of the performance of the ICL Pathway Business Support Unit, with regard to reconciliation incident handling and resolution.

1.1 INTERPRETATION

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Interpretation of data beyond the report label classification can be further qualified by the author as required.

2. MANAGEMENT SUMMARY

2.1 KEY POINTS – JANUARY 1999

- The overall incident rate has decreased slightly to 0.03% in January, with 27 incidents being received against 79k encashed payments. 'Incomplete transactions' account for 55.5% of exceptions received by BSU in January.
- There was a reduction in the number of 'Non committed' transactions to 9 this month, all being due to the clerk voiding the transaction after paying the customer, equating to 0.011% of the total encashment stream.

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- The number of 'Incomplete Transactions' received in January increased slightly to 15, which is 0.019% of the total encashment stream. Six 'Incomplete transactions' this month were caused by the system freezing, these are classified under the three descriptions of 'system freeze', 'system freeze cause unknown' & 'system freeze double input'. A further two 'incomplete transactions' arose due to an 'invalid transaction reference' being generated. This latter category been raised as a high priority within ICL Pathway and is being progressed at the Incomplete Transaction Workshop.
- The number of transactions which have been forcibly committed are slightly lower this month with there being 29 occurrences, where clerks are still leaving the system without finishing the transaction. The total value of transactions saved over the January period is £2024.10, which is greater than the December figure of £1536.50. Therefore an increase of £487.60 has occurred.

Report 3.1: Incident Summary by Category January 1999

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Incident Category	04/11/97	to	31/12/98	B/F	01/01/99	to	31/01/99
	Received	Cleared	C/F		Received	Cleared	C/F
DSS Incident	18	18	0	0	0	0	0
Fallback Incident	6	6	0	0	0	0	0
Incomplete Transaction	296	293	3	3	15	18	0
PAS Incident	19	19	0	0	1	1	0
PO Incident	26	26	0	0	1	1	0
POCL Incident	73	71	2	2	1	1	2
Unmatched Encashment	44	44	0	0	0	0	0
Non-Committed	49	49	0	0	9	9	0
	531	526	5	5	27	30	2

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Report 3.2: Incidents Received By Exception Type - January 1999

Exception Types	Received
ABED/CAW misbalance	1
Duplicate encashment - BES	1
Encashment not returned to CPCS	1
Incomplete transaction - Invalid transaction reference (BES)	2
Incomplete transaction - power failure (BES)	1
Incomplete transaction - suspended session (BES)	1
Incomplete transaction - system freeze (BES)	1
Incomplete transaction - system freeze cause unknown (BES)	3
Incomplete transaction - system freeze double input (BES)	2
Incomplete transaction - system message re-boot (BES)	3
Incomplete transaction - system timeout (BES)	1
Incomplete transaction - user logout (BES)	1
Voided in error	9
Total:	27

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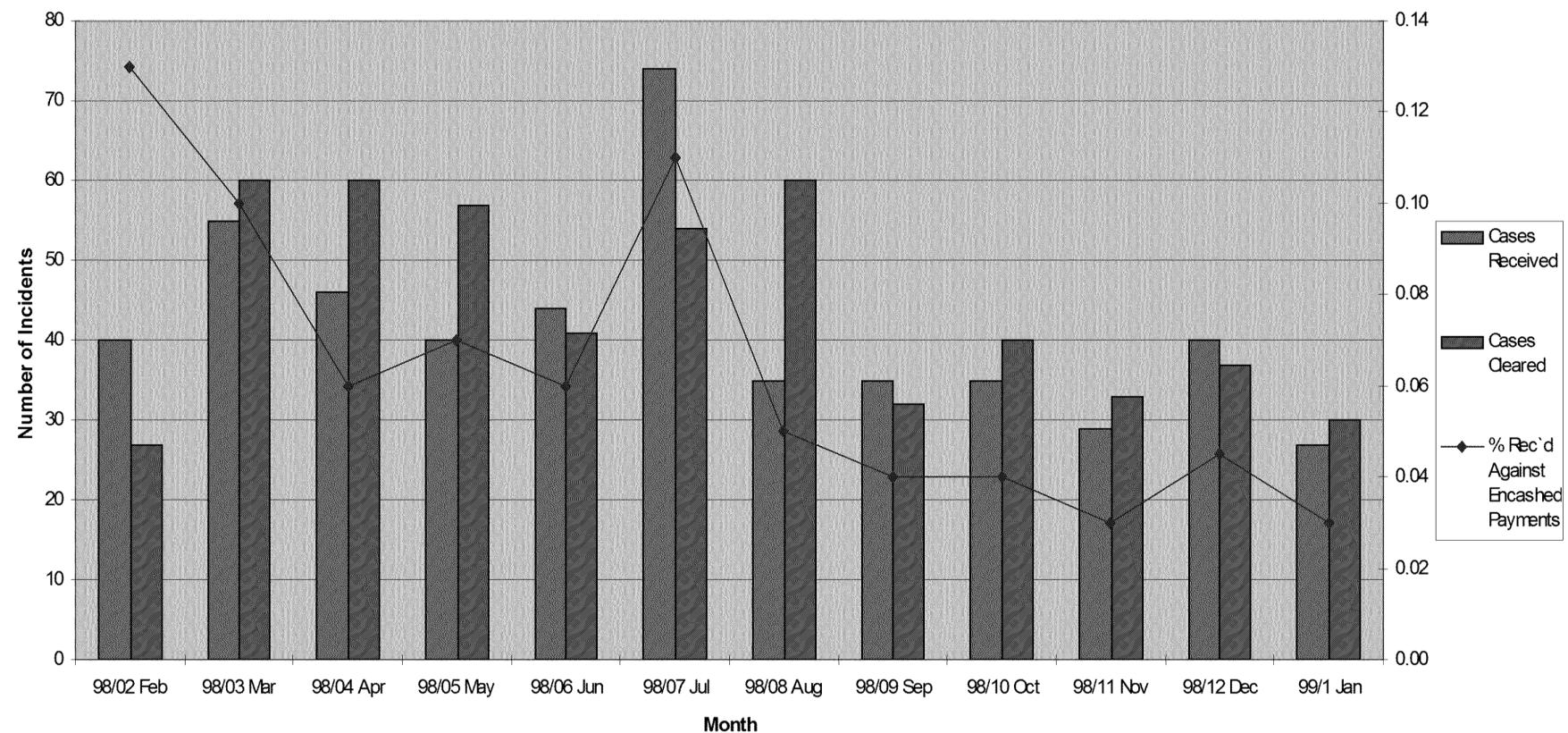
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Report 3.3: Incidents Handled February 98 to Date



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Table 3.3: Incidents Handled February 98 to Date

Month	Feb-98	Mar-98	Apr-98	May-98	Jun-98	Jul-98	Aug 98	Sep-98	Oct-98	Nov-98	Dec-98	Jan-99
% Rec'd Against Encashed Payments	0.13%	0.10%	0.06%	0.07%	0.06%	0.11%	0.05%	0.04%	0.04%	0.03%	0.04%	0.03%
No Encashments	29964	54774	77973	60185	74007	69241	75340	78830	81480	86094	89013	79328
Cases Received	40	55	46	40	44	74	35	35	35	29	40	27
Cases Cleared	27	60	60	57	41	54	60	31	40	33	37	30

- Incident receipts as a % of encashed payments have decreased this month to 0.03%.

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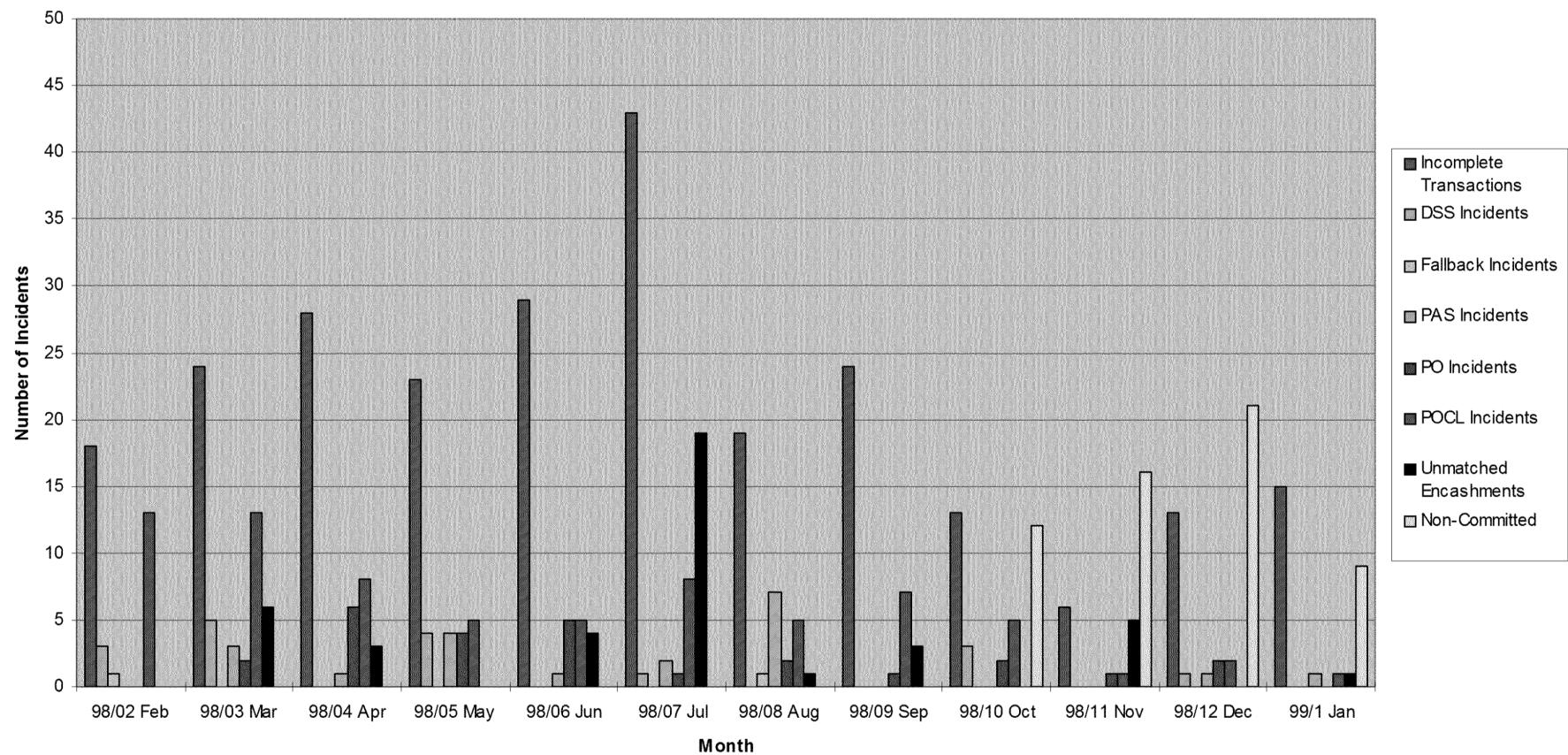
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Report 3.4: Incidents Received by Category February 98 to Date

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Date: 01.02.99Table 3.4: Incidents Received by Category February 98 to Date

Month	98/02 Feb	98/03 Mar	98/04 Apr	98/05 May	98/06 Jun	98/07 Jul	98/08 Aug	98/09 Sep	98/10 Oct	98/11 Nov	98/12 Dec	99/1 Jan
Incomplete Transactions	18	24	28	23	29	43	19	24	13	6	13	15
DSS Incidents	3	5	0	4	0	1	0	0	3	0	1	0
Fallback Incidents	1	0	0	0	0	0	1	0	0	0	0	0
PAS Incidents	0	3	1	4	1	2	7	0	0	0	1	1
PO Incidents	0	2	6	4	5	1	2	1	2	1	2	0
POCL Incidents	13	13	8	5	5	8	5	7	5	1	2	1
Unmatched Encashments	0	6	3	0	4	19	1	3	0	5	0	1
Non-Committed	0	0	0	0	0	0	0	0	12	16	21	9

- Incomplete transactions account for 55.5% of exceptions received this month (Please refer to Report 3.7 for full breakdown of exception type within this category).

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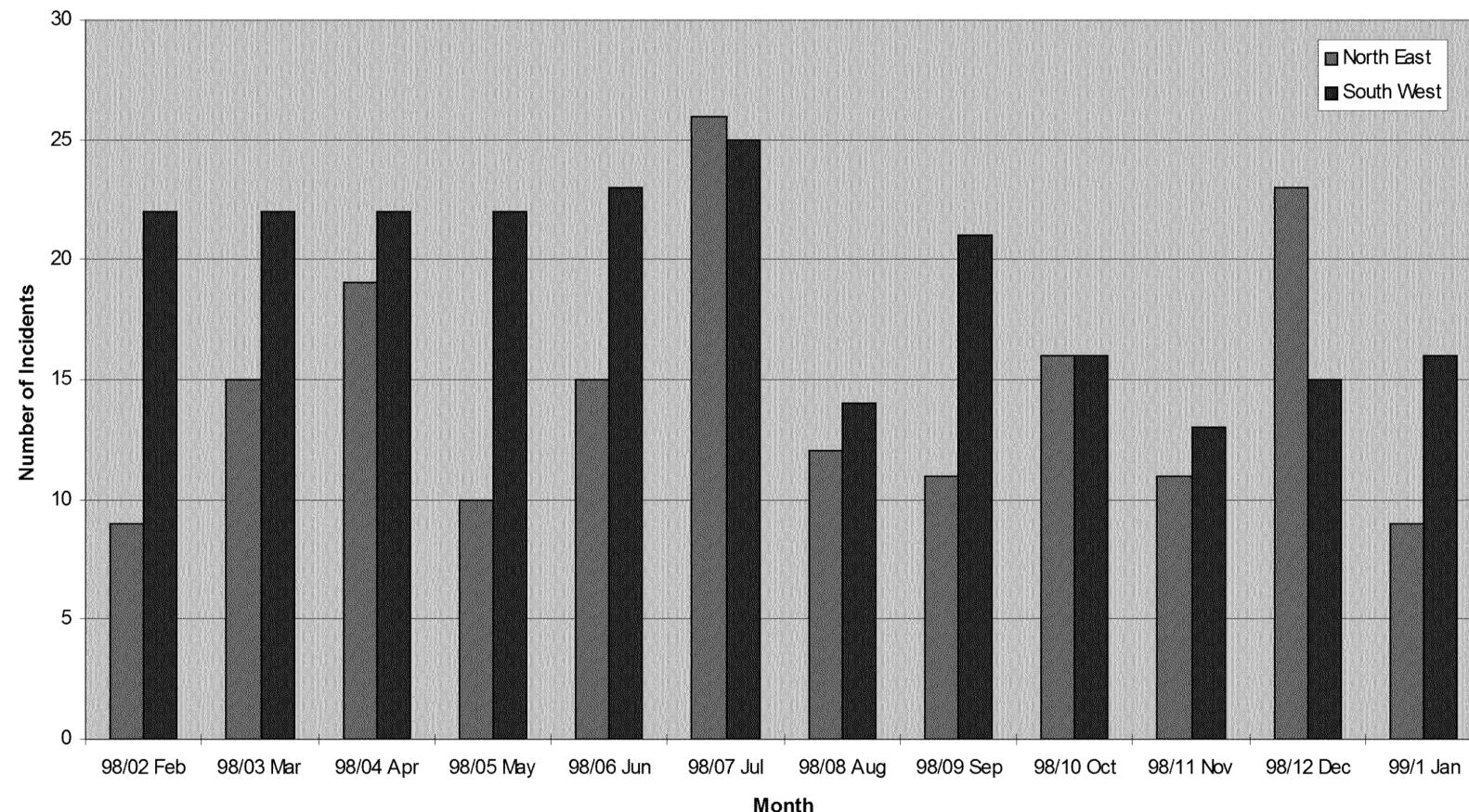
Report 3.5: POCL Incidents Received February 98 to Date - By Region

(PO, POCL, Incomplete Transactions for Automated Offices Only)

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Month	Feb-98	Mar-98	Apr-98	May-98	Jun-98	Jul-98	Aug-98	Sep-98	Oct-98	Nov-98	Dec-98	Jan-99
POCL Incidents Received North East	9	15	19	10	15	26	12	11	16	11	23	9
POCL Incidents Received South West	22	22	22	22	23	25	14	21	16	13	15	16

- This section identifies those incidents that originate within Post Offices, being raised by the Post Office clerk or POCL Chesterfield in respect of general reconciliation problems or incomplete transactions. The South West encountered more problems than those in the North East during the month of January.

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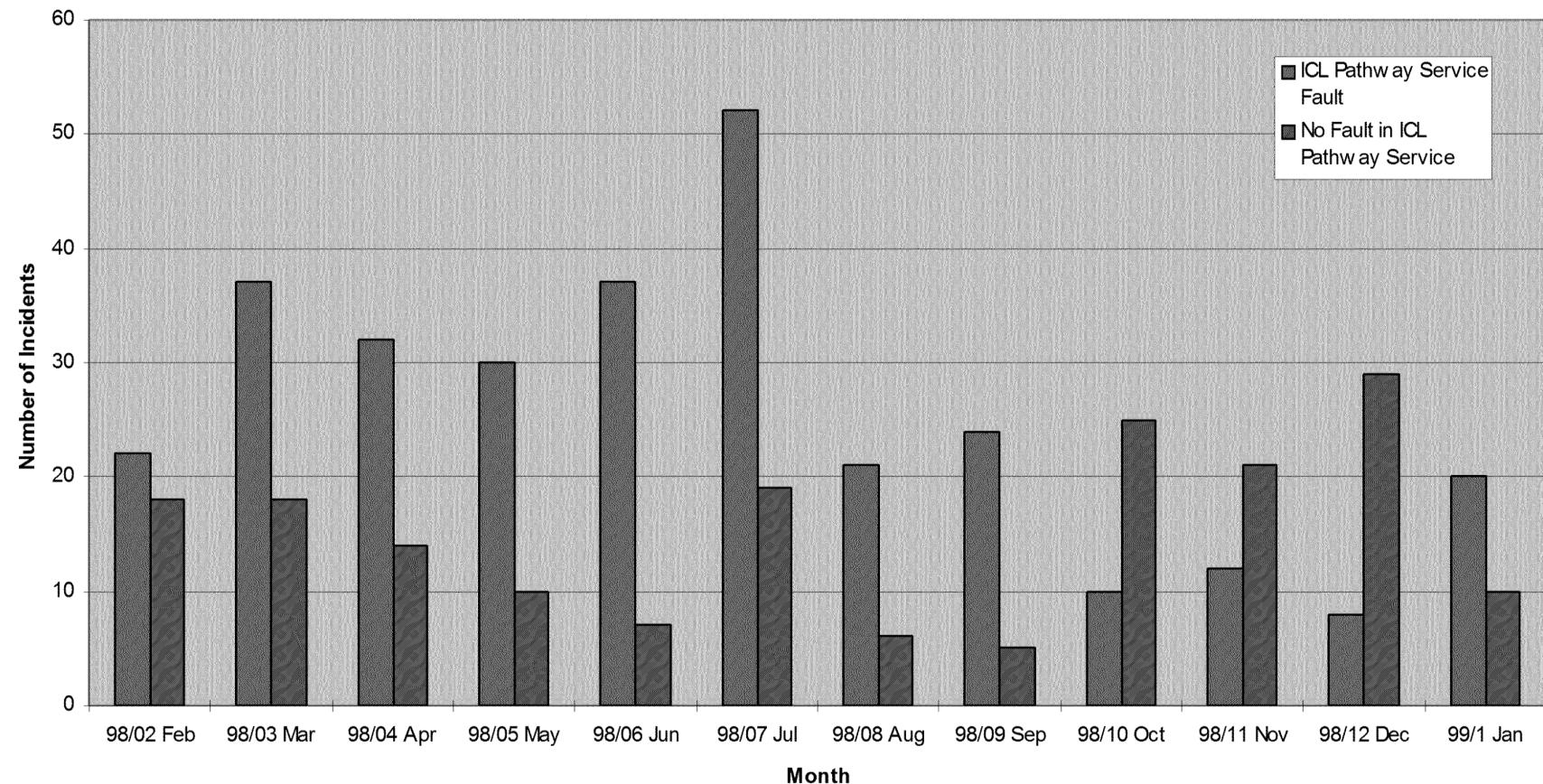
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Report 3.6: Closure Status of Incidents February 98 to Date

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Table 3.6: Closure Status of Incidents February 98 to Date

Month	Feb-98	Mar-98	Apr-98	May-98	Jun-98	Jul-98	Aug-98	Sep-98	Oct-98	Nov-98	Dec-98	Jan-99
ICL Pathway Service Fault	22	37	32	30	37	52	21	24	10	12	8	20
No Fault in ICL Pathway Service	18	18	14	10	7	19	5	5	25	21	29	10

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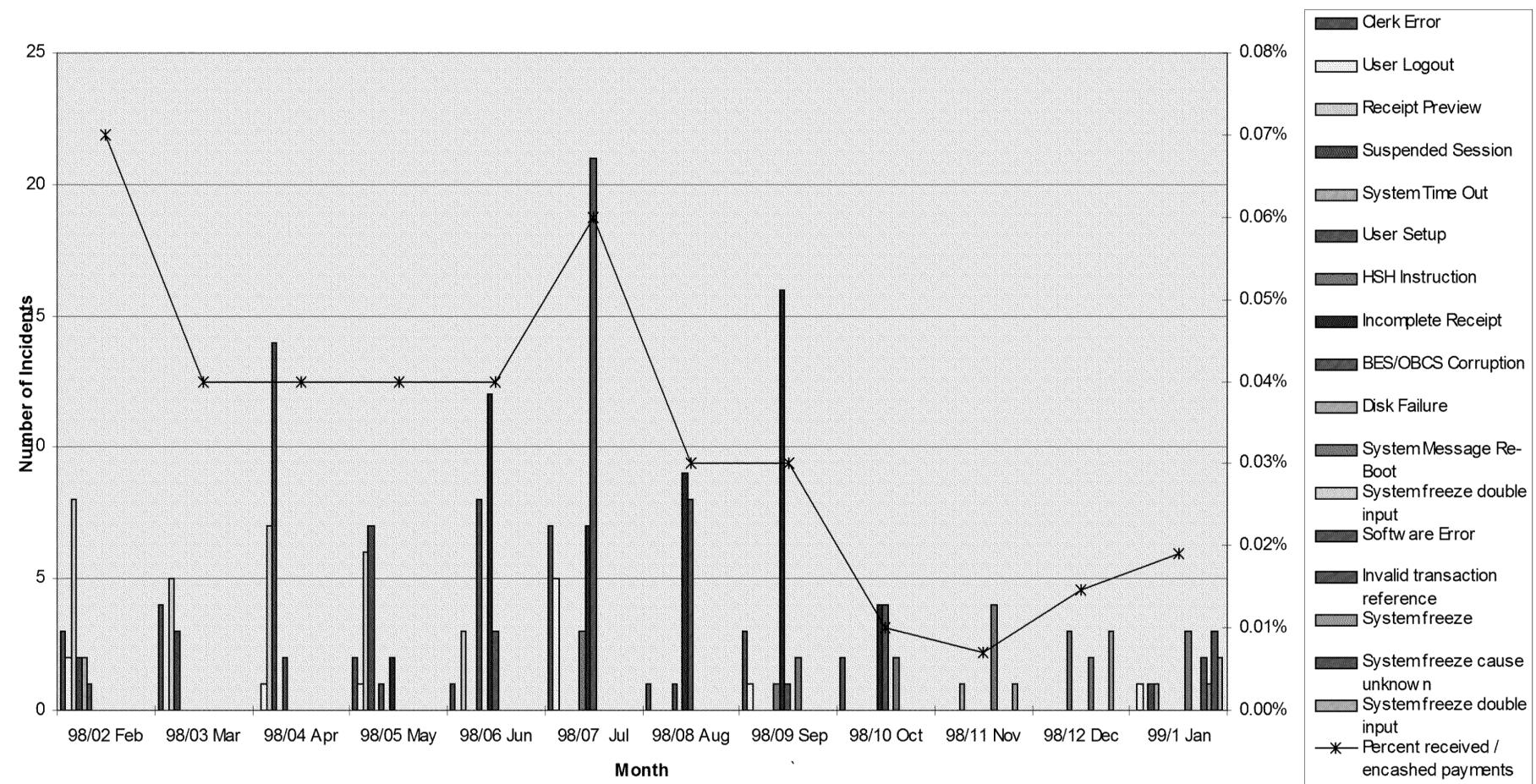
- Incidents cleared under the "No Fault in ICL Pathway Service" category have decreased to 10 this month. This will be monitored closely as NR2 approaches when ICL Pathway will be able to charge for this work.

Report 3.7: Incomplete Transactions February 98 to Date

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Table 3.7: Incomplete Transactions February 98 to Date

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Month	Feb-98	Mar-98	Apr-98	May-98	Jun-98	Jul-98	Aug-98	Sep-98	Oct-98	Nov-98	Dec-98	Jan-99
Percent received / encashed payments	0.07%	0.04%	0.04%	0.04%	0.04%	0.06%	0.03%	0.03%	0.02%	0.007%	0.015%	0.019%
Power Failure	0	0	0	2	1	0	0	0	1	0	4	1
Clerk Error	3	4	0	2	1	7	1	3	2	0	0	0
User Logout	2	0	1	1	0	5	0	1	0	0	0	1
Receipt Preview	8	5	7	6	3	0	0	0	0	0	0	0
Suspended Session	2	3	14	7	0	0	0	0	0	0	0	1
System Time Out	2	0	0	0	0	0	0	0	0	1	0	1
User Setup	1	0	2	1	8	0	1	0	0	0	0	0
HSH Instruction	0	0	0	0	0	3	0	3	0	0	0	3
Incomplete Receipt	0	0	0	2	12	7	9	16	4	0	0	0
BES/OBCS Corruption	0	0	0	0	3	21	8	1	4	0	0	0
Disk Failure	0	0	0	0	0	0	0	0	0	0	0	0
System Message Re-boot	0	0	0	0	0	0	0	2	2	4	2	3
System freeze	0	0	0	0	0	0	0	0	0	1	3	1
System freeze cause unknown	0	0	0	0	0	0	0	0	0	0	0	3
System freeze double input	0	0	0	0	0	0	0	0	0	0	0	2
Software error	0	0	0	0	0	0	0	0	0	0	1	0
Invalid transaction reference	0	0	0	0	0	0	0	0	0	0	0	2
Others	0	12	4	2	1	0	0	0	0	2	0	0

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- This report accounts for **ALL** incomplete transactions, which have occurred at the Post Offices whether notified by the clerk at the time or by POCL TP when the Cash Account is reconciled. Progress has been made in this area to reduce the number of incidents:
- On 09/10/98 all outstanding fixes for identified problems have now been delivered to the R1c counters.

Report 3.8: Incomplete Transactions by PO FAD – January 1999

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Month	PO FAD	Address 1	Exception Description	Number of Incidents
1	99/01 Jan	154511 ALVESTON SPSO	Incomplete transaction - suspended session (BES)	1
2		194329 CAMBOIS SPSO	Incomplete Transaction - System Freeze Cause Unknown (BES)	1
3		206511 DANBY HOUSE SPSO	Incomplete transaction - system message re-boot (BES)	1
4		209511 ELMGROVE SPSO	Incomplete Transaction - System Freeze Cause Unknown (BES)	1
5		217504 WHITEWAY SPSO	Incomplete Transaction - System Freeze Double Input (BES)	1
6		228329 EASTBOURNE GARDENS SPSO	Incomplete transaction - User logout (BES)	1
7		249329 HAZLERIGG SPSO	Incomplete Transaction - System Freeze Double Input (BES)	1
8		296511 SEFTON PARK SPSO	Incomplete transaction - power failure (BES)	1
9		296523 CAINSCROSS SPSO	Incomplete transaction - system message re-boot (BES)	1
10		306511 STAPLETON ROAD(266) SPSO	Incomplete Transaction - System Freeze (BES)	1
11		335523 CIRENCESTER ROAD SPSO	Incomplete transaction - system message re-boot (BES)	1
12		357329 SUNNISIDE SPSO	Incomplete Transaction - System Freeze Cause Unknown (BES)	1
13		381523 COLN ST ALDWYNS SPSO	Incomplete transaction - system timeout (BES)	1
14		394329 WINLATON SPSO	Incomplete Transaction - Invalid Transaction Reference (BES)	1
15		395329 WINLATON MILL SPSO	Incomplete Transaction - Invalid Transaction Reference (BES)	1
Total:				15

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Report 3.9: Incomplete Transactions by PO Region - January 1999

Month	PO Region	Exception Description	No. of Incidents
99/01 Jan	North East	Incomplete Transaction - Invalid Transaction Reference (BES)	2
	North East	Incomplete Transaction - System Freeze Cause Unknown (BES)	2
	North East	Incomplete Transaction - System Freeze Double Input (BES)	1
	North East	Incomplete transaction - User logout (BES)	1
	South West	Incomplete transaction - power failure (BES)	1
	South West	Incomplete transaction - suspended session (BES)	1
	South West	Incomplete Transaction - System Freeze (BES)	1
	South West	Incomplete Transaction - System Freeze Cause Unknown (BES)	1
	South West	Incomplete Transaction - System Freeze Double Input (BES)	1
	South West	Incomplete transaction - system message re-boot (BES)	3
	South West	Incomplete transaction - system timeout (BES)	1
		Total:	15

Report 3.10: Incomplete Transaction Matrix

Incomplete Transaction Category	Definition	Recommendation	Review Dates	Target Dates	Actual Resolution Details	Problem Status	Comments / Next Steps
1. Timeout Pincl - PC0007530	Terminal will 'Time Out' after 15 minutes if there has been no activity. Transactions will be processed up to final committal stage only. The transaction is not completed		01.12.97	Fix 09.02.98	Short term fix -Time out extended to 1hr. Permanent fix - 'Forced committal' fix - ensuring that an incomplete transaction is committed after 74 minutes.	Closed.	A daily report of transactions that have been forcibly committed by the system is produced and circulated to BA and POCL. NB: Transaction is only committed in this way if a receipt has been printed. NR2 DOES NOT FORCE COMMIT. ALL BES TRANSACTIONS ARE CONTAINED WITHIN AN EPOSS SESSION. IF THE CLERK ABANDONS THE TRANSACTION WHILST STILL IN THE BES APPLICATION, OR AFTER HE/SHE HAS PROGRESSED TO THE EPOSS APPLICATION, THE TRANSACTION REMAINS, EVEN THOUGH THE SCREEN HAS RESORTED TO POWER SAVE, AND IS RETURNED FOLLOWING THE FIRST OPERATION.
2. Suspended Session Pincl - PC0008680	User starts a BES session, session then suspended and not committed. Second BES session started and committed in the normal manner. First session transaction is not completed..		01.04.98	Fix 17.05.98	'Forced committal' ensuring that any session suspended containing an incomplete transaction is committed after 74minutes.	Closed	A daily report of transactions which have been forcibly committed by the system is produced and circulated to BA and POCL. NB: Transaction is only committed in this way if a

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						receipt has been printed. TO DATE THIS PROBLEM HAS NOT REOCCURRED & CANNOT BE REPLICATED ON THE NR2 SYSTEM
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Incomplete Transaction Category	Definition	Recommendation	Review Dates	Target Dates	Actual Resolution Details	Problem Status	Comments / Next Steps
1. User Setup Pincl - PC0012110	New User is introduced to the system by the Postmaster and not allocated to any User Group. A BES transaction may be progressed through 'Swipe of card', 'Print receipt' but the system will not allow the User to 'Finish', resulting in an incomplete transaction.	Suggested: Make user member of clerks group by default. Fix rec'd into T&I 24.08.98. Awaiting testing results	07.08.98	09.10.98	Fix tested. Does not allocate user to default group. Displays message and prevents any BES encashment. See CCN 331(a)	Closed	Internal ICL Pathway CP raised by Janet Dore. Horizon Procedures Update to ask PMs to follow full procedure to "Add New User" as in BPS Service Booklet. THE NR2 SYSTEM OPERATES AS PER POCL REQUIREMENTS
2. Incomplete Receipt Pincl – PC0011122	Receipt has been removed prematurely from printer during BES transaction or the printer has failed during the transaction. An error message appears requesting the User retries the receipt printing. If this option is selected the transaction should progress through to completion. However, if the User selects 'Cancel' the transaction cannot be completed without voiding and recommencing from card swipe	Under investigation with Escher – fix rec'd into T&I 24.08.98. Awaiting results of testing.	07.08.98 – new target 04.09.98	09.10.98	Fix tested. Prevents user exiting transaction prior to completion. See CCN 330	Closed	Resolved <i>The problem has been corrected for NR2</i>

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Incomplete Transaction Category	Definition	Recommendation	Review Dates	Target Dates	Actual Resolution Details	Problem Status	Comments / Next Steps
5. Power Failure Pincl PC0019967	<p>User proceeds through normal BES transaction, printing a receipt and paying the Customer.</p> <p>There are two scenarios where the transaction cannot be completed when power is lost:</p> <ol style="list-style-type: none"> 1. If the power is lost following printing of the receipt and the customer has been paid but before the User has touched 'Finish' 2. If the power fails after the User has touched 'Finish' but in the 'split second' prior to the transaction being written to the PC's hard disk. 				BSU authorises PCHL encashment. Machine restarted by PM.	Closed	Unable to provide any system solution to this problem, BSU resolve incident.
6. Receipt Preview Pincl – PC0010079	<p>During fallback when a manual receipt is prepared by the User following counter printer failure, the User should access the 'Manual Receipt' option via 'Exceptions'.</p> <p>This will allow the completion of the transaction once the manual receipt has been completed. Some Users are accessing the 'R. Preview' button via 'Exceptions'. The screen appears identical to the screen displayed when the 'Manual Receipt' button is pressed, however the transaction cannot be completed when the User exits out of the receipt screen.</p>		Fix 02.07.98		"Receipt preview" inactivated during periods where the receipt printer has failed. Clerk is forced to use 'Manual Receipt' option.	Closed	<p>ICL Pathway and BA / POCL are checking requirements to identify where 'Receipt Preview' is specified</p> <p><i>This counter function is being reviewed against requirements for NR2.</i></p>

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Incomplete Transaction Category	Definition	Recommendation	Review Dates	Target Dates	Actual Resolution Details	Problem Status	Comments / Next Steps
7. Incomplete Receipt BES / OBCS Corruption Pincl – PC0012641	OBCS transaction has been started but not finished and a BES transaction is then started. Receipt has been removed prematurely from printer during BES transaction or the printer has failed during the transaction. An error message appears requesting the User retries the receipt printing. If this option is selected the transaction should progress through to completion. However, if the User selects 'Cancel' the transaction cannot be completed without returning to 'Desktop' and recommencing from card swipe. In this occasion however, when the User returns to 'Desktop', the OBCS transaction is available for finishing. This we suggest gives the User a false sense of security as the impression may be given that by finishing the OBCS transaction, the BES transaction is also completed	Under investigation with Escher – fix rec'd into T&I 24.08.98. Awaiting results of testing.	07.08.98 – new target 04.09.98	09.10.98	Fix tested. Prevents user exiting transaction prior to completion. See CCN 330	Closed	Resolved. <i>The problem has been corrected for NR2</i>
8. Clerk Error	Any failure to commit a transaction resulting from genuine clerk error where the system behaved as required.					Closed	Any perceived 'Clerk errors' will be fully documented and reviewed by the Accounting and Reconciliation Operations forum for agreement.

Incomplete	Definition	Recommendation	Review	Target	Actual Resolution	Problem	Comments / Next Steps
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Transaction Category			Dates	Dates	Details	Status	
9. User Logout Pinicl - PC0020259	User proceeds through normal BES transaction, printing a receipt but because of printer problems cannot complete the transaction. User then touches 'Riposte' button which has the effect of returning the system to Desktop and the User then logs out of the system.	Under investigation with Escher – fix rec'd into T&I 24.08.98. Awaiting results of testing.	07.08.98 – new target 04.09.98	09.10.98	Fix tested. Prevents user logging out of transaction prior to completion. See CCN 330	Re-opened & monitor	This has been re-opened as the fix that went to the counters on the 09.10.98 should have prevented the user logging out in the middle of the transaction. The case has been allocated a new Pinicl and forwarded to BES development for investigation. There are no plans to swap the counter PC at this stage as the problem has not reoccurred. Suggest this is a local problem with the counter PC.
10. New Card Activation	User proceeds through normal BES transaction, printing a receipt but does not complete the transaction. User activates a new card prior to completing the transaction, this transfers the payment to the new card however the payment accessed from the old card is still active. This can result in a duplicate payment if the first payment is subsequently committed.	Under investigation with Escher – fix rec'd into T&I 24.08.98. Awaiting results of testing.	07.08.98 – new target 04.09.98	09.10.98	Fix tested. Prevents user exiting transaction prior to completion. See CCN 330	Closed	Resolved <i>The problem has been corrected for NR2</i>
11. HSHD Instruction	User alerts HSHD of system problem. HSHD instructs User to log out during transaction – no follow up advice. Transaction Incomplete	HSHD advised of correct procedure. Ascertain where User was within the transaction when the system failed and advise accordingly				Closed	No further action
Incomplete Transaction Category	Definition	Recommendation	Review Dates	Target Dates	Actual Resolution Details	Problem Status	Comments / Next Steps

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12. System Message Re-boot Pincl - PC0020070	<p>Clerk commences transaction correctly by swiping a benefit card. The system correctly produces a receipt, which is passed to the customer for signature. The customer is paid and leaves the post office. The clerk then tries to commit the transaction but is prevented from doing so by the system locking and displaying the following screen message: 'The status of this transaction has changed', or 'The status of this payment has changed'. (We are unable to ascertain with any certainty which message is being reproduced in each case as we have no transcript of the call to the HSHD and often the PO clerk cannot remember the exact wording.) HSHD then provide a re-boot and follow up action for an incomplete transaction.</p>	<p>This scenario has been very difficult to reproduce in the test environment without creating 'impossible' scenarios. We now believe that the problem is caused by a two consecutive attempts to swipe the same card. When the receipt is printed, on whichever attempt succeeds first, the transaction cannot be finished as the message identifies that there is, in effect, another transaction in progress. This is a known fault and does not replicate itself on the NR2 test rig.</p>	28.10.98	19.01.99	TBA	Open	<p>We have been able to reproduce the message 'The status of this payment has changed' by swiping the card and immediately logging out of the system, then logging back in and restarting the transaction. This is unlikely to be the real cause of the problem and therefore we still require investigation. It should only be displayed if:</p> <ul style="list-style-type: none"> • an unfinished transaction is repeated on another terminal within the same office • an unfinished transaction is started by an alternative payee at another office. <p><i>The problem cannot be replicated on the NR2 rig. If the message occurs, the transaction <u>CAN</u> be completed.</i></p>
13 System Freeze – Counter Swapping Pincl - PC0017544	<p>An uncommitted transaction is lost due to slow counter response that is compounded by the clerk attempting to restart the transaction on another counter. In certain circumstances, the duplicated / random operation may cause the system to 'Freeze' requiring a re-boot to clear.</p>	<p>We agree that the system should have prevented some of the duplicated actions after it had 'frozen'. This is being looked into, however Development state that no guarantee can be given against any system 'freezing' for no apparent reason.</p>	17.11.98	17.11.98	<p>Still with Development. However it is unlikely that a quick solution will be suggested due to our inability to replicate the fault on any test rigs. Development suggest that this may be something that we will have to accept has happened within R1c and ensure that the NR2 kit is tested thoroughly for the same scenario.</p>	Monitor	<p>Unable to proceed further with this case as we are unable to replicate the events to give the same result. This is one of three 'System freeze' categories which will be monitored during R1c.</p>
Incomplete Transaction Category	Definition	Recommendation	Review Dates	Target Dates	Actual Resolution Details	Problem Status	Comments / Next Steps
14. System Freeze – Double	An uncommitted transaction is lost due to slow counter response	We agree that the system should have prevented	17.11.98	17.11.98	Still with Development. However it is unlikely that a	Monitor	Unable to proceed further with this case as we are unable to

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Input Pincl - PC0020352	that is compounded by the clerk attempting manual input of card details after an apparently unsuccessful card swipe. Subsequently the card swipe was accepted and the 'double input' of detail on certain occasions has caused the system to 'Freeze' requiring a re-boot to clear.	some of the duplicated actions after it had 'frozen'. This is being looked into, however Development state that no guarantee can be given against any system 'freezing' for no apparent reason			quick solution will be suggested due to our inability to replicate the fault on any test rigs. Development suggest that this may be something that we will have to accept has happened within R1c and ensure that the NR2 kit is tested thoroughly for the same scenario.		replicate the events to give the same result. This is one of three 'System freeze' categories which will be monitored during R1c.
15. System Freeze – Cause Unknown Pincl - PC0020272	An uncommitted transaction is lost due to unorthodox operation of the system by the clerk causing the system to 'Freeze' requiring a re-boot to clear.	Development state that no guarantee can be given against any system 'freezing' for no apparent reason	17.11.98	17.11.98	Development suggest that this may be something that we will have to accept as many PC's 'freeze' when confused with random or unorthodox input of detail.	Monitor	Unable to proceed further with this case. This is one of three 'System freeze' categories which will be monitored during R1c.
16. Invalid Transaction Reference Pincl - PC0020030	There appears to be instances where the system has a momentary inability to write a message to the message store. This results in an receipt being printed with an encashment reference which includes the FAD code, the node ID followed by 8 zeros. There is no record of the transaction in the message store. The customer is subsequently paid and the transaction is not completed.	It is thought at this stage that this may be linked to the 'System Message Reboot' symptom as on one occasion both symptoms have presented themselves together. We have been unable to replicate this on the NR2 test rig.	11.01.99	31.01.99	This problem has been referred to Escher for an explanation.	Open	Awaiting results of the investigation.

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POTENTIAL PROBLEMS

Incomplete Transaction Category	Definition	Recommendation	Review Dates	Target Dates	Actual Resolution Details	Problem Status	Comments / Next Steps
1. Disk Failure	User proceeds through normal BES transaction, printing a receipt and paying the Customer. Within R1c single counter post offices, if the hard disk were to fail with a total loss of data prior to the ISDN line being opened to communicate with the correspondence server (in practice this line opens approx. every 10 to 15 minutes), any completed BES transactions would be lost, with the status of Incomplete.	In NR2, single counter offices will have 2 hard disks making this event unlikely.				Closed	Unable to provide any system solution to this problem, BSU resolve incident. NB This problem has not occurred in R1c

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	Date	Time	Transaction ID	Payment ID	Beneficiary NINO	Amount
1	02-Jan-99			NIL		NIL
2	03-Jan-99			NIL		NIL
3	04-Jan-99	13:05:59	1883280100015952	44000YW697793B0010	YW697793	£83.00
4	04-Jan-99	17:08:37	2985230100019643	44000YH339579B0111	YH339579	£26.40
5	05-Jan-99			NIL		NIL
6	06-Jan-99			NIL		NIL
7	07-Jan-99	15:15:08	1955040100021970	44000WL960987B0007	WL960987	£55.80
8	07-Jan-99	15:15:08	1955040100021970	44000WL960987B0005	WL960987	£83.00
9	07-Jan-99	15:15:08	1955040100021970	44000WL960987B0008	WL960987	£18.60
10	07-Jan-99	15:15:08	1955040100021970	44000WL960987B0006	WL960987	£83.00
11	07-Jan-99	15:15:08	1955040100021970	44000WL960987B0009	WL960987	£37.20
12	07-Jan-99	15:15:08	1955040100021970	44000WL960987B0010	WL960987	£83.00
13	07-Jan-99	15:15:08	1955040100021970	44000WL960987B0011	WL960987	£37.20
14	08-Jan-99	15:55:20	1643280100025446	44000YY437029A0011	YY437029	£83.00
15	08-Jan-99	13:19:45	1765230100019766	44000YS384051B0010	YS384051	£45.80
16	08-Jan-99	13:19:45	1765230100019766	44000YS384051B0011	YS384051	£45.80
17	09-Jan-99			NIL		NIL
18	10-Jan-99			NIL		NIL
19	11-Jan-99	14:03:32	1565040200027758	44000YL078298C0058	YL078298	£35.70
20	11-Jan-99	18:38:20	1955040100022138	44000YT388105C0032	YT388105	£20.75
21	11-Jan-99	18:38:20	1955040100022138	44000YT388105C0033	YT388105	£20.75
22	11-Jan-99	13:45:44	3205230200029841	44000YR097252B0050	YR097252	£11.45
23	12-Jan-99	13:53:31	2545230100028326	44000YB660534D0043	YB660534	£11.45
24	12-Jan-99	18:24:21	3045110100021816	44000YS597468A0032	YS597468	£35.70
25	12-Jan-99	18:24:21	3045110100021816	44000YS597468A0033	YS597468	£35.70
26	13-Jan-99	04:00:21	2175040200065165	44000YT107800A0039	YT107800	£20.75
27	13-Jan-99	02:51:28	2283290100026488	44000YK513270A0019	YK513270	£11.45
28	13-Jan-99	05:46:47	2545230100028424	44000YS225187B0004	YS225187	£45.80
29	13-Jan-99	03:21:25	3165230100024111	44000YS324568D0121	YS324568	£26.40

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Date	Time	Transaction ID	Payment ID	Beneficiary NINO	Amount
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30	13-Jan-99	03:21:25	3165230100024111	44000YS324568D0122	YS324568	£26.40
31	14-Jan-99			NIL		NIL
32	15-Jan-99	10:57:11	1565230100029177	44000NE153464B0013	NE153464	£83.00
33	15-Jan-99	16:40:04	2533290100023454	44000NS486328A0010	NS486328	£83.00
34	16-Jan-99			NIL		NIL
35	17-Jan-99			NIL		NIL
36	18-Jan-99			NIL		NIL
37	19-Jan-99	13:20:44	2395230100019108	44000YE535044D0047	YE535044	£11.45
38	19-Jan-99	13:20:44	2395230100019108	44000YE535044D0048	YE535044	£11.45
39	19-Jan-99	17:22:52	2395230100019134	44000YS737696B0046	YS737696	£20.75
40	20-Jan-99			NIL		NIL
41	21-Jan-99	13:39:53	1643280100026339	44000WM316404D0051	WM316404	£11.45
42	21-Jan-99	17:16:39	1855040100011649	44000YR985168A0050	YR985168	£11.45
43	21-Jan-99	17:16:39	1855040100011649	44000YR985168A0051	YR985168	£11.45
44	22-Jan-99	13:39:09	1955040100022760	44000WK354962D0008	WK354962	£120.20
45	23-Jan-99	10:27:10	2515230100023006	44000YX979618D0012	YX979618	£45.80
46	23-Jan-99	11:20:52	2785110200006792	44000WA314222B0010	WA314222	£83.00
47	23-Jan-99	11:20:52	2785110200006792	44000WA314222B0011	WA314222	£83.00
48	23-Jan-99	11:20:52	2785110200006792	44000WA314222B0012	WA314222	£83.00
49	23-Jan-99	11:35:52	2805230100031677	44000WE588356C0013	WE588356	£83.00
50	24-Jan-99			NIL		NIL
51	25-Jan-99	18:42:17	1783280200046688	44000WE257841D0061	WE257841	£26.40
52	26-Jan-99	14:01:55	2545230100029355	44000YS073845A0033	YS073845	£11.45
53	26-Jan-99	14:01:55	2545230100029355	44000YS073845A0034	YS073845	£11.45
54	26-Jan-99	14:01:55	2545230100029355	44000YS073845A0035	YS073845	£11.45
55	26-Jan-99	14:01:55	2545230100029355	44000YS073845A0036	YS073845	£11.45
56	27-Jan-99			NIL		NIL
57	28-Jan-99	15:21:54	4043290100041986	44000YT980958A0011	YT980958	£83.00
58	29-Jan-99	11:13:10	1755230100016543	44000YY268934B0012	YY268934	£105.60

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Date	Time	Transaction ID	Payment ID	Beneficiary NINO	Amount
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59	29-Jan-99	16:10:41	3985230200046435	44000YK583959B0054	YK583959	£18.60
60	29-Jan-99	16:10:41	3985230200046435	44000YK583959B0053	YK583959	£18.60
61	30-Jan-99			NIL		NIL
62	31-Jan-99			NIL		NIL
						£2,024.10

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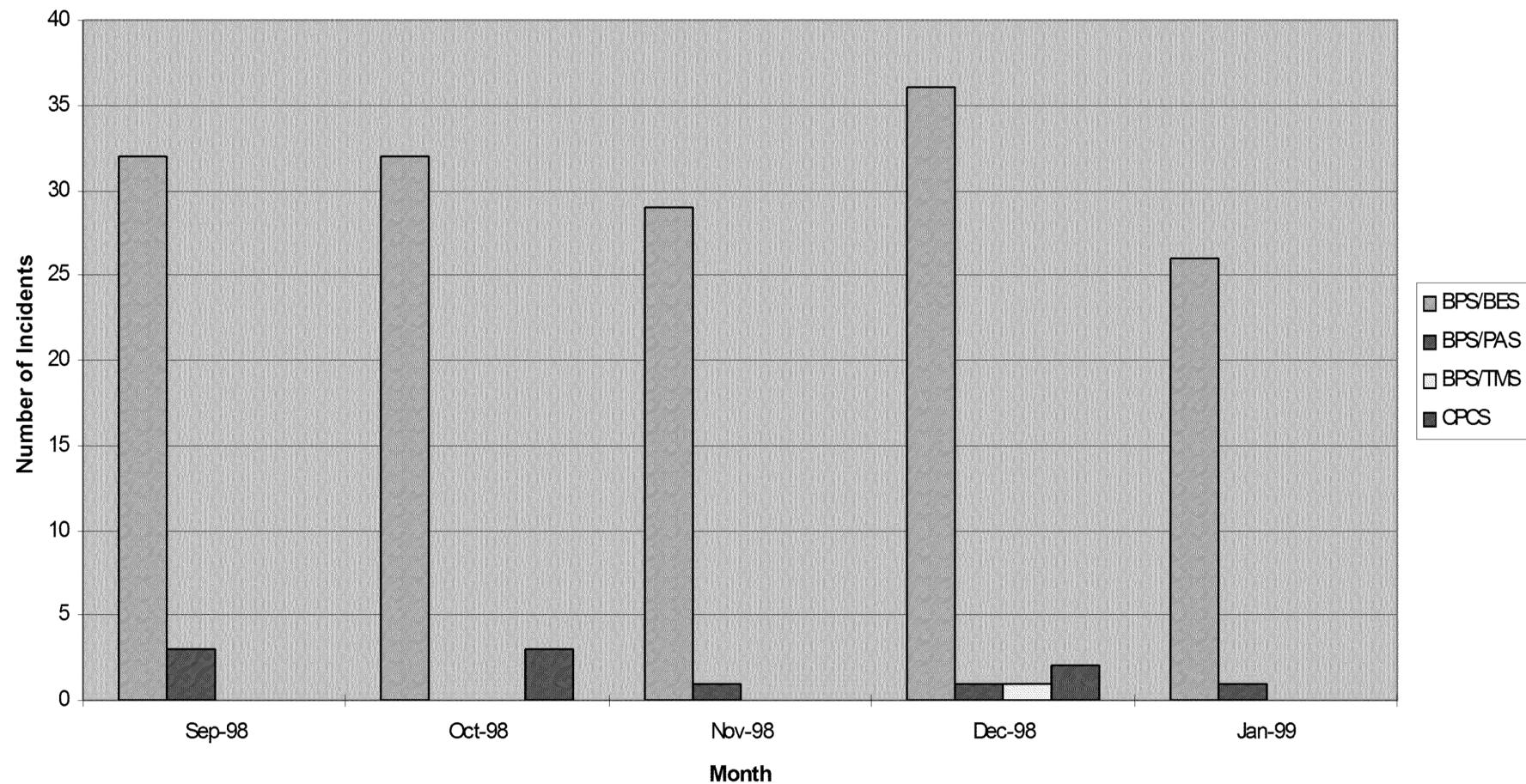
Ref: CS/REP/033
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Report 3.12: Incidents Received By Service Fault - September 1998 to Date

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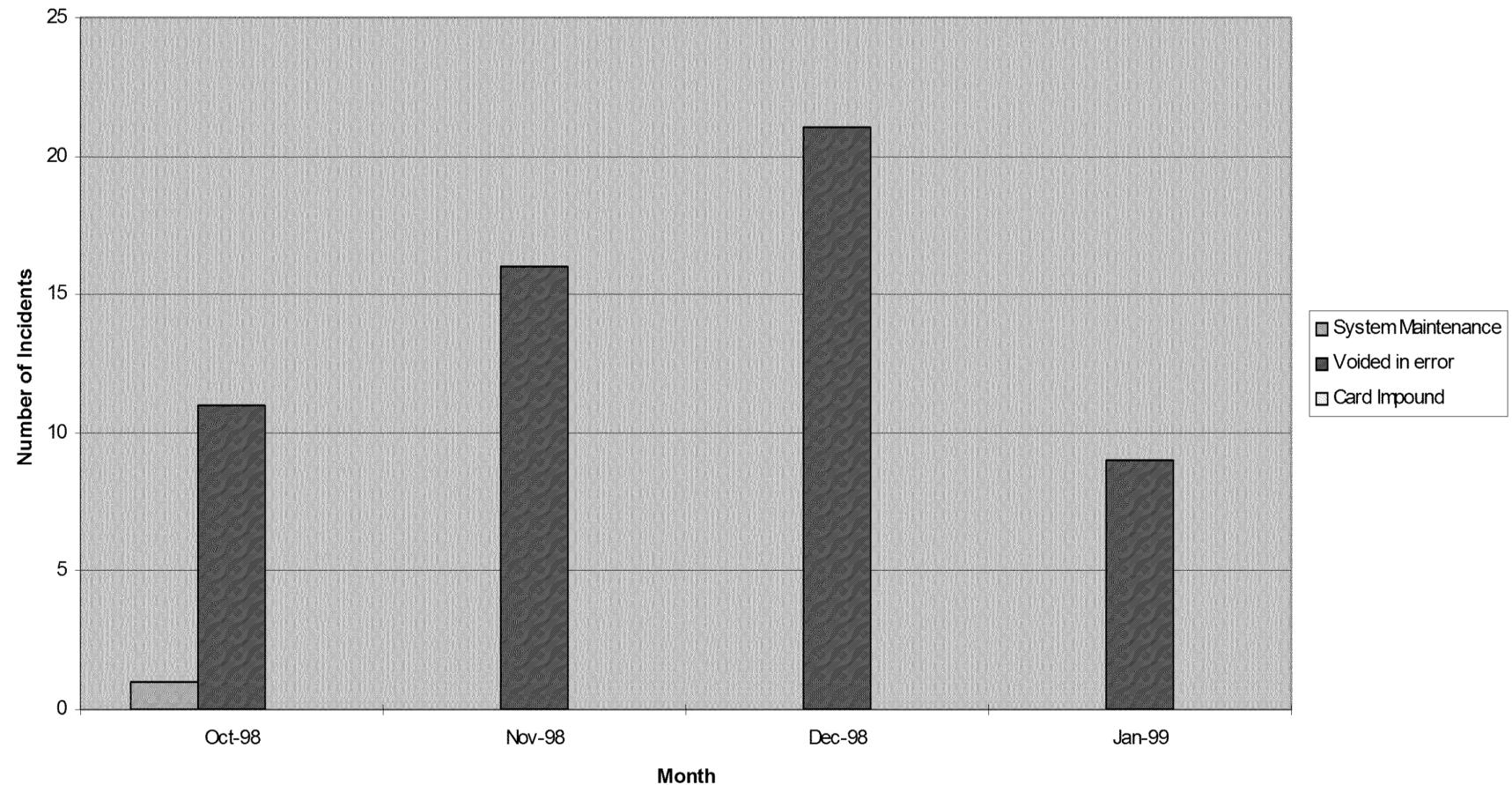
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Report 3.13: Non Committed Transactions – October 1998 to Date

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Report 3.14: Analysis of Incomplete Transaction type 'System Freeze' January 98

	PO FAD	Enc Date	Time	HSHD Reference
1	194329	09/01/99	9.30	E9901090007
2	209511	14/01/99	12.09	E9901140050
3	217504	23/01/99	9.49	E9901230007
4	249329	12/01/99	11.43	E9901120045
5	306511	19/01/99	9.25	E9901200003
6	357329	13/01/99	15.44	E9901130082

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Report 4.1: Final Liability by Category - Cleared January 1999 (Excludes Incidents Raised for Rejected Records)
Incomplete Transactions

Date Received	RED Ref.	HSHD Ref.	Final Liability	Exception Description	Date Cleared	Cash Account Week	FAD	
							Code	PO Name
1	11/01/99	RED99011110178	E9901080128	N/A	Incomplete transaction - User logout (BES)	11/01/99	4298	228329 47 Eastbourne Gardens
2	11/01/99	RED99011110179	E9812230013	N/A	Incomplete Transaction - Invalid Transaction Reference (BES)	11/01/99	4298	394329 Front Street
3	11/01/99	RED99011110180	E9901090007	N/A	Incomplete Transaction - System Freeze Cause Unknown (BES)	11/01/99	4298	194329 27 Ridley Terrace
4	13/01/99	RED99011310181	E9901120045	N/A	Incomplete Transaction - System Freeze Double Input (BES)	13/01/99	4298	249329 1 South View
5	14/01/99	RED99011410183	E9901140050	N/A	Incomplete Transaction - System Freeze Cause Unknown (BES)	14/01/99	4398	209511 593 Fishponds Road
6	14/01/99	RED99011410182	E9901130082	N/A	Incomplete Transaction - System Freeze Cause Unknown (BES)	15/01/99	4398	357329 12 Dewhurst Terrace
7	22/12/98	RED98122210156	E9812210070		Incomplete transaction - power failure (BES)	18/01/99	3998	268511 171/173 High Street
8	23/12/98	RED98122310157	E9812210070		Incomplete transaction - power failure (BES)	18/01/99	3998	268511 171/173 High Street
9	23/12/98	RED98122310159	E9812210070		Incomplete transaction - power failure (BES)	18/01/99	3998	268511 171/173 High Street
10	19/01/99	RED99011910186	E9901110102	N/A	Incomplete transaction - power failure (BES)	19/01/99	4398	296511 10 Derby Road
11	19/01/99	RED99011910187	E9901180144	N/A	Incomplete transaction - system timeout (BES)	20/01/99	4398	381523 Coln St Aldwyns
12	20/01/99	RED99012010188	E990120003	N/A	Incomplete Transaction - System Freeze (BES)	20/01/99	4398	306511 266 Stapleton Road
13	20/01/99	RED99012010189	E9901180143	N/A	Incomplete transaction - system message re-boot (BES)	20/01/99	4398	206511 2 Danby House
14	21/01/99	RED99012110193	E9901210141	N/A	Incomplete transaction - system message re-boot (BES)	22/01/99	4498	335523 Cirencester Road
15	25/01/99	RED99012510196	E9901220054	N/A	Incomplete Transaction - Invalid Transaction Reference (BES)	25/01/99	4498	395329 5A Noel Terrace
16	25/01/99	RED99012510198	E9901230007	N/A	Incomplete Transaction - System Freeze Double Input (BES)	25/01/99	4498	217504 116 Mount Road
17	27/01/99	RED99012710202	E9901260113	N/A	Incomplete transaction - system message re-boot (BES)	27/01/99	4498	296523 20 Westward Road
18	27/01/99	RED99012710203	E9901260035	N/A	Incomplete transaction - suspended session (BES)	27/01/99	4498	154511 1 Greenhill Parade

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Non-committed

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Date Received	RED Ref.	HSHD Ref.	Final Liability		Exception Description	Date Cleared	Cash Account Week	FAD Code	PO Name
1	05/01/99	RED99010510174	E9901040091	N/A	Voided in error	05/01/99	4198	310329	1A Osbourne Place
2	15/01/99	RED99011510184	E9901150043	N/A	Voided in error	15/01/99	4398	242523	72 High Street
3	22/01/99	RED99012210194	E9901220031	N/A	Voided in error	22/01/99	4498	335523	Cirencester Road
4	25/01/99	RED99012510195	E9901220143	N/A	Voided in error	25/01/99	4498	357329	12 Dewhurst Terrace
5	25/01/99	RED99012510197	E9901230007	N/A	Voided in error	25/01/99	4498	217504	116 Mount Road
6	25/01/99	RED99012510199	E9901250071	N/A	Voided in error	25/01/99	4498	261511	140 Nags Head Hill
7	26/01/99	RED99012610200	E9901250142	N/A	Voided in error	26/01/99	4498	231523	155 Southgate Street
8	27/01/99	RED99012710204	E9901270001	N/A	Voided in error	27/01/99	4498	391329	41 Park View
9	28/01/99	RED99012810206	E9901270133	N/A	Voided in error	28/01/99	4598	206523	The Flatt

PO Incident

Date Received	RED Ref.	HSHD Ref.	Final Liability		Exception Description	Date Cleared	Cash Account Week	FAD Code	PO Name
1	26/01/99	RED99012610201	E9901260022	N/A	Duplicate encashment - BES	26/01/99	4498	178328	Pegswood Po

ICL PATHWAY

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POCL Incident

	Date Received	RED Ref.	HSHD Ref.	Final Liability	Exception Description	Date Cleared	Cash Account Week	FAD Code	PO Name
1	05/01/99	RED99010510173	E9901050071	N/A	ABED/CAW misbalance	19/01/99	4198	181504	177 Englishcombe Lane

PAS Incident

	Date Received	RED Ref.	HSHD Ref.	Final Liability	Exception Description	Date Cleared	Cash Account Week	FAD Code	PO Name
1	18/01/99	RED99011810185	E9901180108	N/A	Encashments not returned to CPCS	18/01/99	4398	268511	171/173 High Street

5. JANUARY 1999 - KEY INCIDENTS REQUIRING DISCUSSION

RED Reference	Summary	Recommendation
RED98122210156	Incomplete transaction – power failure	Power failure at Oldland Common (268511) not reported at the time by PM. Customer named Coles informed PM that payments had already been received. Liability for duplicate payment to be discussed.
RED98122210157	Incomplete transaction – power failure	As above. Customer named Farmer informed PM that payments had already been received.
RED98122210159	Incomplete transaction – power failure	As above. PM unable to ascertain whether a further six customers were paid or not. RED raised as precautionary measure due to potential reconciliation issues. Receipts found only for Chee & Mahoney in CAW 38 (14/12/98).

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6. JANUARY 1999 - KEY INCIDENTS WHERE LIABILITY HAS BEEN PREVIOUSLY DISCUSSED

The following incidents have been previously discussed at the Accounting and Reconciliation Operational Forum, and a response has not been received from POCL. The incident will now be closed with no ICL Pathway liability.

RED Reference	Summary	Recommendation
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None