

ICL Pathway	EPOSS End-to-end Reconciliation Process For Release NR2 - Incident Management & Resolution	Ref:	CS/PRD/045
		Version	1.0
		Date:	16/06/99

Document Title: EPOSS End-to-end Reconciliation Process For
Release NR2 - Incident Management & Resolution

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**ICL Pathway EPOSS End-to-end Reconciliation
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Abstract

This document:

- was jointly produced by ICL Pathway and POCL;
- was reviewed, validated and approved by the EPOSS Reconciliation Panel;
- describes the results of work that was carried out during the period December 1998 to April 1999;
- focuses on:
 - observed EPOSS exceptions which could affect the accounting processes carried out within post office outlets and POCL central functions;
 - the local resolution of exceptions;
 - the raising of incidents when exceptions cannot be resolved locally;
 - resolution of the incidents.

Exceptions may be caused by user error, reference data error , hardware failure, communications failure or software error.

Process definitions for automated payment reconciliation and reference data error management are detailed in separate documents (see associated documents in section 0.3). This document concentrates on EPOSS products, stock unit balancing and cash account production at Horizon enabled offices using release NR2 software. For completeness some information is provided for OBCS.

In most situations the ability to reverse transactions facilitates the resolution of accounting exceptions at the outlet.

This document includes all EPOSS related exceptions which have been identified to date and the planned method of handling them. It is recognised that other incidents may arise during live trial. If any new unexpected incidents occur in the future they will be investigated by the appropriate authorities and the relevant processes will be amended to accommodate the new incident types.

Stock unit and cash account balancing at the outlet provides an opportunity to reconcile cash, stock and receipts with the Horizon system (electronic) view of the outlet's financial accounts. Wherever possible exceptions relating to differences between the electronic records held within the Horizon system and the supporting documentation are resolved locally at the outlet. This action is expected to eliminate the vast majority of identified exceptions.

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Reconciliation also occurs within POCL Transaction Processing when the electronic cash account information is compared with supporting documentation.

Other levels of reconciliation exist, e.g.:

- within POCL Client organisations - comparisons between settlement information provided by POCL and information held within the client organisation;
- by customers of POCL clients - observed missing payment on bill.

The existence of the POCL client and customer "reconciliation" processes is recognised within this document, in so far as calls made by POCL Clients to the Transaction Processing Error Team. However, no detail is provided on the POCL Client internal processes.

Exceptions which cannot be resolved locally within outlets are raised as incidents with the appropriate helpdesk. At release NR2 Horizon enabled outlets will be supported by the existing ICL Pathway Horizon System Helpdesk (HSH) and the new POCL Network Business Support Centre (NBSC). A set of principles are included in this document which describe the scope of each help desk and the key help desk interactions at NR2.

Within this document exceptions and incidents that are directly related to the reconciliation of accounting information are described in detail. Summary information is provided for incidents that relate to (a) help desk advice and guidance, (b) incorrect operation of hardware, comms. or software, (c) file transfer errors and (d) reference data errors.

This document will be maintained under change control for the life of release NR2 and updated when appropriate to reflect information gained from live trial.

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0 Document control

0.1 Document history

Version	Date	Reason
Scoping doc.	8.12.98	To support the first EPOSS Reconciliation Panel meeting scheduled for 17.12.98.
Working doc.	26.1.99	To support the second EPOSS Reconciliation Panel meeting on 27.1.99.
Working doc	15.2.99	To support the third EPOSS Reconciliation Panel meeting on 17.2.99
Working doc	3.3.99	To support meeting with POCL Service Management on 4.3.99.
Working doc.	9.3.99	To support the forth EPOSS Reconciliation Panel meeting on 11.3.99.
0.1	1.4.99	First draft - to support the fifth EPOSS Reconciliation Panel meeting on 7.4.99 and register in ICL Pathway and POCL libraries.
0.2	16.4.99	Second draft for EPOSS Reconciliation Panel sign-off.
1.0	16.6.99	First definitive issue.

Approval authorities

Name	Position	Signature	Date
ICL Pathway Stephen Muchow	Director Customer Service		
POCL Ruth Holleran			

0.3 Associated documents

Reference	Ver	Date	Title	Source
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CS/PRD/044	1.0	16.6.99	Automated Payment End-to-end Reconciliation Process For Release NR2 - Incident Management & Resolution	ICL Pathway
CS/PRD/046	0.2	16.4.99	Reference Data Error Management	ICL Pathway
CS/PRD/059	0.1	29.3.99	NR2 End to End Incident Processes for TPS System	ICL Pathway
CS/PRD/051	0.1	9.12.98	NR2 End to End Incident Processes for Automated Payment Service System	ICL Pathway
			POCL Business Process Diagrams	POCL
TI/IFS/001	5.3	11.5.98	Pathway to TIP Application Interface Specification	ICL Pathway

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0.4 Abbreviations

APS	Automated payment service
BES	Benefit encashment service
BSU	Business Support Unit (ICL Pathway)
CAP	Cash account period
DSS	Department of Social Security
EPOSS	Electronic point of sale service
HSB	Horizon System Helpdesk (ICL Pathway)
ISU	Individual stock unit
NBSC	Network Business Support Centre (POCL)
OBCS	Order book control system
PCS	Pathway Central Systems
POCL	Post Office Counters Limited
PW	ICL Pathway Limited
RED	Reconciliation exception database
SSU	Shared stock unit
TP	Transaction Processing

Changes in this version

BPS information removed plus cosmetic changes. Scope modified to make it clear that detailed POCL settlement processes and detailed POCL client processes are excluded from this document. Audit trail for changes to principles removed because the principles are now stable.

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1 Introduction

This document:

- was jointly produced by ICL Pathway and POCL;
- was reviewed, validated and approved by the EPOSS Reconciliation Panel;
- describes the results of work that was carried out during the period December 1998 to April 1999.

This document contains:

- a list of process design principles;
- a high-level end-to-end model (post office outlets to ICL Pathway to POCL to POCL Clients);
- lower-level models which show where exceptions may be detected;
- information on the raising and routing of incidents within POCL and/or ICL Pathway;
- information on incident resolution.

Cross-references are made to:

- APS end-to-end reconciliation incident management and resolution processes;
- the Reference Data error management processes;
- ICL Pathway TIP incident management processes;
- POCL Business Process Models

For the purposes of this document:

- an EPOSS reconciliation incident is defined as a mismatch within the end-to-end EPOSS process which results in incorrect accounting records;
- an OBCS business incident is defined as an error in an OBCS transaction at a post office, which has an impact on OBCS accounting records.

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2 Scope

The scope of this document includes:

- all services that are delivered at the post office outlet and reflected in the cash account;
- the flow of accounting information from post office outlets to the central POCL accounting functions;
- the detection of EPOSS reconciliation related exceptions and the raising of EPOSS reconciliation incidents at post offices, within POCL and within ICL Pathway;
- the resolution of EPOSS reconciliation incidents;
- if applicable, assignment of liability for EPOSS reconciliation incidents using ICL Pathway/POCL agreed case law;
- the detection and resolution of OBCS business incidents that affect settlement with clients.

The scope excludes:

- detailed APS reconciliation processes;
- detailed reference data error management processes;
- hardware, software, communications or operational incidents that have no direct impact on EPOSS accounting records;
- supply of consumables, e.g. printer paper;
- external supplies, e.g. power;
- detailed POCL settlement processes;
- detailed POCL client processes.

3 Purpose

- To define a process framework for the:
 - management of EPOSS reconciliation incidents;
 - management of OBCS business incidents;
 - resolution of EPOSS reconciliation incidents.
- To support the development, enhancement and validation of local procedures.

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4 Approach

- ICL Pathway and POCL team approach to reconciliation process definition, including joint authorship and joint validation/approval via an EPOSS Reconciliation Panel.
- Joint agreement of scope, purpose and approach.
- Joint development/validation/maintenance of:
 - process design principles;
 - high-level end-to-end process model;
 - lower-level process models.
- Identification of points within POCL and ICL Pathway where EPOSS or OBCS reconciliation related exceptions may be detected.
- Capture and validation of processes for raising and routing accounting reconciliation related incidents within POCL and ICL Pathway.
- Joint development/validation/maintenance of processes for resolving EPOSS and OBCS accounting reconciliation related incidents.
- Process definitions approved and signed-off by the EPOSS Reconciliation Panel;
- Following EPOSS Reconciliation Panel approval, process definitions approved and signed-off by nominated ICL Pathway and POCL senior managers.
- Following sign-off by nominated ICL Pathway and POCL senior managers, process definitions progressed to contract controlled status.

5 Principles for EPOSS Reconciliation Incident Management and Resolution

The following principles were used in the development of the Release NR2 EPOSS end-to-end reconciliation process. Changes to the principles may necessitate the review and revision of the processes detailed within this document.

Note 1: Within this document the term “exception” is used to describe an exceptional situation that occurs locally within an outlet or within the POCL TP (Transaction Processing) organisation.

Note 2: Within this document an “incident” is deemed to have occurred when an exceptional situation is reported to and recorded by either the ICL Pathway HSH (Horizon System Helpdesk), the POCL NBSC (Network Business Support Centre) or the Incident Management Point within POCL TP.

Note 3: The general principles below include the initial handling of reference data errors because there is a significant interaction between reference data and EPOSS system functionality. In exceptional circumstances an incident may be initially thought to be a POCL reference data error but later found to be an error within the ICL Pathway domain. It is also possible that an incident may initially be thought to have been caused by an error within the ICL Pathway domain but later found to be a POCL reference data error. Both these situations require secondary routing of the initial incident. Details of this is provided within the Reference Data Error Management process - ref. CS/PRD/046.

5.1 EPOSS Reconciliation Process Design Principles

- P1 Outlets will, wherever possible, eliminate user errors before raising an incident.
- P2 POCL TP Incident Management will, wherever possible, eliminate human error and errors within POCL systems before raising an incident with ICL Pathway.
- P3 Wherever possible, EPOSS related incidents that have accounting reconciliation implications or an impact on the outlet business processes will be predefined so that they can be easily identified and routed to the correct resolution point.
- P4 For each predefined incident category there will be an agreed “initial incident management contact point”. In the case of outlets this will either be the ICL Pathway HSH or the POCL NBSC. Outlets will not be advised to contact both. In the case of POCL TP the initial contact point will be POCL TP Incident Management.

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- P5 Incidents reported to the HSH that are defined as “EPOSS Predefined Business Incidents”, indicating that there are ICL Pathway reconciliation implications, will be routed to the ICL Pathway BSU (Business Support Unit). A category of “new” will be used for unexpected incidents that are shown to have EPOSS reconciliation implications. Following investigation, valid new incidents will be added to the list of EPOSS Predefined Business Incidents. **NB:** There are currently no EPOSS Predefined Business Incidents identified. However, if any are identified during live trial they will be investigated and if valid added to the list of predefined business incidents. This principle and principles P6, P7 and P8 will then apply.
- P6 The BSU will investigate EPOSS predefined business incidents and report findings on an EPOSS RED (Reconciliation Exception Database) Report (see NB in P5).
- P7 EPOSS RED reports will be distributed to a defined single point within POCL (see NB in P5).
- P8 POCL will define a single point for the receipt of EPOSS RED reports (see NB in P5).
- P9 Outlets will be advised to report detected Horizon system hardware or communications incidents directly to the ICL Pathway HSH.
- P10 Outlets will be advised to report incidents that are likely to have been caused by a Horizon system software error directly to the ICL Pathway HSH.
- P11(a) Outlets will be advised to report incidents that are likely to have been caused by an error in the POCL reference data (regardless of where the source of the error actually is) directly to the POCL NBSC.
- P11(b) Outlets will be advised to report incidents that are likely to have been caused by an error in the ICL Pathway reference data (regardless of where the source of the error actually is) directly to the HSH.
- P12 In situations where an incident could have been caused by either a POCL reference data error or a Horizon system software error, the incident will initially be treated as a potential POCL reference data error, i.e. incident raised with the POCL NBSC.
- P13 In situations where a key outlet business process is impacted by an unresolved incident of any type, the outlet will be advised to contact the POCL NBSC for advice and guidance.
- P14 ICL Pathway and POCL will work together to ensure that the advice and guidance information provided by the HSH and the POCL NBSC is compatible with the knowledge and culture within the outlet.
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- P15 Where appropriate, ICL Pathway technical domains will trigger the raising of an EPOSS predefined business incident, e.g. when an ICL Pathway technical incident is shown to have caused EPOSS reconciliation implications.
- P16 Where appropriate, the ICL Pathway BSU will trigger the raising of a technical incident, e.g. when an EPOSS predefined business incident suggests that there might be an underlying ICL Pathway software error.
- P17 Both the HSH and NBSC will conform to the principles described above. If an outlet makes a call to the HSH which relates to P11(a), P12 or P13, the call will be treated as inappropriate and the outlet will be advised by the HSH to call the NBSC. If an outlet makes a call to the NBSC which relates to P9, P10 or P11(b), the call will be treated as inappropriate and the outlet will be advised to call the HSH. If either help desk starts handling a call because it initially appears to be appropriate, but then finds that it is the responsibility of the other desk, then the help desk handling the call will inform the outlet that they are referring the call to the other help desk, terminate the call with the outlet and inform the other desk. The other desk will contact the outlet and continue advice and guidance and/or resolution.
- P18 Both the HSH and NBSC will take action to avoid outlets being passed backwards and forwards between the two help desks. If when calling a help desk the outlet mentions that they have already been referred from the other help desk, then the help desk taking the call second will take control of the call and interact with the other desk to agree how the incident will be progressed.

6 OBCS Incident Management

Some information on OBCS is included in this document because:

- OBCS is accounted for within EPOSS;
- information on OBCS is not included in any other reconciliation related documentation.

Incidents related to OBCS have been included in this document where they are detected by the user. OBCS related incidents are present in section 9.1.3.

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7 EPOSS Reconciliation Incident Management Summary

7.1 EPOSS Reconciliation Related Exceptions Detected Within Post Office Outlets

The following provides a summary of the categories of exception which may be detected within a post office outlet and the action taken. Specific exceptions are discussed later in this document. Exceptions become incidents when they are reported to and recorded on either the POCL incident management system (TP Incident Management at Chesterfield or NBSC at Leeds) or the ICL Pathway HSH. The handling of EPOSS reconciliation related incidents within POCL and ICL Pathway is described in sections entitled POCL Incident Management and ICL Pathway Incident Management at the rear of this document.

7.1.1 Impacted Accounting Processes

This category includes situations where a key accounting process, performed by outlets, is impacted by an unresolved incident of any type.

Type of Exception Detected Within Outlet	Outlet action	Contact ICL Pathway	ICL Pathway Desk Name	Contact POCL	POCL Desk Name
Time-critical business process, e.g. stock unit or account rollover, impacted by an unresolved incident of any type.	Follow advice given by POCL desk	No	-	Yes - for advice Further information provided in section 10.	NBSC

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7.1.2 Horizon Advice & Guidance, Hardware, Communications and Software Exceptions

Type of Exception Detected Within Outlet	Outlet action	Contact ICL Pathway	ICL Pathway Desk Name	Contact POCL	POCL Desk Name
Horizon system advice and guidance required.	Follow advice given by HSH	Yes	HSH	No	-
Horizon counter system hardware not working correctly, e.g. printer will not work.	Use fallback procedures	Yes - for advice and/or resolution	HSH	No	-
Horizon counter system unable to communicate with central systems.	Use fallback procedures	Yes - for advice and/or resolution	HSH	No	-
Horizon counter system observed to operate incorrectly indicating that there may be a software error, e.g. error message, system not responding.	Use fallback procedures	Yes - for advice and/or resolution	HSH	No	-

7.1.3 Reference Data Exceptions

Type of Exception Detected Within Outlet	Outlet action	Contact ICL Pathway	ICL Pathway Desk Name	Contact POCL	POCL Desk Name
Price information on Horizon system incorrect,	Eliminate any input errors	No	-	Yes - for advice and where	NBSC

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includes situations where scales show correct weight but wrong price.				necessary resolution	
Expected product not available.	Eliminate any input errors	No	-	Yes - for advice and where necessary resolution	NBSC
Product information wrong, e.g. min/max price or quantity incorrect.	Eliminate any input errors	No	-	Yes - for advice and where necessary resolution	NBSC
Post office/phone number incorrect.	-	No	-	Yes - to resolve	NBSC
Method of payment wrong.	Eliminate any input errors	No	-	Yes - for advice and where necessary resolution	NBSC

7.1.4 EPOSS Predefined Business Incidents Requiring ICL Pathway BSU Action

EPOSS reconciliation incidents that require ICL Pathway BSU involvement in their resolution are known within ICL Pathway as "EPOSS Predefined Business Incidents".

When appropriate these incidents are communicated by the outlet to the ICL Pathway HSH. The handling of EPOSS Predefined Business Incidents within ICL Pathway is described in the section entitled ICL Pathway Incident Management at the rear of this document. No incidents of this type are currently identified.

7.1.5 Inappropriate Calls to either the POCL NBSC or the ICL Pathway HSH

If outlets make calls to the ICL Pathway HSH that relate to the general exceptions described in 7.1.1 above or reference data related exceptions described in 7.1.3 above, the HSH advises the outlet to contact the NBSC.

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If outlets make calls to the NBSC that relate to the exceptions described in 7.1.2 above, the NBSC advises the outlet to contact the HSH.

7.2 EPOSS Reconciliation Related Exceptions Detected Within POCL Transaction Processing

7.2.1 Specific exceptions/incidents

Specific exceptions are discussed later in this document. TP exceptions become incidents when they are reported to and recorded by the TP Incident Management Point. The TP Incident Management system is linked with the NBSC at Leeds. Suspected reference data incidents are reported to the NBSC.

7.2.2 EPOSS Predefined Business Incidents Requiring ICL Pathway BSU Action

EPOSS reconciliation incidents that require ICL Pathway BSU involvement in their resolution are known within ICL Pathway as "EPOSS Predefined Business Incidents".

When appropriate these incidents are communicated by POCL TP Incident Management to the ICL Pathway HSH. The handling of EPOSS Predefined Business Incidents within ICL Pathway is described in the section entitled ICL Pathway Incident Management at the rear of this document. No incidents of this type are currently identified.

7.3 Interim TIP File Transfer Exceptions/Incidents Detected Within POCL

Exceptions related to file transfer from ICL Pathway are detected by POCL System Support in Chesterfield. Incidents are raised with TP Incident Management. If the incident is perceived to be caused by an error within the ICL Pathway domain, then the TP Incident Manager raises an incident with the ICL Pathway HSH.

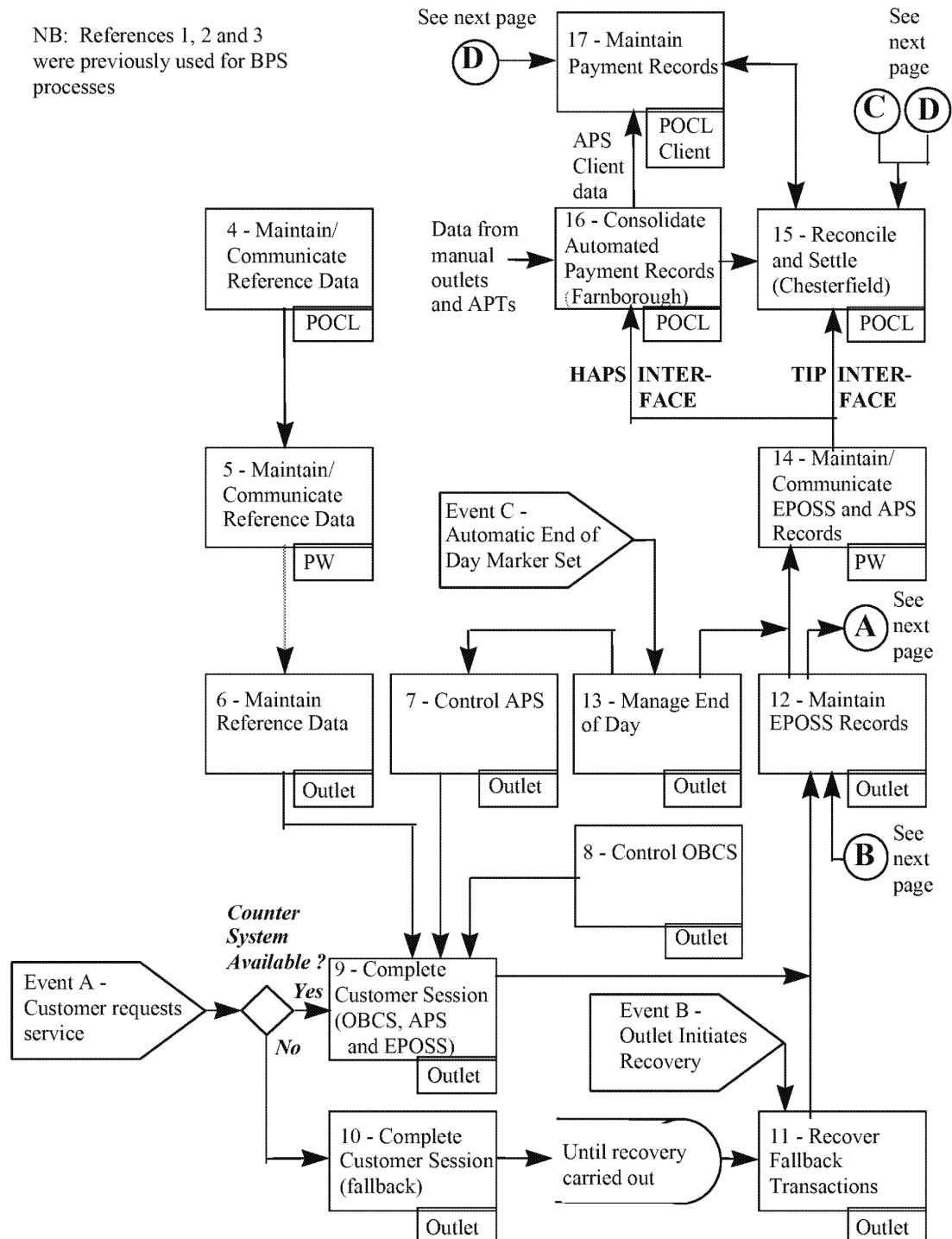
7.4 Interim TIP File Transfer Exceptions/Incidents Detected Within ICL Pathway

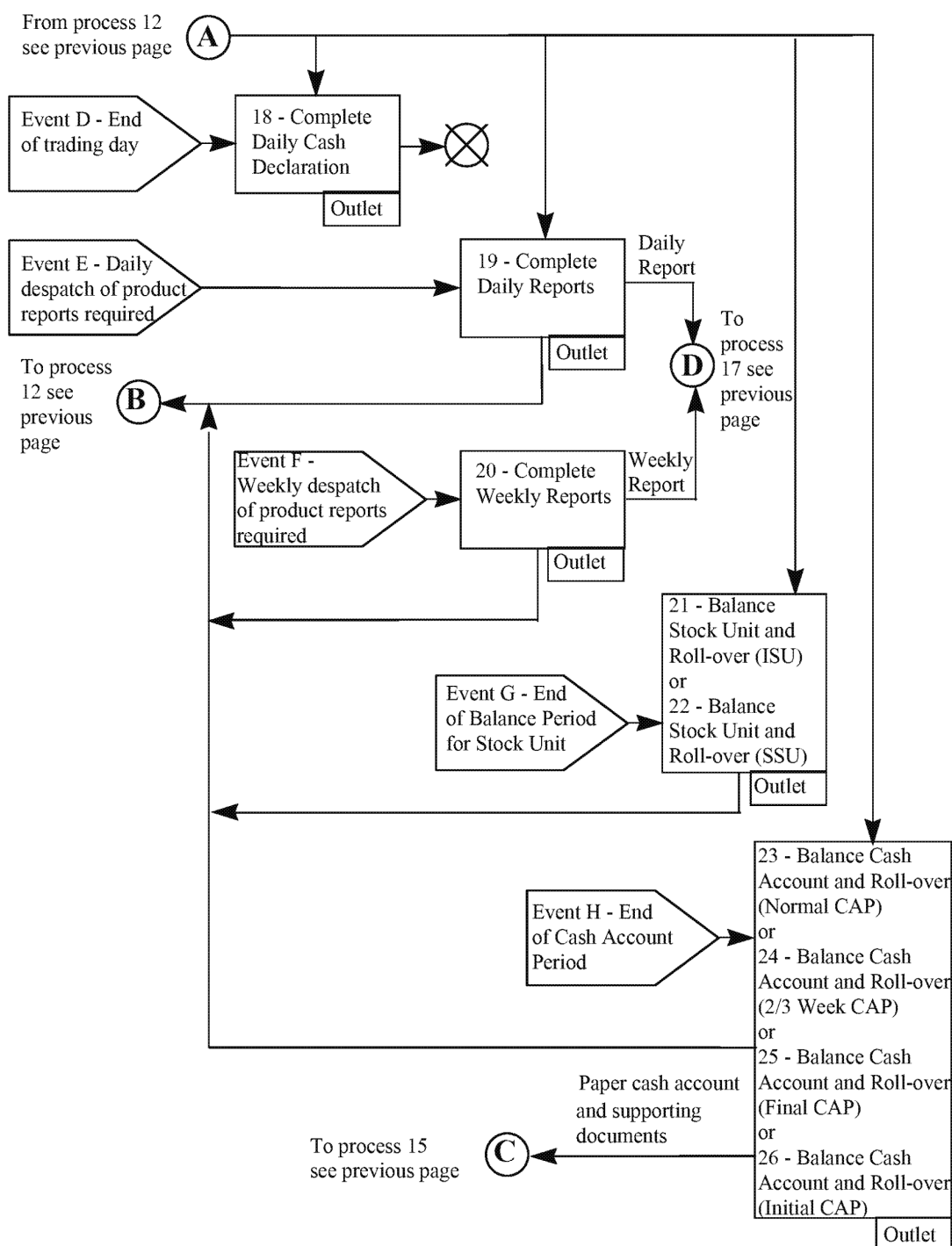
File transfer exceptions that are detected within ICL Pathway Operations are reported to the HSH. Incidents are raised by the HSH and routed to the appropriate expert domain for resolution.

8 End-to-end Process

8.1 Process model

NB: References 1, 2 and 3 were previously used for BPS processes



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8.2 Process Descriptions

NB: References 1, 2 and 3 were previously used for BPS processes, which are now no longer relevant.

Processes 4, , 5 and 6 - Reference data processes

These processes describe how product and outlet reference data is manage - see ICL Pathway documents CS/PRD/030 (product) and CS/PRD/050 (outlet). References data error management is described in CS/PRD/046.

Process 7 - Control APS

Includes the APS functionality provided within the Horizon system - see ICL Pathway document CS/PRD/044 for further information.

Process 8 - Control OBCS

Includes the OCBS functionality provided within the Horizon system.

Event A - Customer requests service

Includes requests for automated payment and/or EPOSS transactions. Also includes enquiries relating to automated payment and/or EPOSS transactions.

Process 9 - Complete customer session (OBCS/APS/EPOSS)

A session comprises one or more OBCS, APS or EPOSS transactions. Included are transactions completed using the automated features of the Horizon system, e.g. card reader, bar code reader, receipt printer, etc.. Also included are transactions completed when peripheral equipment is temporarily unavailable. In these situations the outlet enters transaction details via the keyboard, prepares manual receipts, etc.

An expanded view of the Complete Customer Session process is provided within this document in section entitled Lower Level Models.

Further details are available in POCL business process diagrams :

EPOSS - 17/12/8/9/10/11/60/26/27/18

APS - 1/8/16

OBCS - 10/9/11/6/4&5/1&2

Process 10 - Complete customer session (fallback)

If the Horizon system is unavailable, e.g. PC hardware failure, the outlet reverts to manual operation. The manual receipts and counter-foils used during fallback are used later when recovery (process 11) is carried out.

An expanded view of the Complete Customer Process (fallback) process is provided within this document in section entitled Lower Level Models.

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Further details are available in POCL business process diagrams :
Integrated Service - 47

Event B - Outlet triggers recovery

Transactions completed in fallback need to be entered into the Horizon system when the system returns to normal operation. Recovery can be completed as soon as the system is available or when the user has time to enter the transactions. However, recovery must be completed before the end of the Cash Account Period.

Process 11 - Recover fallback transactions

Transactions processed during fallback are entered to the system as part of the recovery process. AP has a recovery modes for this purpose. EPOSS transactions are entered in bulk or individually.

An expanded view of the Recover Fallback Transactions process is provided within this document in section entitled Lower Level Models.

Further details available in POCL business process diagrams :
Integrated Service - 48

Process 12 - Maintain EPOSS records

The system maintains a log of all the transactions performed in the outlet which is updated as the transactions are entered to the system. The transaction log can be accessed at any time to assist with enquiries or to perform other activities in the stock unit, e.g. reports, balancing, transaction reversals, etc.

Event C - Automatic end of day marker set

At the end of the trading day (either 30mins after office closing or 7pm) an accounting marker is set which indicates the end of the trading day for the outlet - see ICL Pathway document CS/PRD/044 for further information.

Process 13 - Manage end of day

The end of day marker indicates the end of the outlet trading day. The setting of the end of day marker prevents the reversal of automated payment transactions performed during the day. A manual end of day activities facility can be selected by the user. This displays the outstanding mandatory daily activities for the stock unit.

Further details are available in POCL business process diagrams :
Integrated Service - 49

See ICL Pathway document CS/PRD/044 for further information.

Process 14 - Maintain/communicate EPOSS and APS records

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This process includes the communication of transaction details from post office outlets to the ICL Pathway correspondence servers, onward communication to the central ICL Pathway systems and then on to the POCL TIP and HAPS system interfaces.

An expanded view of the Maintain/Communicate EPOSS and APS Records process is provided within this document in section entitled Lower Level Models.

Process 15 - Reconcile and settle

This process includes the receipt of the information which makes up the Cash Account, validation against volume/value and storage for various purposes (e.g. RMMI (Royal Mail Management Information)). When the full week's data has been received it is then reported to CBDB.

TIP receives the cash declaration from the outlets which forms part of the snapshot balance and supports the information which appears on the Cash Account. TIP does not receive daily/weekly reports or stock unit balances. TIP only receives the outlet cash account.

TIP also receives STX records which are stock holdings per item on hand at the end of the accounting week. The information is used to reconcile and settle with each client.

The information is received on a daily basis (between 8.00am and 15.00) by File Transfer Protocol (FTP) from the gateway PC.

An expanded view of the Reconcile and Settle process is provided within this document in section entitled Lower Level Models.

Process 16 - Consolidate and reconcile automated payment records

AP transactions accepted at the outlet are polled on a daily basis after the end of day marker has been set. The information is sent via HAPS to Farnborough who sort the data into clients. The information is forwarded to settlements so that payment can be made to the client.

Further details are available in POCL business process diagrams :

APS - 3

The information received from Farnborough updates APACHI and is compared to the entry on cash account by outlet. Discrepancies discovered are investigated and corrected within Transaction Processing.

See ICL Pathway document CS/PRD/044 for further information.

Process 17 - Maintain automated payment records

POCL clients receive automated payment transaction information from Farnborough. Clients use this information to support settlement processes.

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Event D - End of trading day

The end of the trading day for a user/stock unit usually occurs at completion of the daily shift.

Process 18 - Complete daily cash declaration

The cash on hand is declared to the Horizon system, on a daily basis, for reporting purposes, at the end of the user/stock unit trading day.

An expanded view of the Complete Daily Cash Declaration process is provided within this document in section entitled Lower Level Models.

Further details are available in the POCL business process diagrams :

EPOSS - 38

Event E - Daily despatch of product reports required

Documents accepted during the trading day into the stock unit are despatched internally within POCL and externally to POCL clients.

Process 19 - Complete daily reports

At the agreed time for the outlet, each stock unit produces the mandatory daily reports. The user checks that the report agrees with the actual documents, amends if necessary and despatches the documents with the supporting report.

An expanded view of the Complete Daily Reports process is provided within this document in section entitled Lower Level Models.

Further details are available in the POCL business process diagrams :

EPOSS - 35&36/56&57

Event F - Weekly despatch of product reports required

Documents which are not despatched daily are sent on a weekly basis when the cash account has been produced.

Process 20 - Complete weekly reports

Each stock unit produces the reports to support the documents (as process 18). Some products also require an outlet report which is a summary of all the stock unit reports.

An expanded view of the Complete Weekly Reports process is provided within this document in section entitled Lower Level Models.

Further details are available in the POCL business process diagrams :

EPOSS - 35&36/54/56&57

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Event G - End of balance period for stock unit

On transfer of accountability of a stock unit or at the end of the cash account period (CAP) all stock units have to be balanced.

Process 21 and 22 - Balance stock unit and roll-over

The purpose of balancing is to assess the state of the stock unit by confirming the entries on the Horizon system against the documents, cash and stock on hand. Once the user confirms that the balance is accurate the stock unit is rolled into the next BP or CAP depending on what is required by the user/outlet. The impact of rolling the stock unit removes the transaction information from the stock unit, carrying forward the cash and stock on hand to the next accounting period.

Stock units may be individual stock units or shared stock units.

An expanded view of the Balance Stock Unit and Roll-over process is provided within this document in section entitled Lower Level Models.

Further details are available in the POCL business process diagrams :

EPOSS - 37/59/39/58

Event H - End of cash account period

The cash account is a summary of all the transactions performed within the outlet during the accounting week and a declaration of cash and stock on hand at the close of the accounting period. The accounting period is usually one week and the account is therefore produced weekly.

Process 23, 24, 25 and 26 - Balance cash account and roll over

The cash account is an amalgamation of all the stock unit balances for the outlet. When the cash account is completed and produced the outlet moves forward to the next cash account period (CAP).

Cash accounts usually cover one week. However, by exception cash accounts may cover two or three weeks. A final cash account is produced when an outlet changes ownership or when an outlet is temporarily or permanently closed. An initial cash account is used when an outlet migrates to the Horizon system.

An expanded view of the Balance Cash Account and Roll-over process is provided within this document in section entitled Lower Level Models.

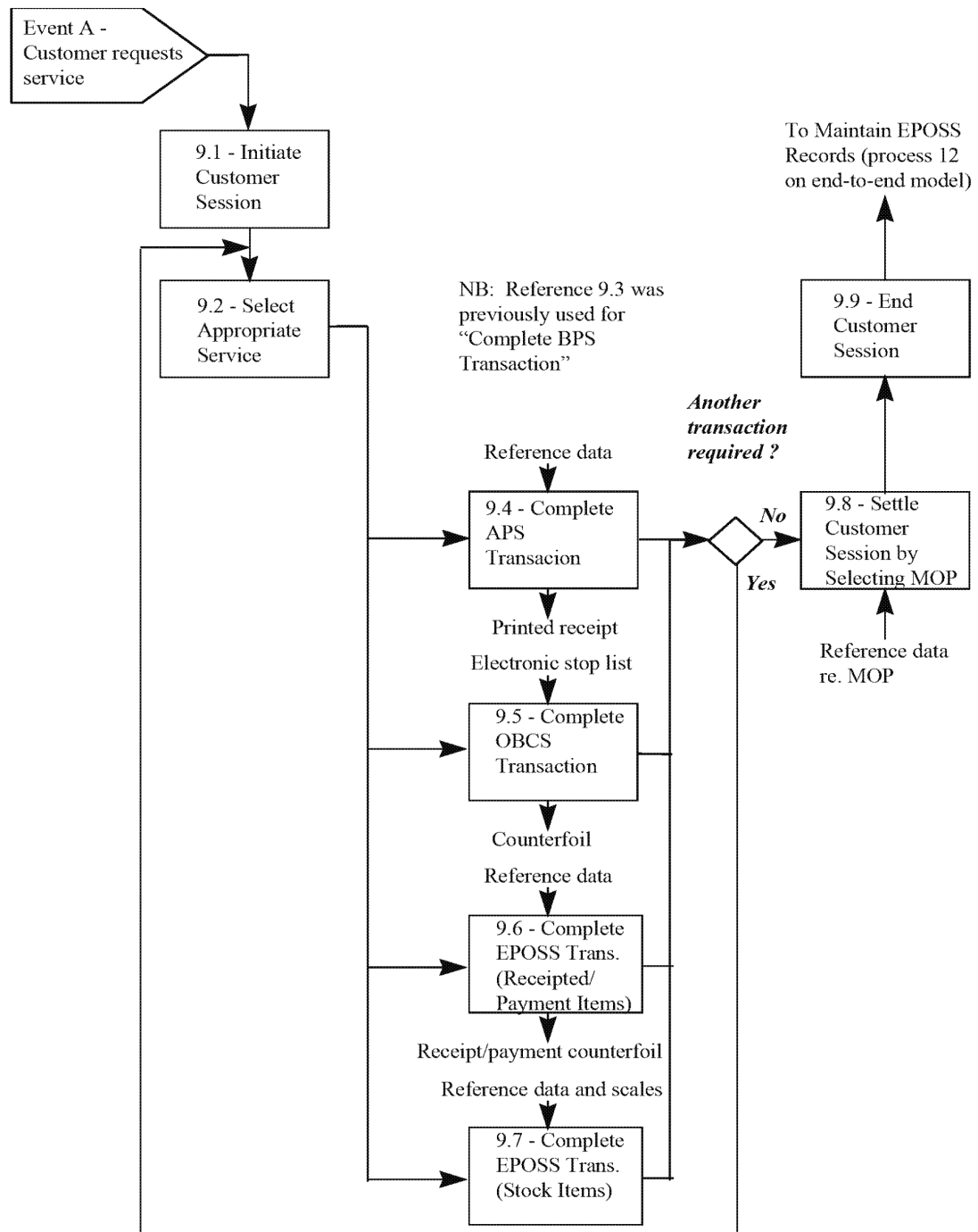
Further details are available in the POCL business process diagrams :

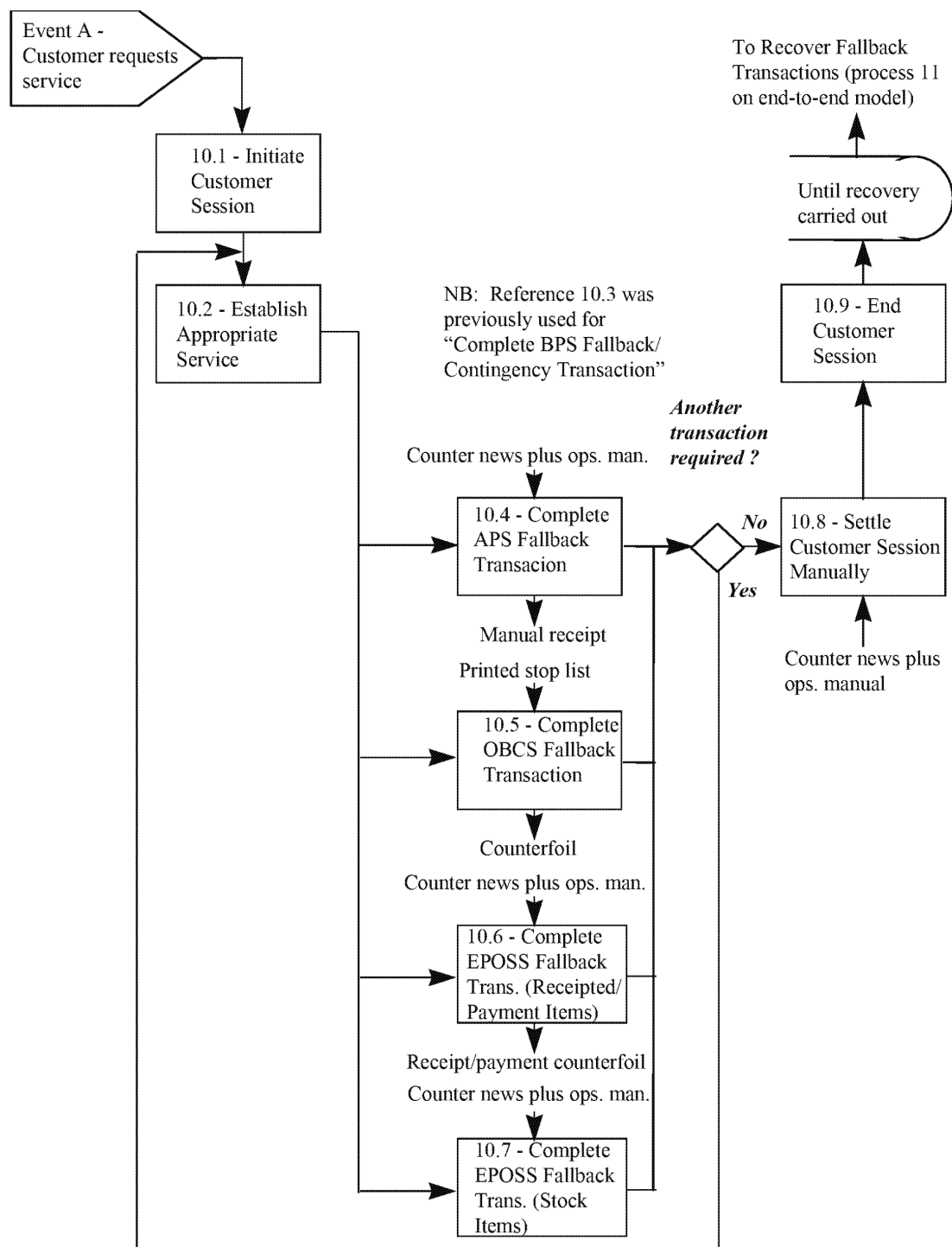
EPOSS - 40/50/51

9 Lower Level Models and Exception Handling

9.1 Complete Customer Session

9.1.1 Expansion of process 9 - complete customer session (normal)



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Pathway****EPOSS End-to-end Reconciliation
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(fallback)**

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9.1.3 Exceptions that may be detected in processes 9 and 10

Process ref.	Exception	Action by post office outlet
9.4 and 10.4	Customer queries APS transaction.	See ICL Pathway document CS/PRD/044.
9.5 and 10.5	Customer queries why OBCS payment has been stopped or queries the amount given in the book.	Refer to a DSS or ES office - Existing working practice.
10.5	Outlet has not printed a stop list, i.e. the user does not have a stop list to refer to.	Users refers to the most recent stoplist that is available in the outlet.
9.6 and 9.7	Customer queries EPOSS transaction (receipted/ payment items or stock items), i.e. transaction details do not match what the customer is expecting. Or Transaction value or volume does not correspond to the user's expectations.	<p>The outlet firstly eliminates misunderstanding or input error by using information from the screen, session receipt (if available) or transaction log to check:</p> <ul style="list-style-type: none"> • product selected; • input details entered. <p>If the above does not resolve the incident the outlet eliminates a reference data error by:</p> <ul style="list-style-type: none"> • checking the transaction with manual documents (i.e. Counter News). <p>The outlet then:</p> <ul style="list-style-type: none"> • completes the transaction manually (fallback) using the correct monetary values, voiding or reversing the transaction on the system if required and if possible); <p>NB: If a manual receipt is used in fallback for a receipted or payment item the system records will be aligned when recovery is carried out (see process 10). If the transaction related to a stock item, the system records will be aligned when the user adjusts or</p>

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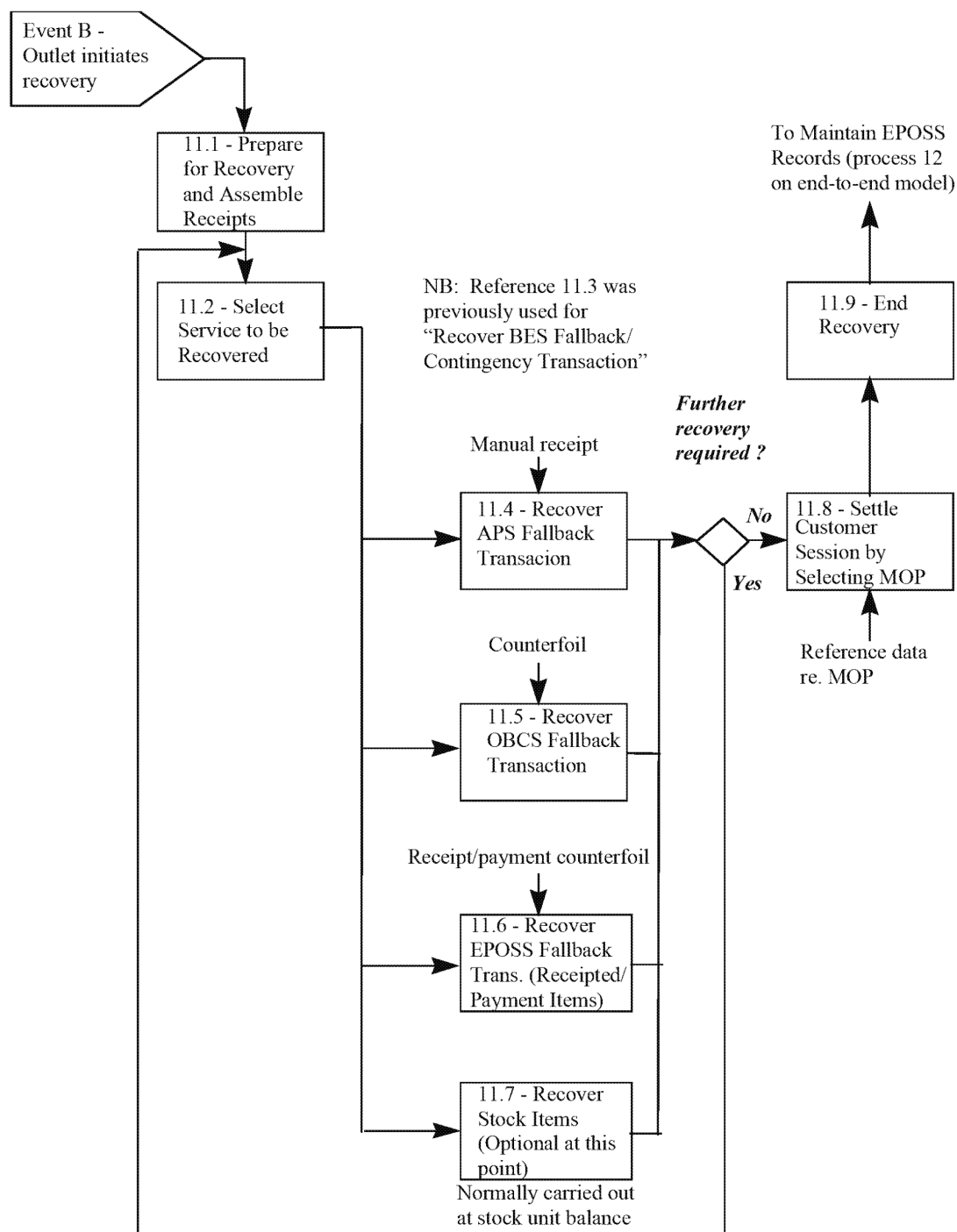
		<p>declares the stock or when the stock unit is balanced (see process 21/22).</p> <ul style="list-style-type: none"> contacts the NBSC to report the incident. <p>NB: The NBSC eliminates or progresses correction of reference data. If POCL reference data OK the NBSC raises an incident with the HSH.</p>
• 9.6 and 9.7	User unable to enter transaction to the system.	<ul style="list-style-type: none"> Contacts NBSC for advice and guidance. <p>NB: The NBSC eliminates or progresses correction of reference data. If POCL reference data OK the NBSC raises an incident with the HSH.</p>
9.6 and 9.7	Customer queries EPOSS transaction that was input in a previous CAP.	<p>The user establishes all the facts, investigates the error and eliminates any customer misunderstanding</p> <p><u>Stock item or cash discrepancy :</u></p> <p>The user establishes the state of the stock unit at the close of the relevant CAP using the system log if it is within 35 days or the stock unit balance if it is more than 35 days. With the agreement of the outlet manager the user issues or refuses the difference to the customer which will create a discrepancy in the current CAP.</p> <p><u>Other transaction discrepancy :</u></p> <p>The user investigates the transaction on the transaction log to eliminate any customer error within 35 days.</p> <p>After 35 days the outlet manages the query using the historical manual information available at the outlet.</p> <p>If an error is discovered the outlet corrects any monetary difference with the customer and takes advice from Transaction Processing via the NBSC on how to enter it to the system.</p>
9.8 and 10.8	At end of session (normal or fallback)	Outlet resolves incident using normal

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	customer queries amount handed out by outlet or change given by outlet.	procedures.
9.9	The customer change figure displayed by the system is incorrect.	<p><u>User notices:</u></p> <p>The user confirms the transactions entered on the stack to ensure that all the transactions have been entered and/or selected correctly. If the entries are incorrect the user 'undoes' the incorrect transactions and re-enters correctly. If the entries are correct the user issues the customer with the correct change and reports an incident to the HSH.</p> <p>NB: The HSH routes the incident to the relevant technical expert domain. This type of incident is not classed as an EPOSS reconciliation incident at this stage because the exception has been handled by the post office outlet.</p> <p><u>Unnoticed by the user :</u></p> <p>The user will pay or take in the amount displayed on screen but the stock unit may highlight a discrepancy when it is balanced.</p>
9.9	The customer receipt produced does not reflect the transaction entered by the user.	<p>The user checks the transaction entered to the system using the transaction log to eliminate any misunderstanding.</p> <p>If the user had made an error the user reverses the transaction and re-enters it correctly issuing the customer with a new / correct receipt.</p> <p>If there was no user error the user issues a manual receipt to the customer and reports an incident to the HSH.</p> <p>NB: The HSH routes the incident to the relevant technical expert domain. This type of incident is not classed as an EPOSS reconciliation incident at this stage because the exception has been handled by the post office outlet.</p>

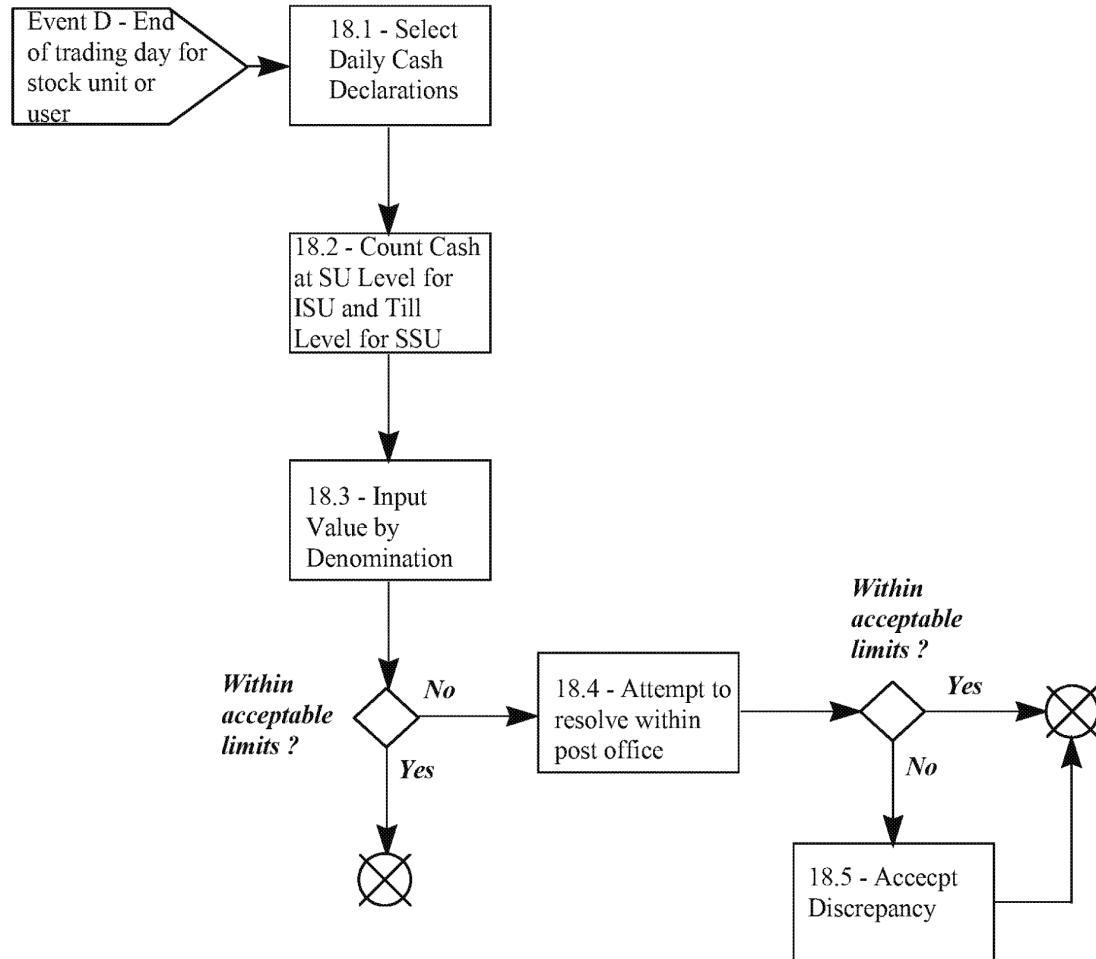
9.2 Recover Fallback Transactions

9.2.1 Expansion of process 11 - recover fallback transaction



ICL Pathway
EPOSS End-to-end Reconciliation Process For Release NR2 - Incident Management & ResolutionRef: CS/PRD/045
Version: 1.0
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Process ref.	Exception	Action by post office outlet
11.6	System will not allow recovery of an EPOSS transaction (receipted/ payment item) carried out during fallback.	<p>The outlet firstly eliminates an input error by checking:</p> <ul style="list-style-type: none">• product selected;• input details entered. <p>If the above does not resolve the incident the outlet eliminates a reference data error by:</p> <ul style="list-style-type: none">• checking the transaction with manual documents (i.e. Counter News);• Contacts the NBSC. <p>NB: POCL eliminates or progresses correction of reference data. If POCL reference data OK POCL raises a system incident with the HSH.</p>

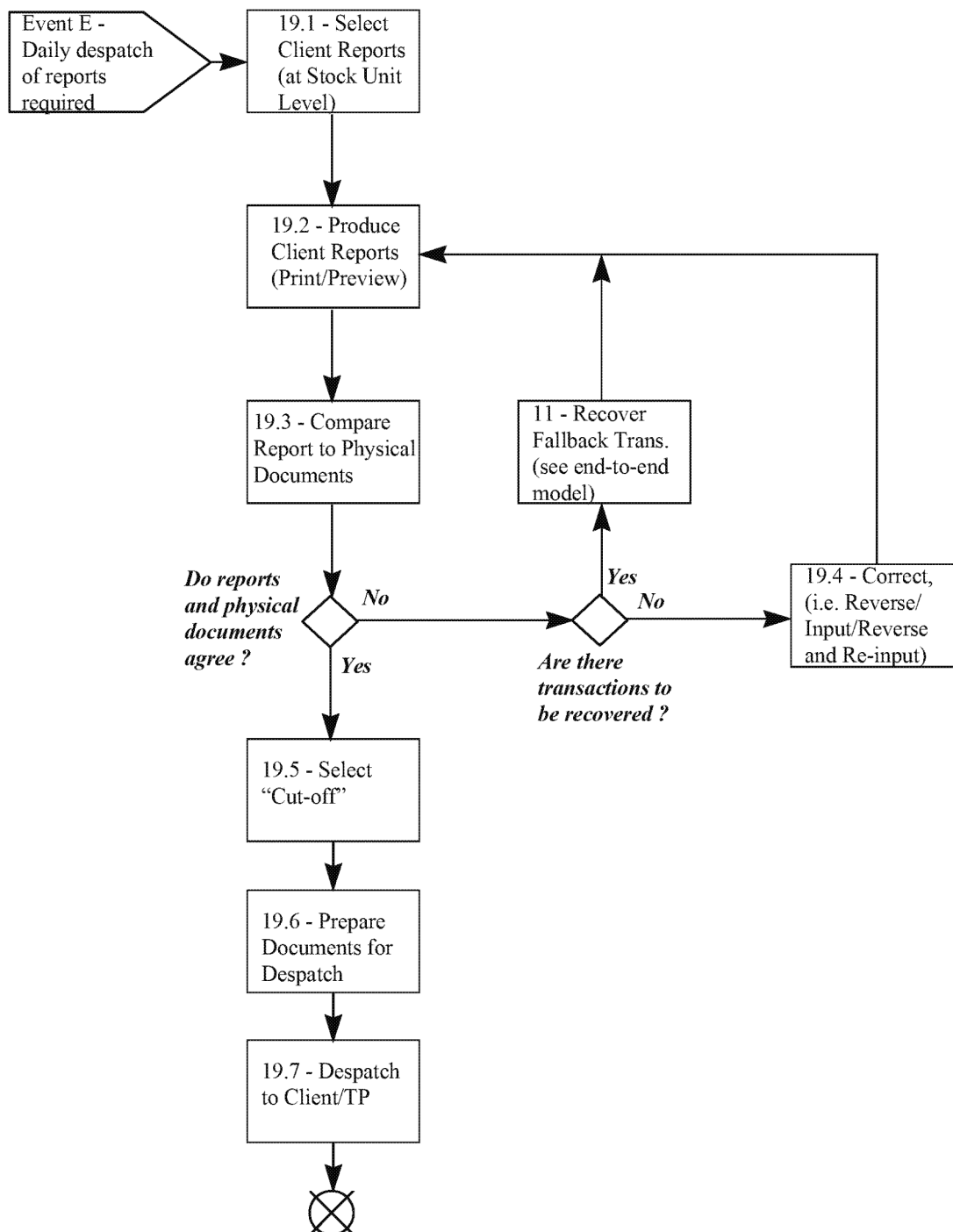
ICL Pathway
EPOSS End-to-end Reconciliation
Process For Release NR2 - Incident
Management & ResolutionRef: CS/PRD/045
Version: 1.0
Date: 16/06/99**9.3 Complete Daily Cash Declaration****9.3.1 Expansion of process 18 - complete daily cash declaration**

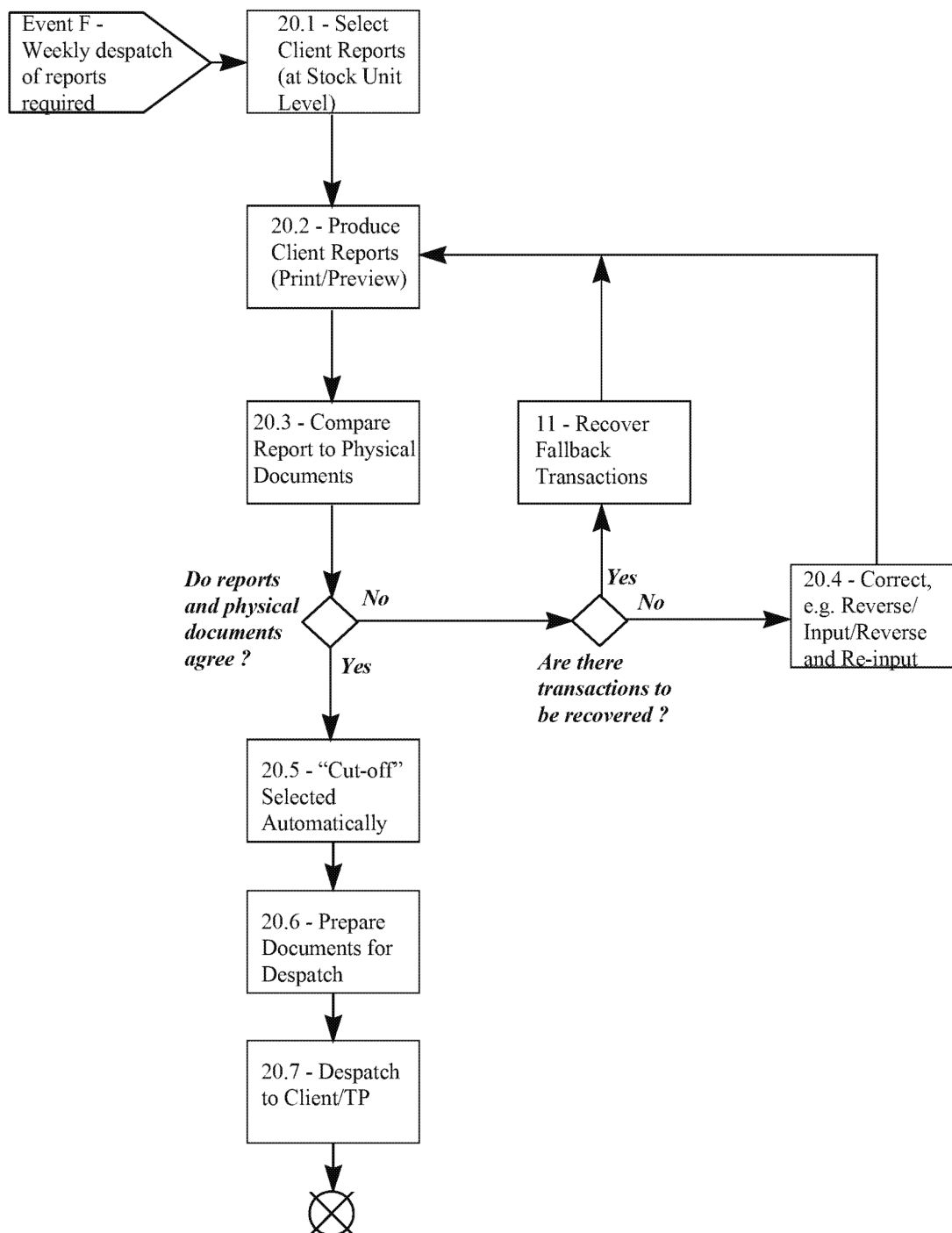
ICL Pathway **EPOSS End-to-end Reconciliation Process For Release NR2 - Incident Management & Resolution**

Ref: CS/PRD/045
Version: 1.0
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9.3.2 Exceptions that may be detected in process 18

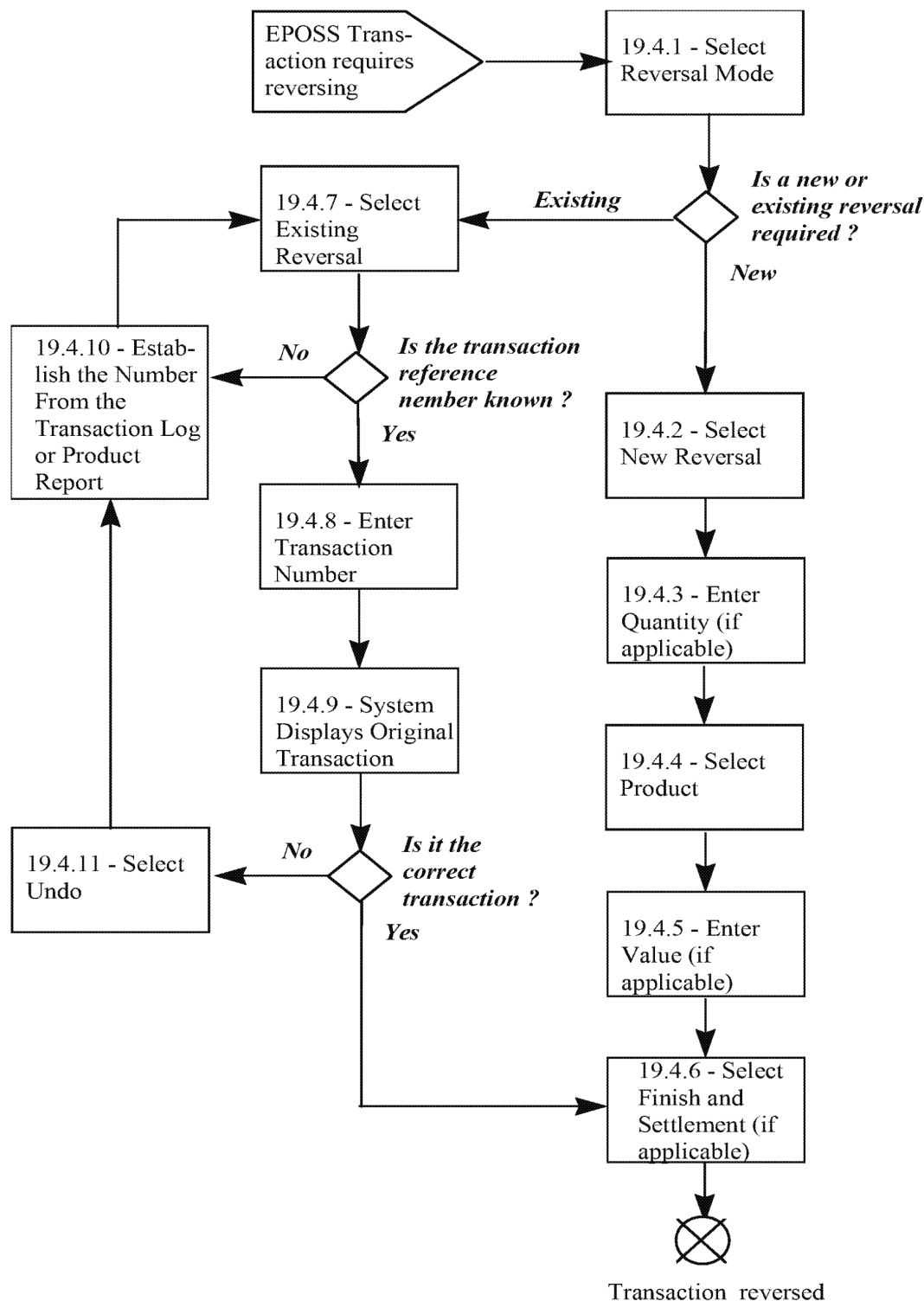
Process ref.	Exception	Action by post office outlet
18.4	<p>Declared cash on hand has discrepancies which are not within acceptable limits to the user.</p> <p>(ISU only as SSU do not have the facility to check declared against derived figures)</p>	<p>The outlet eliminates a declaration error by:</p> <ul style="list-style-type: none"> • re-counting cash in stock; • re-checking the entry to the system of the denominational amounts on the print of the declaration (if it has been produced) otherwise the user will need to re-declare the cash to the system. <p>If the above does not resolve the incident the outlet eliminates non-recovery of fallback transactions by:</p> <ul style="list-style-type: none"> • recovering outstanding transactions; • re-declaring cash on hand. <p>If the above does not resolve the incident the outlet eliminates input errors on other transactions by:</p> <ul style="list-style-type: none"> • producing product reports and checking against supporting dockets; • physically checking stock against the system view. <p>If the above does not resolve the incident the outlet accepts the discrepancy.</p> <p>NB: Although it is not planned for outlets to raise an incident for a cash discrepancy, the outlet might contact either the HSH or NBSC for advice and guidance.</p>

ICL
Pathway**EPOSS End-to-end Reconciliation
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Version: 1.0
Date: 16/06/99**9.4 Complete Daily and Weekly Reports****9.4.1 Expansion of process 19 - complete daily reports**

9.4.2 Expansion of process 20 - complete weekly reports

ICL Pathway
EPOSS End-to-end Reconciliation Process For Release NR2 - Incident Management & ResolutionRef: CS/PRD/045
Version 1.0
Date: 16/06/99**9.4.3 Exceptions that may be detected in processes 19 or 20**

Process ref.	Exception	Action by post office outlet
19.3 and 20.3	Comparison of report to dockets do not match.	<p>The outlet eliminates non-recovery of fallback transactions by recovering outstanding transactions.</p> <p>If errors are discovered the offending transactions are corrected, e.g. reversed, input or reversed/re-input or create supporting dockets.</p> <p>If the above does not resolve the incident the outlet eliminates input errors by:</p> <ul style="list-style-type: none">• checking the entries made to the system via the transaction log. <p>If it is suspected that the Horizon system has not been used correctly, the outlet contacts the HSH for advice and guidance on how to use the system functionality.</p> <p>If it is suspected that a system error is the cause and the outlet reports an incident to the HSH.</p> <p>If a system error is suspected the outlet completes a manual report and dispatches the daily/weekly reports.</p>
19.2 and 20.2	The system will not print the report.	<p>If necessary the user fills the printer with paper.</p> <p>If the printer is not empty the user raises an incident with HSH.</p>

**9.4.4 Complete Reversal Transaction - expansion of process 19.4
(also applies to process 20.4)**

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9.4.5 Exceptions that may be detected in processes 19.4

Process ref.	Exception	Action by post office outlet
19.4.1	User is entering customer sessions in reversal mode.	<p>This incident may not be identified until the user completes the transaction summaries.</p> <ul style="list-style-type: none"> User would need to produce a transaction log to identify all the transactions entered as a reversal and reverse them as well as entering them in the serve customer mode.
• 19.4.2	User attempts to reverse a transaction using new reversal but the system prevents the user from this.	<p>The outlet will use the existing reversal facility to reverse the transaction.</p> <ul style="list-style-type: none"> If the system prevents the user from this then the outlet will report the incident to the NBSC. <p>NB: POCL eliminates or progresses correction of reference data. If POCL reference data OK POCL raises an incident with the HSH.</p>
• 19.4.9	User enters the correct transaction reference number but the system displays a different transaction.	<p>The outlet will use the existing reversal facility to reverse the transaction.</p> <ul style="list-style-type: none"> If the system prevents the user from this then the outlet will report the incident to the HSH.
• 19.4.9	Using existing reversals the user selects a transaction from the log of the same amount but not the correct transaction.	<p>This incident may be identified by the user :</p> <ul style="list-style-type: none"> When the reversal transaction is completed and the user would reverse the reversal by re-inputting the transaction; When the product summary is produced and the user would reverse the reversal by re-inputting the transaction and perform the correct reversal and reproduce the product summary. <p>The outlet may not discover the error and it may come to light within Transaction Processing or the client.</p>

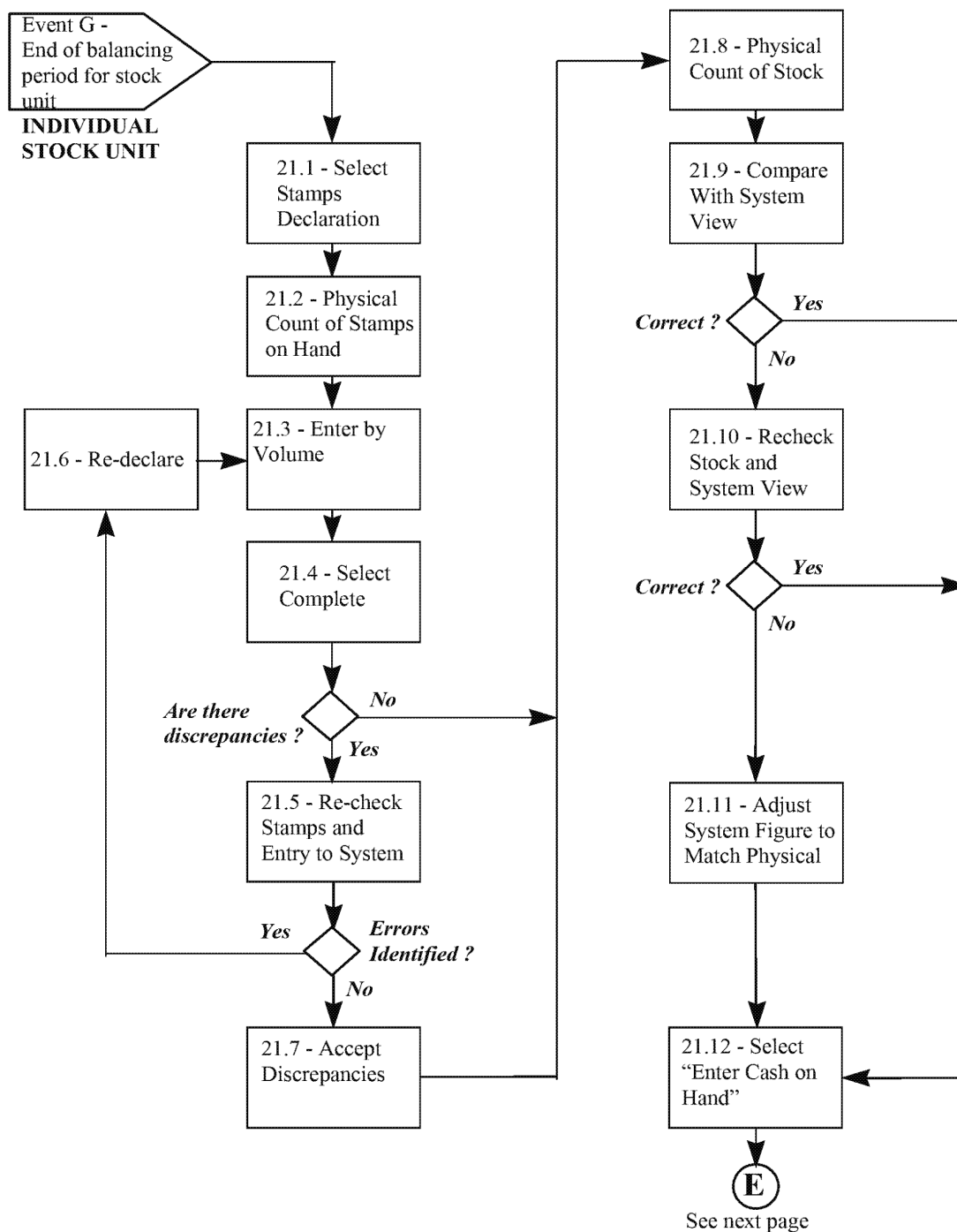
**ICL
Pathway** **EPOSS End-to-end Reconciliation
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19.4.10	User cannot establish the transaction number.	Refer to the instructions in the user guide. If this does not solve the users problem they can phone the HSH for A & G. If the HSH discover a fault with the system an incident is raised.
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9.5 Balance Stock Unit and Roll-over - INDIVIDUAL STOCK UNIT

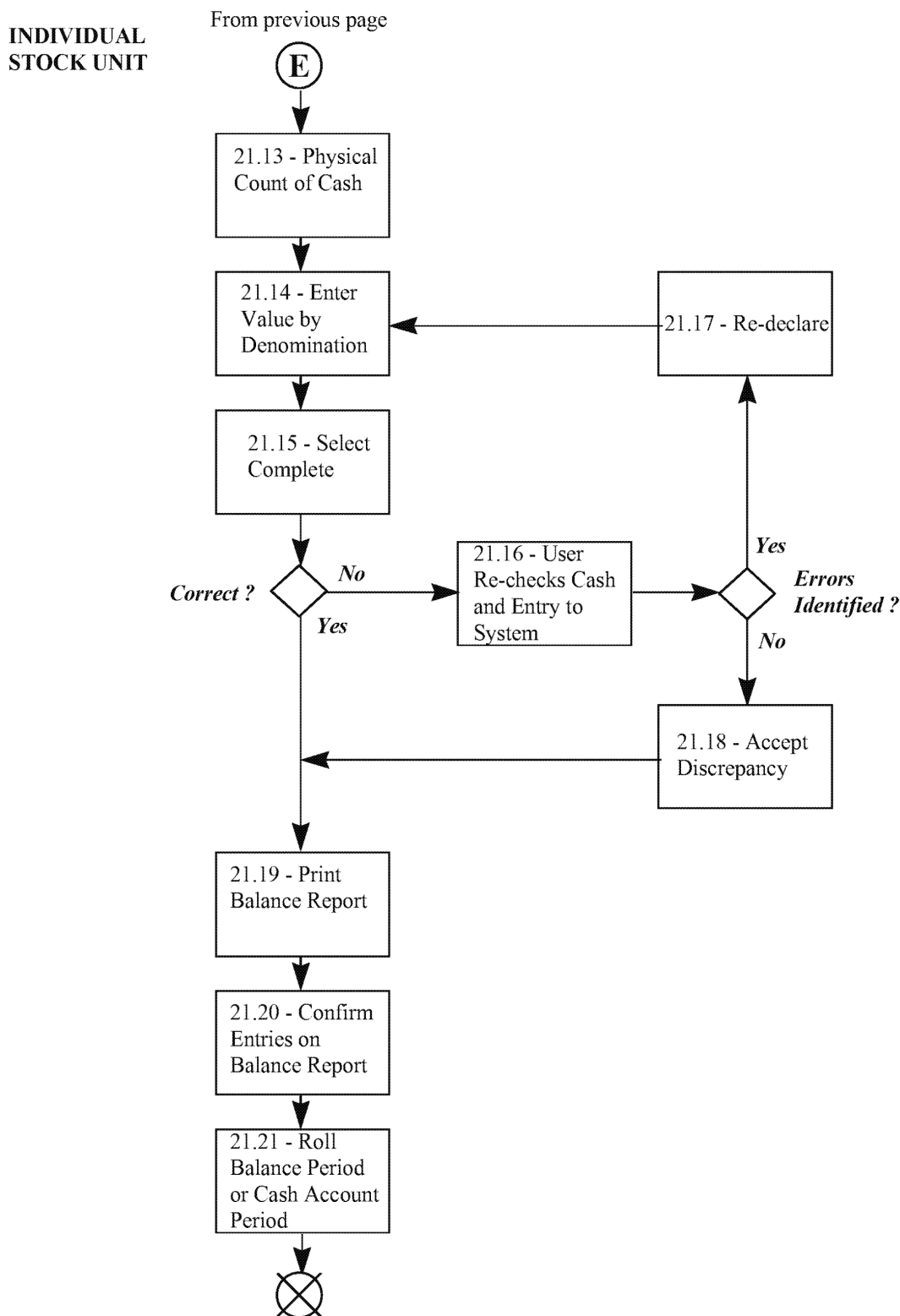
9.5.1 Expansion of process 21 - balance stock unit and roll-over (individual stock unit)



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Pathway**

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9.5.2 Exceptions that may be detected in processes 21

Process	Exception	Action by post office outlet
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ref.		
21.6	The user re-declares the error but creates discrepancies on every other product.	The user resolves user error by making a new declaration for all products which overwrites all previous declarations.
21.11	The user adjusts the stock on hand incorrectly.	The user resolves user error by re-adjusting the stock correctly.
21.17	The user re-declares the error but creates discrepancies on every other product.	The user resolves user error by making a new declaration for all products which overwrites all previous declarations.
21.19	System will not print the stock unit balance.	The user first checks consumables and printer is operational. If this does not resolve the problem the user transfers to another node (if available), otherwise the user works with information from the screen. The outlet then raises an incident with the HSH.
21.19	The revaluation checks fails and prevents the user from continuing with the stock unit balance.	<p>Revaluation amount entered by the user is incorrect</p> <ul style="list-style-type: none"> User reverses the transactions and re-enters the transaction correctly <p>The stock holding for the product was incorrect on the day of revaluation</p> <ul style="list-style-type: none"> User raises incident with NBSC who advise the user to reverse the transaction and re-enter the amount that corresponds with the stock holdings on the day of revaluation. The user will have to accept the discrepancy that it creates. <p>TP have visibility of the error via the TP incident manager.</p>
• 21.20	Stock unit carry forward figure is incorrect.	The user resolves any user error by confirming ending figures with the last CAP/BP stock unit balance report. If there is a difference the outlet raises a system incident with the HSH.
21.20	Cash/stock on hand figures are incorrect.	The user resolves any user error by confirming declaration/adjustment

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Pathway****EPOSS End-to-end Reconciliation
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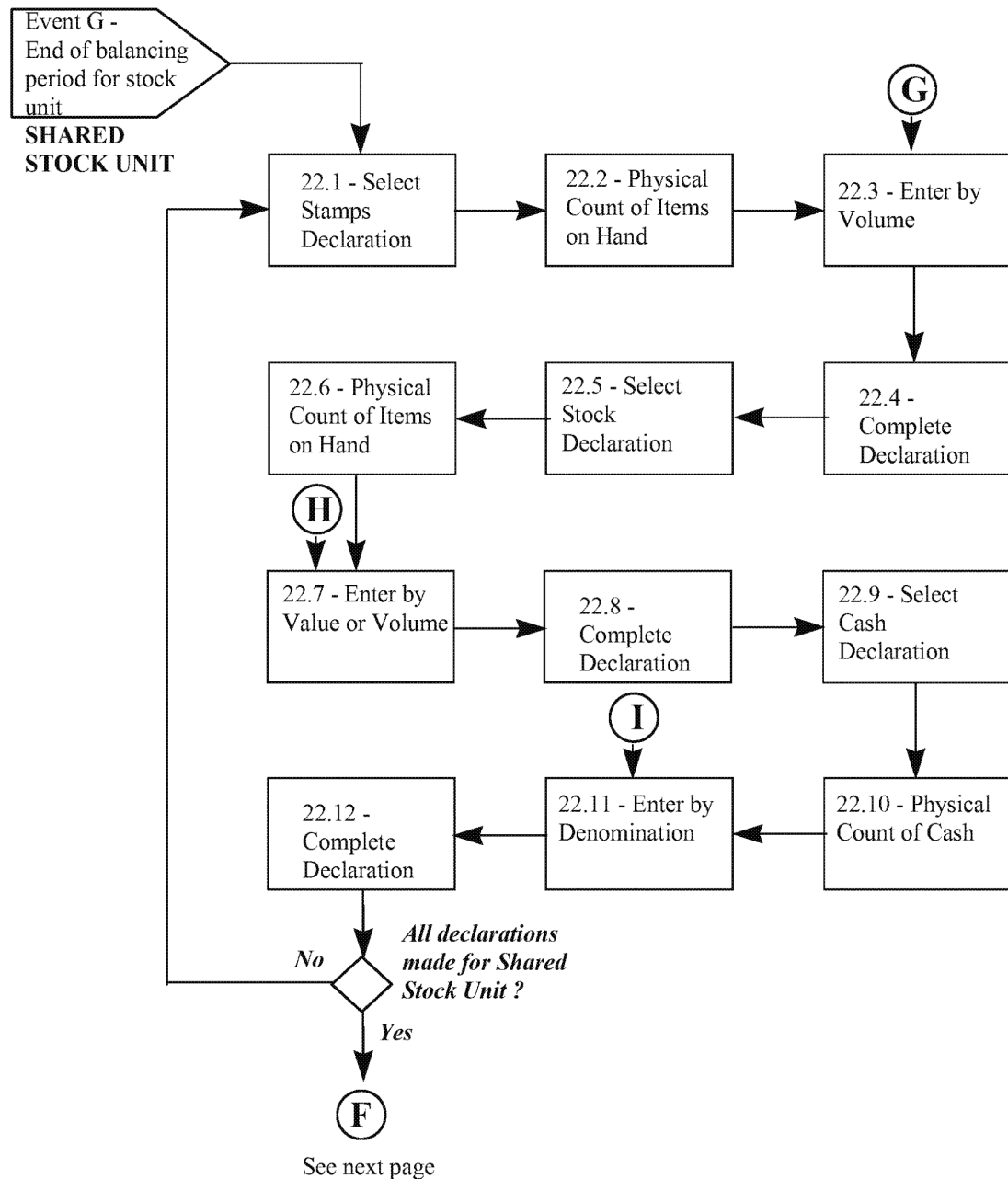
		figures made (from the reports - if taken and event/transaction log). If there is a difference the outlet raises a system incident with the HSH.
21.20	Product figures are incorrect (receipt and payment entries) e.g product mapping to the incorrect line.	<p>The user resolves any user error by:</p> <ul style="list-style-type: none"> confirming figures from all the daily and weekly reports for the product; confirming correct use of the system from the event/transaction logs. <p>If an error is discovered follow processes 19 and 20.</p> <p>If no error discovered the outlet raises an incident with the NBSC.</p> <p>NB: The NBSC eliminates or progresses correction of reference data. If POCL reference data OK the NBSC raises an incident with HSH.</p>
21.20	Receipts and payment tables totals are not equal.	The outlet raises an incident with the HSH.
21.21	User selects BP instead of CAP.	User resolves user error by repeating process 21 and CAP selected at the rollover stage. Where necessary outlet contacts NBSC for advice.
21.21	User selects the CAP instead of the BP.	<p>User resolves user error as follows.</p> <p>Advise not to use stock unit until the start of the next CAP.</p> <p>If the stock unit is used before the start of the next CAP the user will be warned but not prevented.</p> <p>If the user ignores the warning then transactions will be entered in the wrong CAP and will impact on the stock unit reports, balancing and the cash account.</p> <p>If the operational needs prevent the stock from remaining dormant then a new stock unit will need to be created which would be in the same CAP as the outlet and used until the next CAP.</p> <p>Although the use would be limited because the stock unit would contain</p>

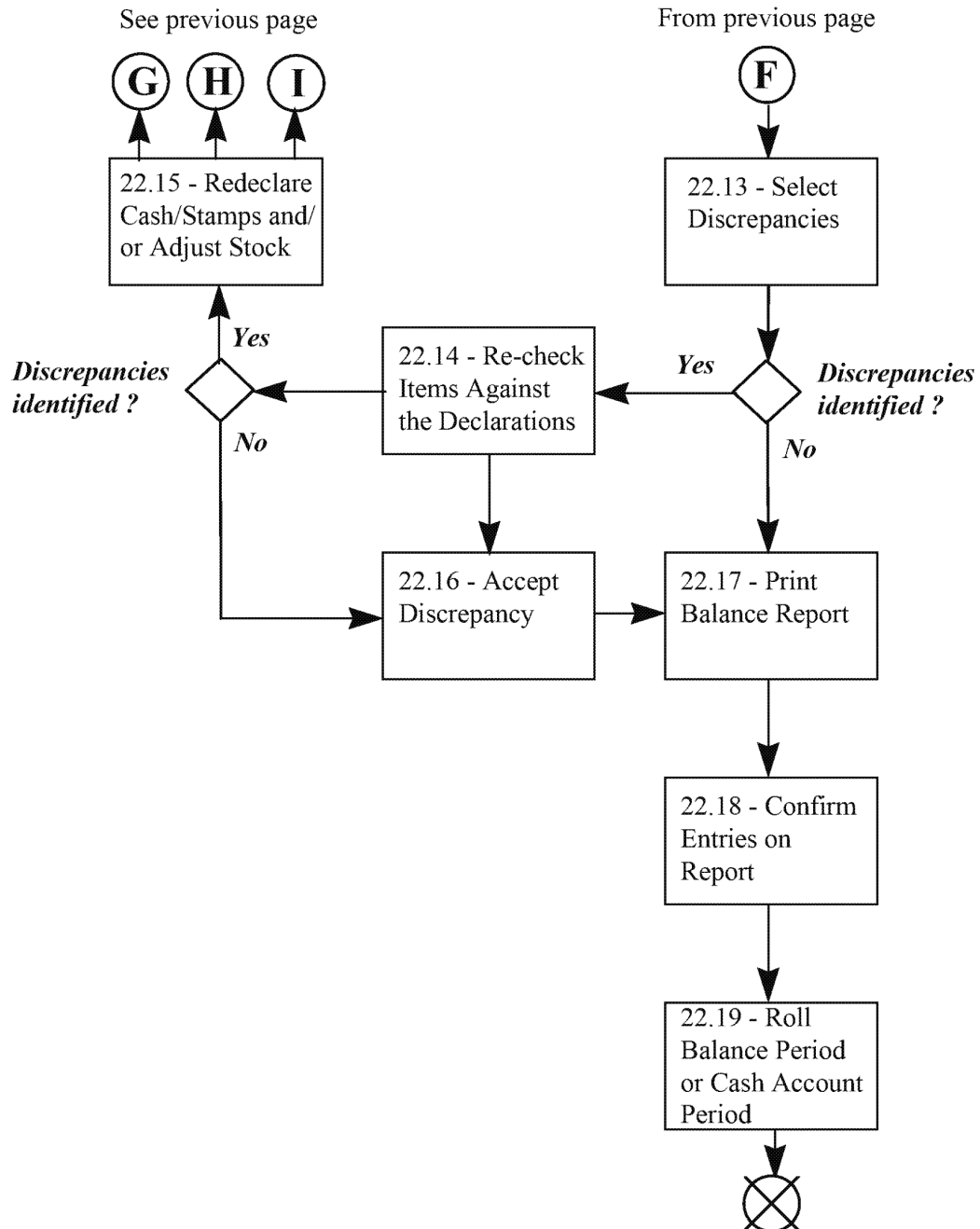
**ICL
Pathway**

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		<p>no stock or cash.</p> <p>If the stock unit is used in the incorrect CAP the outlet should contact the NBSC for advice. The NBSC will notify TP and any errors created will be resolved via the normal resolution process (64 action).</p>
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ICL Pathway
EPOSS End-to-end Reconciliation
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Date: 16/06/99**9.6 Balance Stock Unit and Roll-over - SHARED STOCK UNIT****9.6.1 Expansion of process 22 - balance stock unit and roll-over (shared stock unit)**

ICL
Pathway**EPOSS End-to-end Reconciliation
Process For Release NR2 - Incident
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Version: 1.0
Date: 16/06/99**SHARED
STOCK UNIT**

ICL Pathway **EPOSS End-to-end Reconciliation Process For Release NR2 - Incident Management & Resolution**

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9.6.2 Exceptions that may be detected in processes 22

Process ref.	Exception	Action by post office outlet
22.1 and 22.5	The user re-declares the error but creates discrepancies on every other product.	The user resolves the user error by making a new declaration which overwrites the previous declaration.
22.1 and 22.5	The user has declared the same value as the system held view but a discrepancy is highlighted.	The user resolves any user error by checking event / transaction log and stock on hand report to confirm correct figures and correct use of the system If correct the outlet raises a system incident with the HSH.
22.15	The user makes compensating adjustments and the system displays a discrepancy.	The user resolves any user error by checking event / transaction log and stock on hand report to confirm correct figures and correct use of the system If correct the outlet raises a system incident with the HSH.
22.15	The user adjusts the stock on hand incorrectly.	The user resolves the user error by re-adjusting the stock correctly.
22.8 and 22.12	The users have declared the same value as the system held view but a discrepancy is highlighted.	The user resolves any user error by checking event / transaction log and declaration report to confirm the figures are correct and correct use of the system (including checking that declarations have not been overwritten) If correct the outlet raises a system incident with the HSH.
22.12 and 22.8	The user re-declares the error but creates discrepancies on every other product.	The user resolves the user error by making a new declaration for all products which overwrites all previous declarations.
22.17	System will not print the stock unit balance.	The user first checks consumables and printer is operational. If this does not resolve the problem the user transfers to another node (if available), otherwise the user works with information from the screen. The outlet then raises an incident with

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		the HSH.
22.17	The revaluation checks fails and prevents the user from continuing with the stock unit balance.	<p>Revaluation amount entered by the user is incorrect</p> <ul style="list-style-type: none"> User reverses the transactions and re-enters the transaction correctly <p>The stock holding for the product was incorrect on the day of revaluation</p> <ul style="list-style-type: none"> User raises incident with NBSC who advise the user to reverse the transaction and re-enter the amount that corresponds with the stock holdings on the day of revaluation. The user will have to accept the discrepancy that it creates. <p>TP have visibility of the error via the TP incident manager.</p>
• 22.18	Stock unit carry forward figure is incorrect.	The user resolves any user error by confirming ending figures with the last CAP/BP stock unit balance report. If there is a difference the outlet raises a system incident with the HSH.
22.18	Cash / stock on hand figures are incorrect.	<p>The user resolves any user error by confirming declaration/adjustment figures made (from the reports - if taken and event/transaction log).</p> <p>If there is a difference the outlet raises a system incident with the HSH.</p>
22.18	Product figures are incorrect.	<p>The user resolves any user error by:</p> <ul style="list-style-type: none"> confirming figures from all the daily and weekly reports for the product; confirming correct use of the system from the event/transaction logs. <p>If an error is discovered follow processes 19 and 20.</p> <p>If no error discovered the outlet raises an incident with the NBSC.</p> <p>NB: POCL eliminates or progresses correction of reference data. If POCL reference data OK POCL raises</p>

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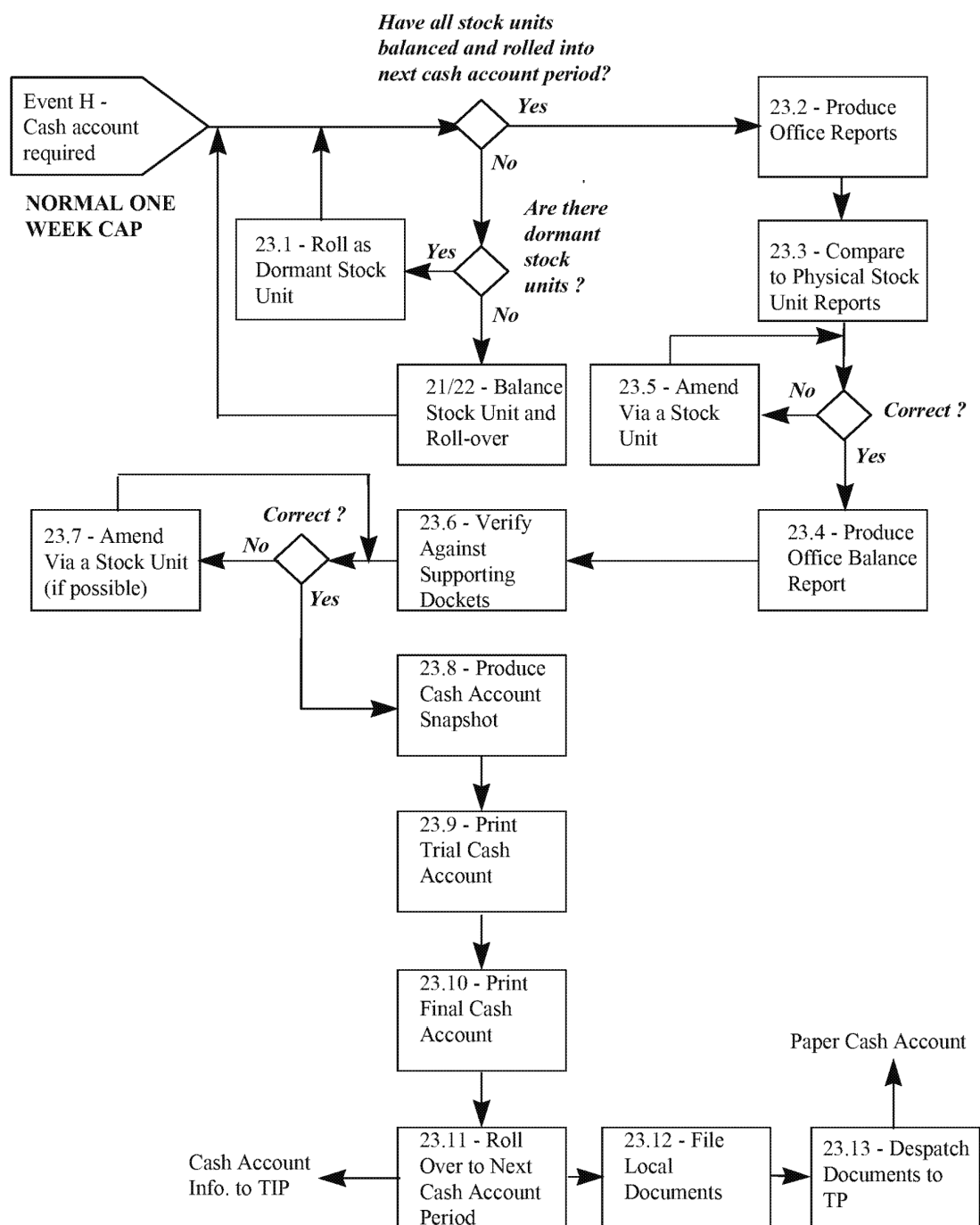
		an incident with HSH.
• 22.18	Receipts and payment tables totals are not equal.	The outlet raises a system incident with the HSH.
22.19	User selects BP instead of CAP.	User resolves user error by repeating process 22 and CAP selected at the rollover stage. Where necessary outlet contacts NBSC for advice.
22.16	The system highlights a discrepancy for the stock unit.	The user resolves any user errors by: <ul style="list-style-type: none"> • checking that the latest declarations are used and confirming that they have not been overwritten; • checking each declaration against the physical stock on hand; • totalling declarations for the product and comparing to system figure. If correct the user accepts the discrepancy. If incorrect the user raises an incident with the HSH.
22.19	User selects the CAP instead of the BP.	User resolves user error as follows. Advise not to use stock unit until the start of the next CAP. If the stock unit is used before the start of the next CAP the user will be warned but not prevented. If the user ignores the warning then transactions will be entered in the wrong CAP and will impact on the stock unit reports, balancing and the cash account. If the operational needs prevent the stock from remaining dormant then a new stock unit will need to be created which would be in the same CAP as the outlet and used until the next CAP. If the stock unit is used in the incorrect CAP the outlet should contact the NBSC for advice. The NBSC will notify TP and any errors created will be resolved via the normal

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		resolution process (64 action).
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ACCOUNT PERIOD****9.7.1 Expansion of process 23****9.7.2 Exceptions that may be detected in processes 23**

Process	Exception	Action by post office outlet
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ref.		
23.1	The user cannot roll the stock unit as a dormant stock.	<p>The user resolves any user errors by checking the event log and transaction log for the stock unit to confirm that there has been no activity (activity includes : transfers in/out, rems in/out, declarations, adjustments, housekeeping, serve customer and receipt of product revaluation).</p> <p>If no activity is confirmed then the outlet raises a system incident with the HSH.</p> <p>The outlet balances the stock unit using the full stock unit balance process (21 & 22) which will prevent the delay of the production of the cash account.</p>
23.2	Comparison of report to dockets do not match.	<p>The outlet eliminates non-recovery of fallback transactions by: recovering outstanding transactions.</p> <p>The user re-checks the dockets and the report.</p> <p>If errors are discovered the offending transactions are corrected, e.g. reversed, input or reversed/re-input via a stock unit (a new stock unit is created if all the other stock units have rolled into the next CAP). If the correction requires an existing reversal the error cannot be corrected at the outlet and will be forwarded on the cash account to Transaction Process.</p> <p>If the outlet contacts the NBSC for advice, the NBSC will advise the outlet to accept the error, process the cash account and await advice from TP. The NBSC will also record the details which will be available to the TP Incident Manager.</p> <p>Transaction processing do not expect to be notified directly but expect the outlet to keep the information available to clarify the cause when TP contact them because of the error</p>

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		detected in the check of the cash account information against the supporting documents.
23.3	The amount on the office report does not reflect either the figure on the cash account or the stock unit supporting dockets/reports.	The user resolves any user errors by: <ul style="list-style-type: none"> checking the figures by stock unit to identify the error checking event / transaction log to confirm correct use of the system If correct the outlet raises a system incident with the HSH.
• 23.5	The amendment does not correct the error.	The user resolves any user error by checking event/transaction log to ensure that the amendment was made correctly. If correct the outlet raises a system incident with the HSH. If incorrect the HSH will provide A & G.
23.5	The error requires an existing reversal to correct.	If the correction requires an existing reversal the error cannot be corrected at the outlet and will be forwarded on the cash account to Transaction Process. If the outlet contacts the NBSC for advice, the NBSC will advise the outlet to accept the error, process the cash account and await advice from TP. The NBSC will also record the details which will be available to the TP Incident Manager. Transaction processing do not expect to be notified directly but expect the outlet to keep the information available to clarify the cause when TP contact them because of the error detected in the check of the cash account information against the supporting documents.
23.4	The system will not allow the user to produce a office balance.	The user first checks consumables and printer is operational. If this does not resolve the problem the outlet raises an incident with the HSH. The user would preview the report and work off the screen.

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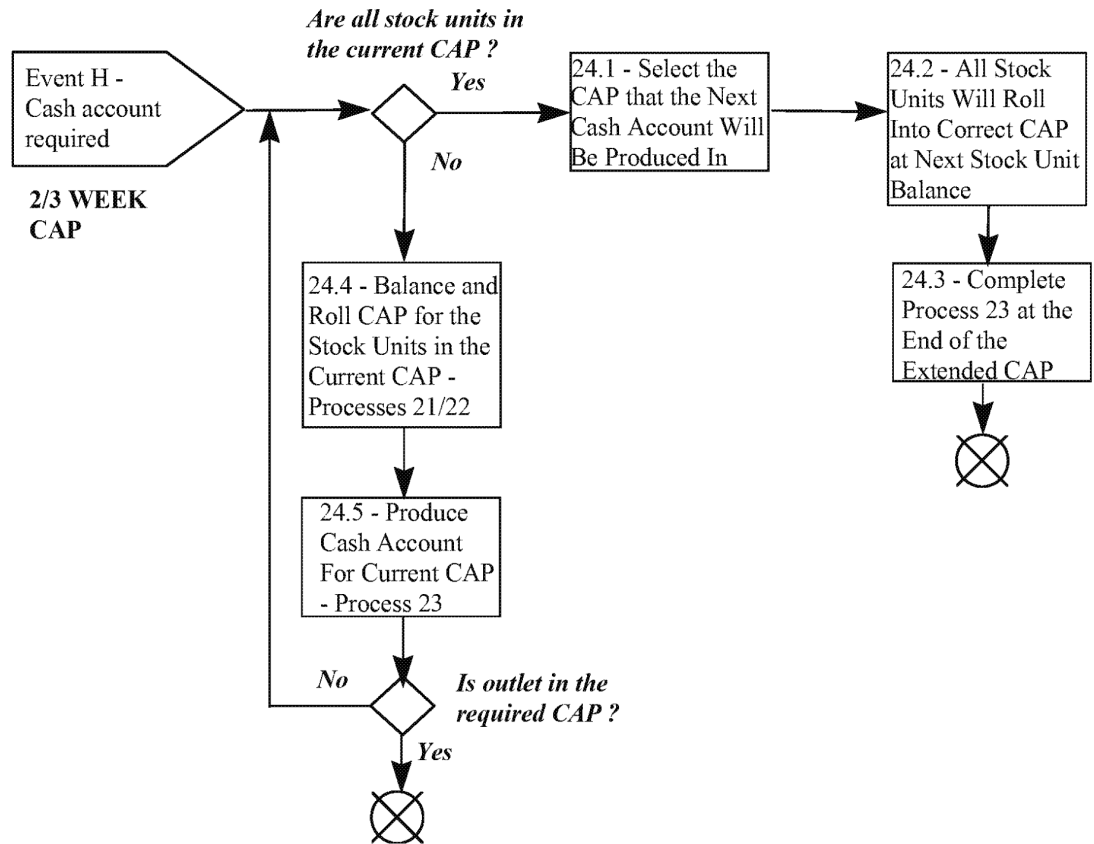
23.4	A SU has balanced and rolled CAP before the revaluation message has been received.	<p>The outlet will display revaluation amounts on the Cash Account for two weeks. The stock on hand figures for the product which appear on the cash account for the first week may not be correct or divisible by the value of the product.</p> <ul style="list-style-type: none"> TP will need to keep the revaluation cash account lines open for 2 weeks PIVOT checks may need to be relaxed
• 23.4	Outlet Balances Cash Account leaving transactions on a disconnected node which are not reflected on the office account (user ignores the warning)	<p>The transactions would not have been included in the stock unit balance and create a discrepancy for the stock unit. When the node is re-connected the transaction would appear in the stock unit and be allocated the current CAP the SU is in and will be included in that account and create a compensating discrepancy.</p> <ul style="list-style-type: none"> TP would have to manage the contra errors only if the transaction was a receipt or payment product.
23.9	The system will not allow the user to produce a Trial Cash Account.	<p>The user first checks consumables and printer is operational. If this does not resolve the problem the outlet raises an incident with the HSH.</p> <p>The user would preview the report and work off the screen.</p>
23.10	The system will not allow the user to produce a Final Cash Account.	<p>The user first checks consumables and printer is operational. If this does not resolve the problem the outlet raises an incident with the HSH.</p> <p>The user would preview the report and work off the screen.</p> <p>The user would reprint the Final Cash Account when the system was available and forward a copy to Transaction Processing.</p> <p>The outlet contacts NBSC who record the details which will be available to</p>

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		the TP Incident Manager. TP Incident Manager informs the Operational Teams.
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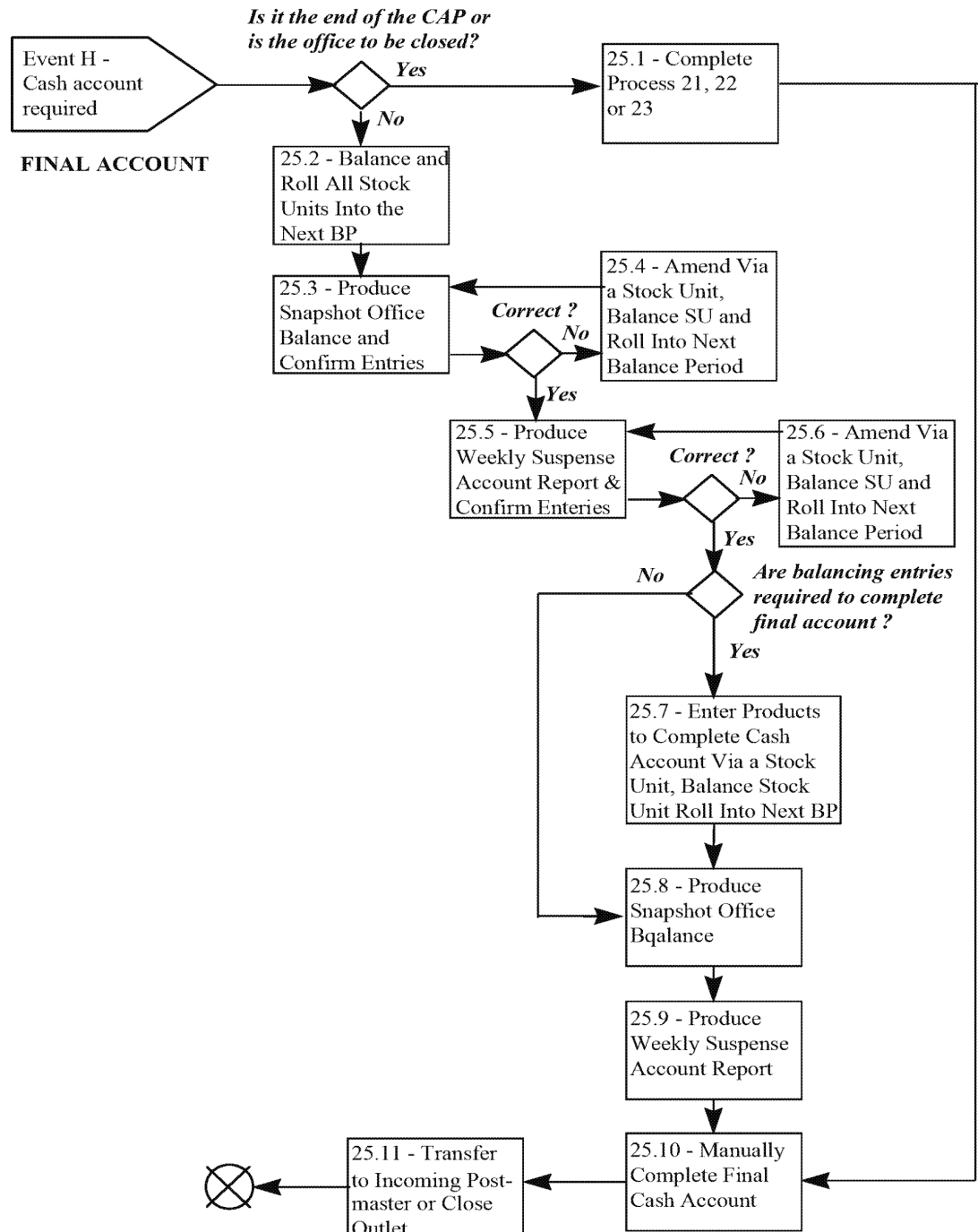
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Date: 16/06/99**9.8 Balance Cash Account and Roll-over - 2/3 WEEK CASH ACCOUNT PERIOD****9.8.1 Expansion of process 24**

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Cash Accounts can span a period of more than the Cash Account Period. This occurs when the sub-postmaster is absent and unable to complete the account this could be for various reasons (e.g. holidays) but is planned with permission from the Retail Network Manager and Transaction Processing. There are occasions however when this may occur without being planned (e.g. urgent domestic distress) although permission is still required.

Incidents in addition to those already identified for the cash account process :

Process ref	Exception	Action by post office outlet
24.1	The user selects the wrong CAP	<p>The system allows the user to return to the 2/3 week function and select the other option providing that none of the stock units in the outlet have balanced and rolled into to the next CAP.</p> <p>If one of the stock units in the outlet have rolled into the next CAP the option cannot be amended.</p> <p>The outlet contacts the NBSC who notify TP Incident Manager that the Cash Account would not be produced when expected. TP contact the outlet and provide the advice and guidance required.</p>
SU rolls into the next CAP	The stock units do not roll into the correct CAP	<p>The user resolves any user errors by checking event log to confirm correct use of the system.</p> <p>If correct the outlet raises a system incident with the HSH.</p>

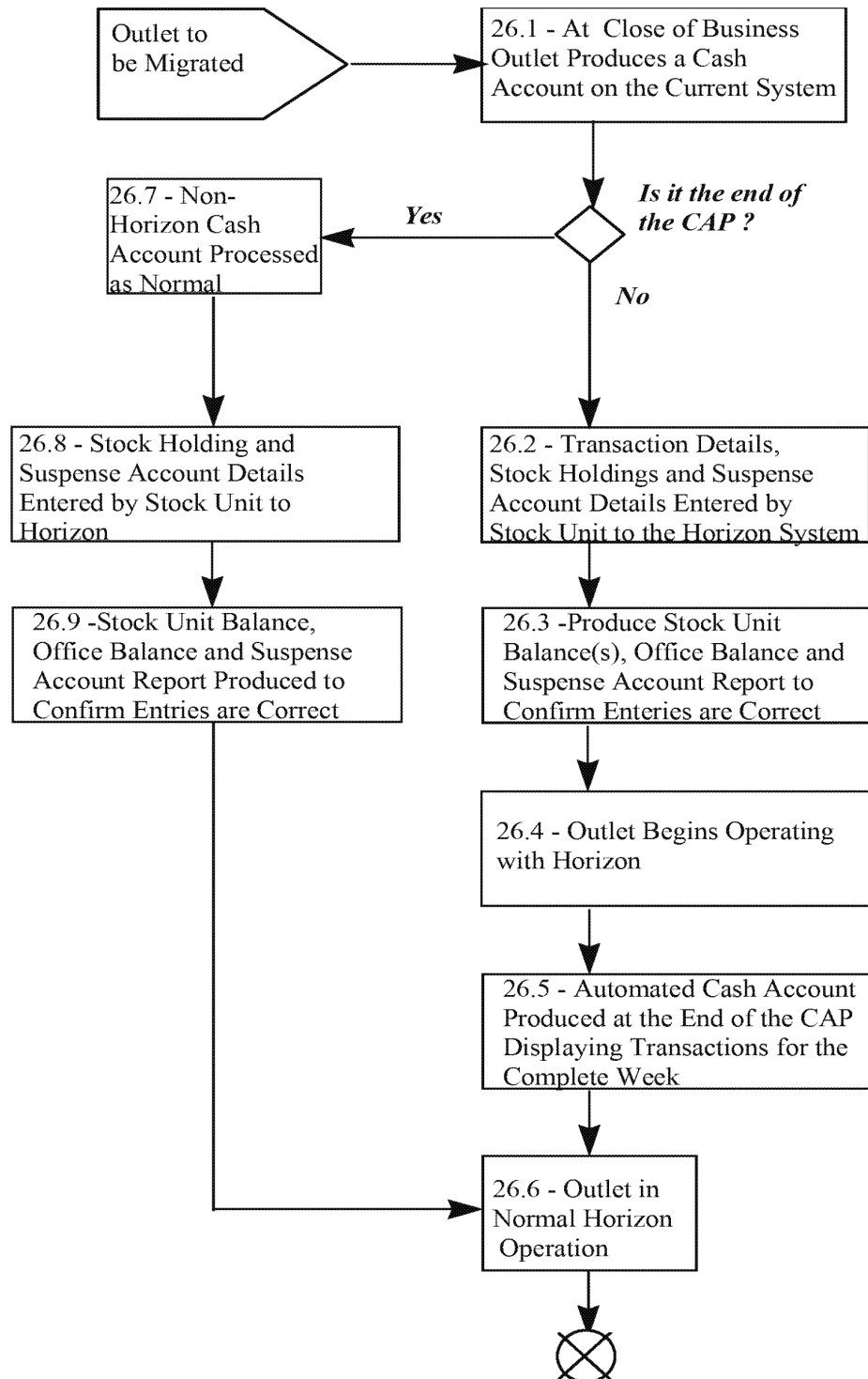
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Date: 16/06/99**9.9 Balance Cash Account and Roll-over - TRANSFER OF
OWNERSHIP OR CLOSURE OF OUTLET - FINAL
ACCOUNT****9.9.1 Expansion of process 25**

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Final Accounts are the last Cash Account that an outgoing sub-postmaster completes before the business is transferred to the incoming sub-postmaster. The transfer can happen at the end of the Cash Account Period (CAP) and will therefore mean only one Cash Account is produced in the CAP. If the transfer occurs mid-CAP then 2 Cash Accounts will be produced for one outlet during the CAP.

Incidents in addition to those already identified for the cash account process :

Process ref	Exception	Action by post office outlet
25.7	User has not entered the figures to complete the account and rolled outlet CAP	The audit team would complete the manual account (pink) correctly, which will differ from the system produced cash account. The missing product figures would be entered in the next CAP and appear on the following week's system produced cash account. The auditors would inform the NBSC who would record the incident details, which would then be available to the TP Incident Manager.
25.7	Outlet uses the final account products (surplus and shortage) during 'normal' cash account	See section process 15.3.3 error type.
25.1	Outlet produces cash account on the system instead of the manual version	Outlet contacts NBSC to advise of the situation. Information available to TP Incident Manager.
25.2	Outgoing subpm rolls CAP therefore forcing the incoming subpm to work in the wrong CAP	Outlet contacts NBSC to advise of the situation. NBSC arranges for TP Incident Manager to contact the outlet and provide advice and guidance.

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Date: 16/06/99**9.10 Balance Cash Account and Roll-over - INITIAL
ACCOUNT****9.10.1 Expansion of process 26**

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9.10.2 Exceptions that may be detected in processes 26

Process ref	Exception	Action by post office outlet
26.5 & 26.6	The Horizon cash account figures(not stock or b/fwd figures) do not match the supporting documents	The outlet corrects the error (by input, reverse or reverse and re-input) via a new stock unit <i>this is</i> (not possible if an existing reversal is required to correct the error). The error could be on the migrated transaction or the 'live' transactions input by the user. Same as errors on normal cash account.
26.5 & 26.6	The B/fwd figure on the Horizon Cash account is incorrect.	Outlet cannot amend this figure and should have a discrepancy <ul style="list-style-type: none"> • Await error notice to be issued from TP
• 26.5& 26.6	Stock breakdown <u>starting</u> figure incorrect	The stock would be adjusted by the stock unit at the next stock balance. Impact for TP is incorrect derived sales figures
26.8 & 26.2	System prevents the input of transactions or stock	The cause could be incorrect reference data at the outlet or the outlet holding stock or transacting products not proper to the outlet <ul style="list-style-type: none"> • HFSO contacts the POCL Reference Data team who arrange via Pathway to have the Reference Data updated to allow the outlet to process the transaction. • The outlet posts the item to suspense until the reference data is received when the outlet will transact the product. • The HFSO complete a profoma and forward to TP to indicate the products being carried in suspense by the outlet • The Reference Data team inform the relevant Account Team to manage the problem (ie. update the records or manage the withdrawal of the product from the outlet)

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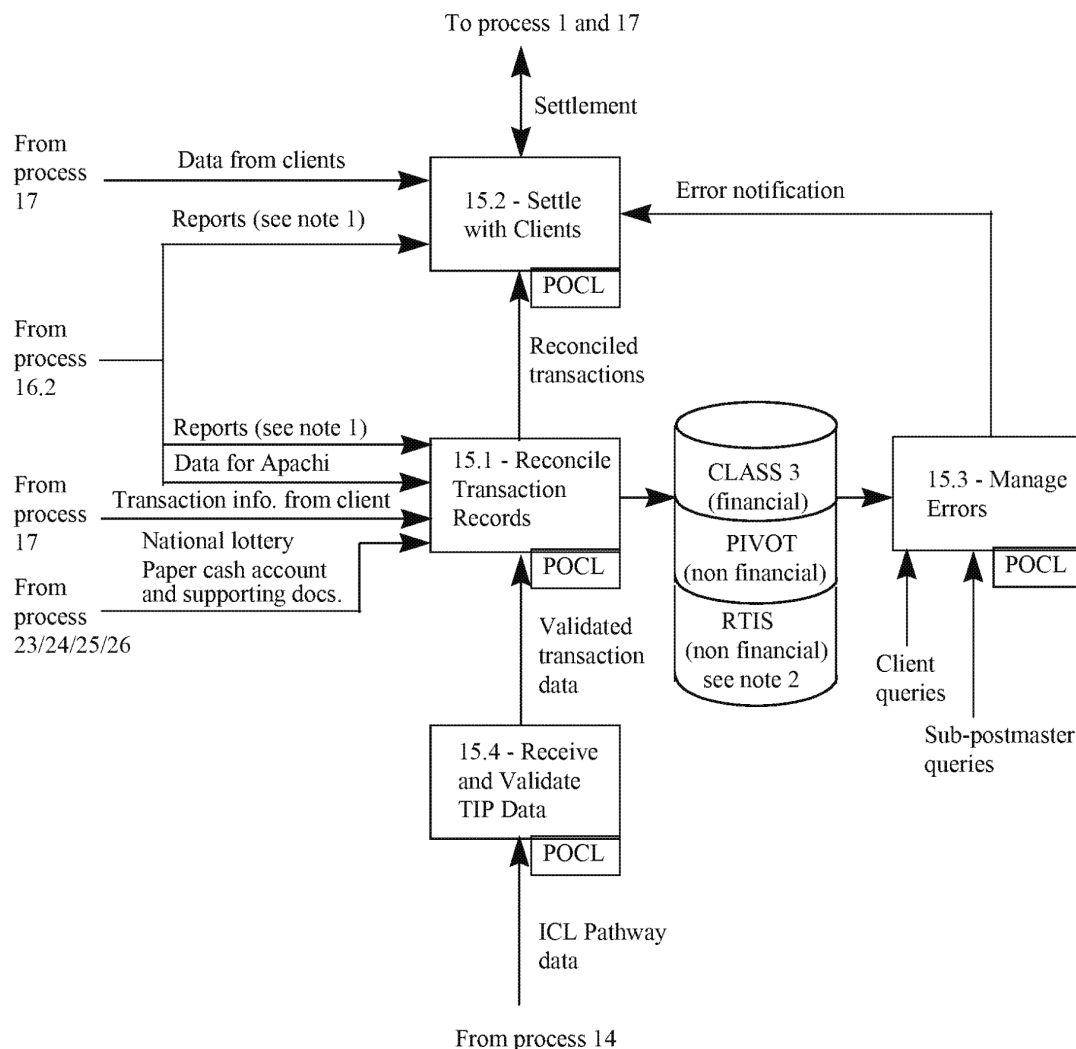
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9.11 Maintain/Communicate EPOSS and APS Records - Process 14 on End-to-end Model

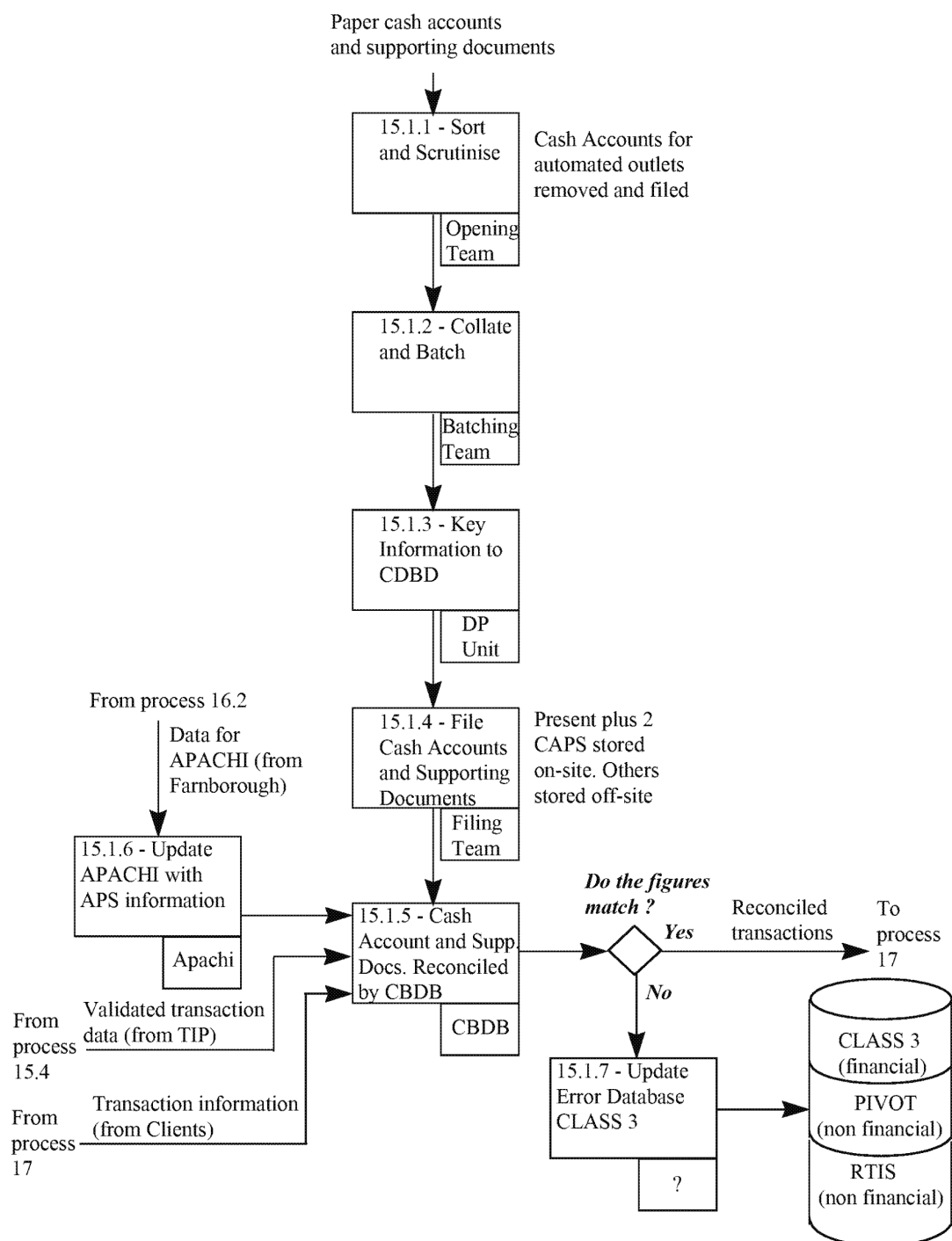
This section is included for completeness. Any exceptions that are detected by ICL Pathway that related to the transfer of information from outlets to ICL Pathway central systems and from ICL Pathway central systems to the TIP and HAPS interfaces will be reported to the HSH and routed to the relevant expert domain.

Further information is provided in ICL Pathway documents:

- CS/PRD/051 - NR2 End to End Incident Processes for the Automated payment Service System;
- CS/PRD/059 - NR2 End to End Incident Processes for the TPS System.

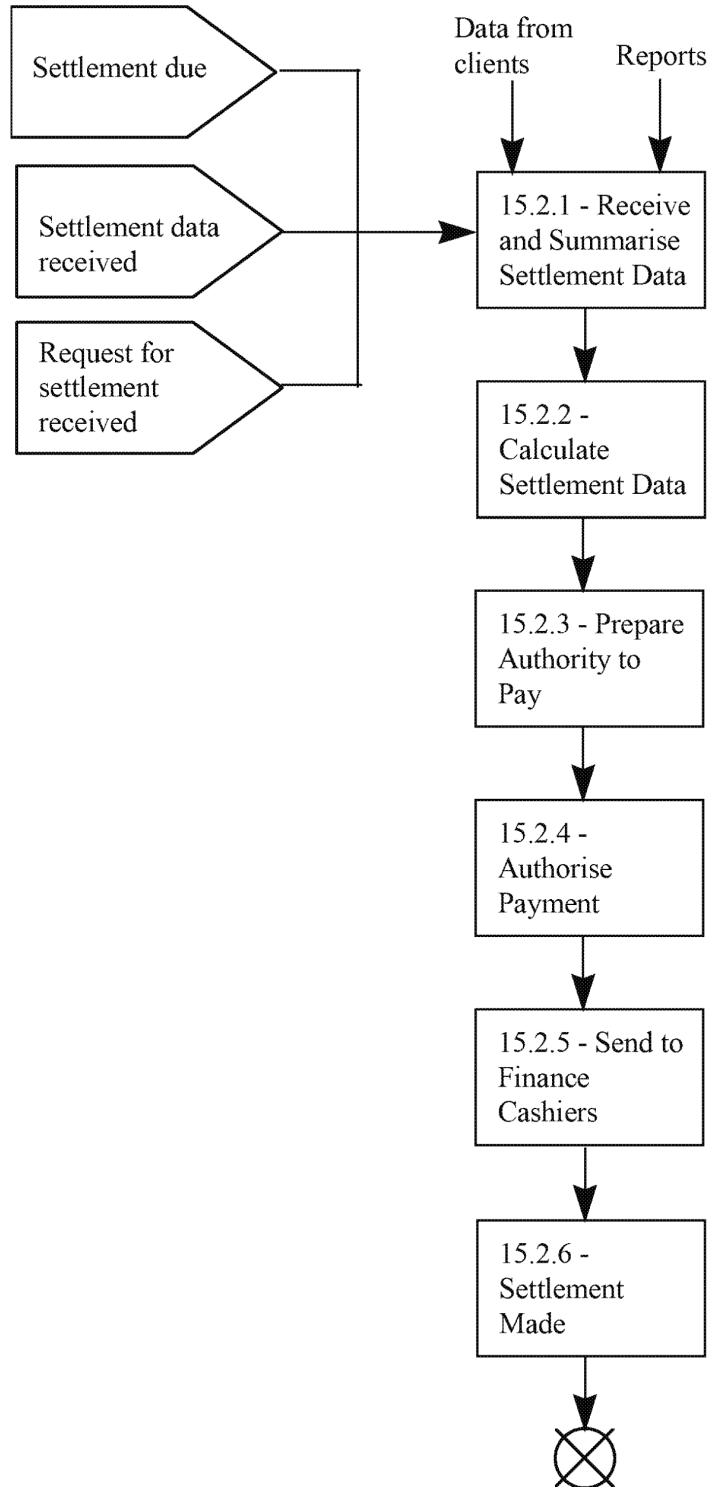
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EPOSS End-to-end Reconciliation Process For Release NR2 - Incident Management & ResolutionRef: CS/PRD/045
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Date: 16/06/99**9.12 Reconcile and Settle (Chesterfield)****9.12.1 Expansion of process 15 - reconcile and settle (Chesterfield)****Notes:**

1. Some of the information is at transaction level and some at summary level.
2. RTI - this report lists any offices where there is a discrepancy between the cash account and supporting document amount and any differences, i.e. as PIVOT but produced daily.

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Date: 16/06/99**9.12.1.1 Expansion of process 15.1 - reconcile transaction records**

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Date: 16/06/99**9.12.1.2 Exceptions that may be detected in process 15.1 -
reconcile transaction records**

Process reference	Exception	Action by Transaction Processing
15.1	<u>RECONCILE TRANSACTION RECORDS</u> These will be raised in the same context as process reference 15.3 'Manage Errors.'	No errors identified at this point (as process 15.3 'Manage Errors')

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Settlement Due - This is a regular payment (daily/ weekly) which is based on a an agreed forecast

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Settlement Data Received - Authorised summaries/ invoices from clients received from teams in TP

Request for settlement received - Invoice from client or other request ie. by telephone from DNS when funds are required

15.2.1 Receive and summarise settlement data - Check settlement figures for reasonableness and against records where appropriate. Request figures from TP teams where necessary

15.2.2 Calculate settlement data - Compile final payment due from figures received or held on file

15.2.3 Prepare authority to pay - Complete a form CC106 - 'Authority to pay.' Details: payable to, method of payment, (BACS, CHAPS or cheque), bank account number, sort code, date

15.2.4 Authorise payment - CC106 authorised by CM2, countersigned by authorised personnel (BPC). The BPC will refer to forecasts for reasonableness (where appropriate) before authorisation. Record all payments made

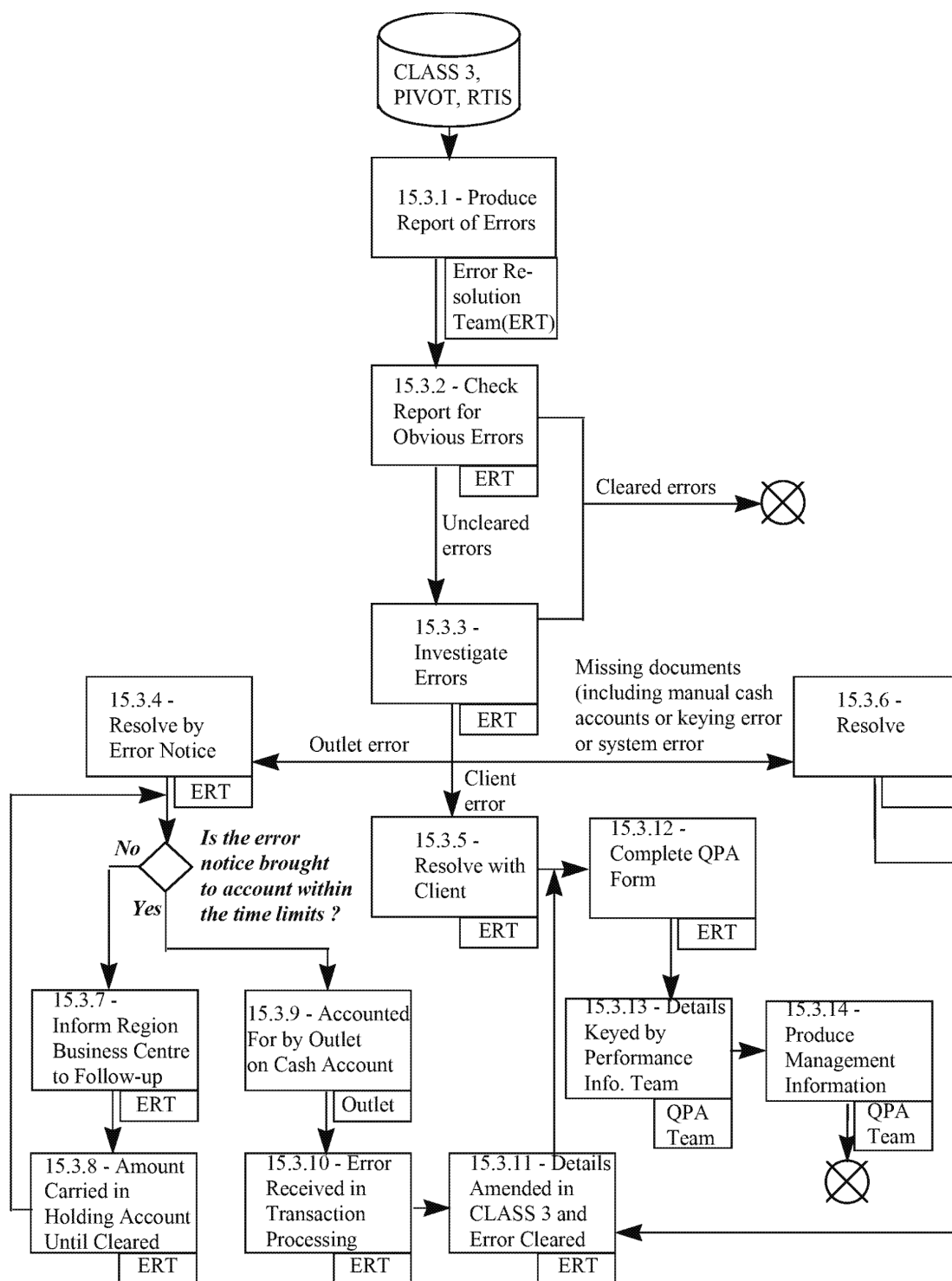
15.2.5 Send to Finance cashiers - CC106 taken to Central cashiers for settlement (this updates the 'S' ledger and is reflected in the CLASS 181's

15.2.6 Authority to pay to central cashiers - Settlement made

9.12.1.4 Exceptions that may be detected in process 15.2 - settle with clients

Process reference	Exception	Action by Transaction Processing
15.2	<u>SETTLE WITH CLIENTS</u> These will be raised in the same context as process reference 15.3 'Manage Errors.'	No errors identified at this point (as process 15.3 'Manage Errors')

9.12.2 Expansion of process 15.3 - manage errors



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9.12.2.1 Exceptions that may be detected in process 15.3 - manage errors

Process reference	Exception	Action by Transaction Processing
	CASH ACCOUNT ERRORS	
15.3.3	1. Wrong line entry on cash account (result not the cause)	Not expected under EPOSS. If this occurs an incident will be raised by TP Incident Manager with the NBSC to eliminate any POCL reference data error. If this does not resolve the incident NBSC raises an incident with HSH. This could be reference data or system error ie. where an entry has been mapped to the wrong line.
15.3.3	2. Omitted figures - volume/value check (receipt and payment products only)	EPOSS should not omit figures where there is a volume/value check set up. Not expected under EPOSS. TP would not expect any value amounts to be omitted. If this occurs TP Error Team would clear any user error. If this did not resolve the error an incident will be raised via the TP Incident Manager with the NBSC, who will eliminate any POCL reference data error. If this does not resolve the incident NBSC raises an incident with HSH.
15.3.3	2.1 Omitted figure volume only.	This is expected under EPOSS e.g. a postmaster could fail to enter a figure in Table 10g. This will be classed as a user error, which will be cleared by the TP Error Team. If this did not resolve the error an incident will be raised via the TP Incident Manager with the NBSC, who will eliminate any POCL reference data error. If this does not resolve the incident NBSC raises an incident with HSH. NB. No checks are currently made at TP if there are no entries in table 10g.
15.3.3	2.2 Omitted value figures on Table 12	If no traffic has been transacted it is expected that 0.00 should appear on Table 12. If this is blank then an incident would be raised with the HSH

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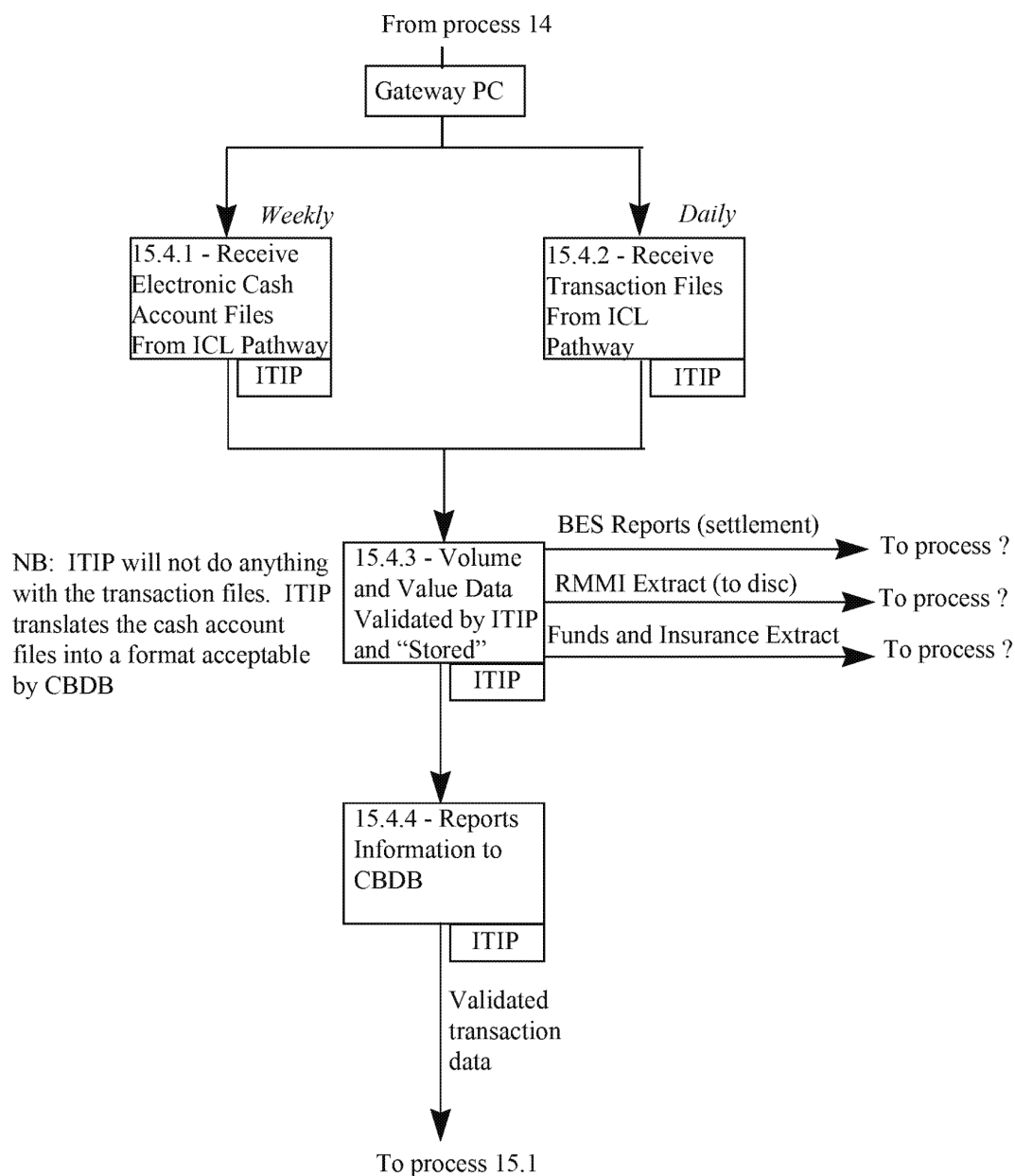
		by the TP Incident Manager. This will be classed as a system error
15.3.3	3. Misbalanced tables (eg. addition errors in table 6).	Not expected under EPOSS. Any misbalance will be raised as an incident by TP Incident Manager with the HSH. This will be classed as a system error
15.3.3	3.1 Misbalance. (Receipts / Payments - results not the cause).	Not expected under EPOSS. An incident will be raised by TP Incident Manager with the HSH if this occurs. This will be classed as a system error
15.3.3	4. Incorrect entry.	This is expected under EPOSS. Postmaster selected wrong stock item/ product. Errors in receipts and payments as a result of a wrong stock item / value being entered in Table 6, 6a, 8 or 9. This is classed as a user error where current processes will prevail. This also applies to the dedicated lines 0040 and 1086 on the production of the Final Cash Account. All user errors will be cleared by the TP Error Teams.
	SYSTEM PRODUCED SUPPORTING DOCUMENT ERRORS	
15.3.3	5. Wrong line entry.	These are the Counters Revenue Schedule, the Savings Stamp summary and Benefits Agency supporting documents This is not expected under EPOSS. An incident will be raised with HSH by TP Incident Manager where this occurs. This will be classed as a system error
15.3.3	6. Omitted figures (volume/value).	This is not expected under EPOSS. An incident will be raised with HSH by TP Incident Manager if this occurs. This is in respect of saving stamps, P&A and Counters Revenue Schedule and the production of the cash account. This will be classed as a system error
15.3.3	7. Incorrect entry..	This is not expected under EPOSS. An incident will be raised with HSH by TP Incident Manager if this occurs. This

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		will be classed as a system incident.
15.3.3	8. Late /non receipt.	This is expected under EPOSS. Not to be raised as an incident until such time that there is proof that the system is playing a part. This will be classed as a user error in the first instance. The TP Error Team will clear any user error and may access the NBSC database via the TP Incident Manager to check any known cause, e.g. outlet reported problem with consumables..
15.3.3	8.1 Incorrect entry on non system produced supporting documents	These are manually keyed in DPU. Errors found here will be internal to TP, i.e. an incident will not be raised. Existing processes will remain in place to address these errors.
	NEW ERROR TYPES	
15.3.3	9. Missing/ extra cash account files	Work on exception reports (Live Trial Team) or CLASS 1 report which expresses what CBDB did not receive. Current processes followed. The revised Interim Tip procedures will be followed for automated offices with respect to this incident The resolution for this exception is described in process 15.4.
15.3.3	10. Incorrect/ Inconsistent Reference Data	TP/System Support Team to check with Reference Data. Any errors discovered will result in an incident raised with NBSC by TP Incident Manager to clear any POCL reference data errors. If this does resolve the incident the NBSC will raise an incident with the HSH.
15.3.3	11. Rejected cash account file	Where files are rejected by Counters Business Database. Investigations where there is more than one cash account received will be made by the System Support Team. An incident would be raised via the NBSC if found to be a recurring problem.
15.3.3	12. Illegible print (cash account)	As current processes. No incident will be raised.
15.3.3	13. Illegible print	As current processes. No incident will

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	(supporting documents)	be raised.
15.3.3	14. Printer problems (other)	Informal process followed to request reprint i.e. Incomplete documents etc. No incident will be raised.
15.3.3	15. Incorrect entry	Specifically for the dedicated lines for the production of the Final Account (lines 0040 and 1086) which can be accessed by a system user in error. The resolution of this exception is described in process 25.7.

9.12.2.2 Expansion of process 15.4 - receive and validate TIP data

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**9.12.2.3 Exceptions that may be detected in process 15.4 -
receive and validate TIP data**

Process reference	Exception	Action by Transaction Processing
	RECEIVE AND VALIDATE TIP DATA	
15.4	Missing Transaction Files	The Systems Support Team will monitor missing transaction files reported by Interim TIP. These will be raised as an incident if the transaction files are still missing after a period of 5 days. The incident will be raised by the Systems Support team with the Incident and Problem Manager to the HSH
15.4	Unexpected Transaction Files	<p>The Systems Support Team will monitor unexpected transaction files reported by Interim TIP. These files are monitored daily. TP will investigate the reason for receipt of the unexpected file. This could be where:-</p> <ul style="list-style-type: none"> • Pathway could send a duplicate transaction file in error (although never expected to happen) • Reference Data may be incorrect • An outlet may perform transaction on a non trading day • The outlet could be one of the nominated 1500 non automated offices which has performed an automated 'Benefit Encashment' via the Payment Card Helpline. If this is the cause the report is ticked and filed in date order. If the incident relates to Reference Data the incident is logged and incident procedures (documented based on the BSM generic procedures) are followed

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• 1 5. 4	Missing Cash Account Files	The Systems Support Team will monitor missing cash account files reported by Interim TIP on a daily/weekly basis These will be checked on a daily basis and raised as an incident if missing The incident will be raised by the Systems Support team with the Incident and Problem Manager to the HSH. A cash account is considered missing after 5 days when an incident is raised if this occurs
15.4	Missing Client Transmission Summary	The Systems Support Team will monitor missing client transmission summary files reported by Interim TIP These will be checked on a daily basis and raised as an incident if missing The incident will be raised by the Systems Support team with the Incident and Problem Manager to the HSH
15.4	Unexpected Client Transmission Summary Files	The Systems Support Team will monitor unexpected client transmission summary files reported by Interim TIP These will be checked on a daily basis and raised as an incident if unexpected files are received The incident will be raised by the Systems Support team with the Incident and Problem Manager to the HSH
15.4	Exception Reporting	Discrepancies between the reference data held by Interim TIP (as supplied by POCL Reference Data), and the reference data used by the HORIZON system (ie. Pathway - also supplied by POCL Reference data) when transaction or cash account files are created, are highlighted as errors by Interim TIP. Interim TIP will produce a daily 'Exception Log' report listing any such errors. (This report can be obtained from SAR (a mainframe printing package) or sent to a nominated printer for collection). This is classed as an incident and was monitored

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		through Model Office Testing. Investigations will determine the cause and raised as an incident with the NBSC and HSH (where the problem is identified with Horizon Reference Data)
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The Client Transmission Summary

Exists only for Client Product Transaction information that has been sent from Pathway Outlets via the PCS to the Client for each individual Client's trading date (initially sent from PCS via AP Host Farnborough). This is currently only the AP products. Client Transaction Summary details will be a national repeating group per Client Product depending on how many AP Client Products are involved. There will only be one Client Transmission Summary Header and one Client Transmission Summary Trailer for any one day. If AP transactions do not take place on a calendar day, TIP only expects to receive the Sub File Header and Sub File Trailer

9.13 Maintain Payment Records (POCL Client) - Process 17 on End-to-end Model

This section is included for completeness. The processes used by POCL clients are not affected by the introduction of Release NR2.

POCL clients compare transaction level information provided by POCL with settlement information. If there are differences the POCL client would raise a query with the POCL Error Management Team in Chesterfield. Valid queries would trigger an adjustment to settlement. This is shown in section 9.12.1 (expansion of process 15) where client queries are received by process 15.3 (manage errors) and error notifications are sent to process 15.2 (settle with clients). Valid POCL client queries would lead to an incident being raised by POCL TP Incident Management. If the POCL investigation showed that the incident was caused by an underlying error within the ICL Pathway domain, then POCL TP Incident Management would raise an incident with the ICL Pathway HSH.

In addition, a customer could raise a query with a POCL client if a difference was observed between their personal records and the bill/statement provided by the POCL client. If an investigation by the POCL client indicated that the root cause was within the POCL domain, then the POCL client would raise an incident with the POCL Error Management Team in Chesterfield. The process would then progress as described in the paragraph above.

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10 POCL Incident Management and Resolution Processes for EPOSS Related Incidents

EPOSS incidents are handled by two organisations:

- NBSC (Leeds);
- TP Incident Management Point (Chesterfield) linked to the NBSC.

The NBSC provides advice and guidance for business issues, e.g. for situations where outlet business process are impacted by an unresolved incident of any type. The NBSC also handles POCL reference data related incidents raised by outlets or POCL TP.

The TP Incident Management Point records incidents occurring within TP and raises incidents with the ICL Pathway HSH or the NBSC.

10.1 Advice for outlets on completion of key business process while awaiting resolution of incident

Situation	Example advice given by the NBSC
User unable to input transactions to the system.	<ul style="list-style-type: none"> • Process transactions manually (fallback) and keep on one side and input when the system is available.
<ul style="list-style-type: none"> • User unable to make daily cash declaration 	<ul style="list-style-type: none"> • Record details of cash on hand manually and input at the next log on. If the down time exceeds one day the system provides no facility to input previous days figures. • In this scenario the Outlet will calculate the value of their ONCH manually and enter the total on the ONCH declaration, which will be despatched as per normal operating instructions.
<ul style="list-style-type: none"> • User unable to complete daily or weekly reports 	<p>The only reports which are dependent on the system are :</p> <p><u>At stock unit level</u></p> <ul style="list-style-type: none"> • Girobank in and outpayments • Pension and allowances payments (OBCS and manual) • BT bills • Green giros

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	<p><u>At outlet level</u></p> <ul style="list-style-type: none">• Saving stamp redeemed• Counters revenue schedule• P 2311MA (x 2) <p>Daily Summaries</p> <p>When the system is down at end of day the outlet must complete manual versions of the required daily summaries. On resumption of the service, the outlet must, if applicable, recover those transactions necessary and complete a system summary and cut off. This system produced summary can then be discarded.</p> <p>Weekly Summaries</p> <p>As part of the fallback process for Cash Account production, the outlet in the case of system / power failure will not be required to complete a Cash Account until the following week. In this Scenario, no weekly reports will be required.</p> <p>In the event of printer failure, the outlet must preview the reports on screen until the printer service is restored. On resumption of the service, the outlet must select the reprint functionality and forward the reports immediately to TP.</p>
User unable to complete stock unit balance	<p>1. In the event of printer failure, the user should preview the stock unit balance. On resumption of the service, the outlet must select the reprint functionality and retain the report in the outlet.</p> <p>2. In the event of system / power failure then the outlet will be asked by the NBSC whether they have balanced sufficient SUs to operate a service on the following day. If they have then there is no issue. The outlet simply continues in fallback mode, and on restoration of the service completes fallback recovery of any outstanding transactions. When operationally feasible, the outlet will then balance any outstanding SUs from the previous CAP.</p> <p>If however, no SUs have been balanced then the outlet will be instructed to suspend</p>

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	balancing until the following Wednesday.
User unable to complete cash account	<p>1. In the event of printer failure, the system will automatically preview the final cash account. On resumption of the service, the outlet must select the reprint functionality and forward the report immediately to TP.</p> <p>2. In the event of system / power failure then the outlet will be asked by the NBSC whether they have balanced sufficient SUs to operate a service on the following day. If they have then there is no issue. The outlet simply continues in fallback mode, and on restoration of the service completes fallback recovery of any outstanding transactions. When operationally feasible, the outlet will then balance any outstanding SUs and the Cash Account from the previous week.</p> <p>If however, no SUs have been balanced then the outlet will be instructed to suspend balancing until the following Wednesday.</p>

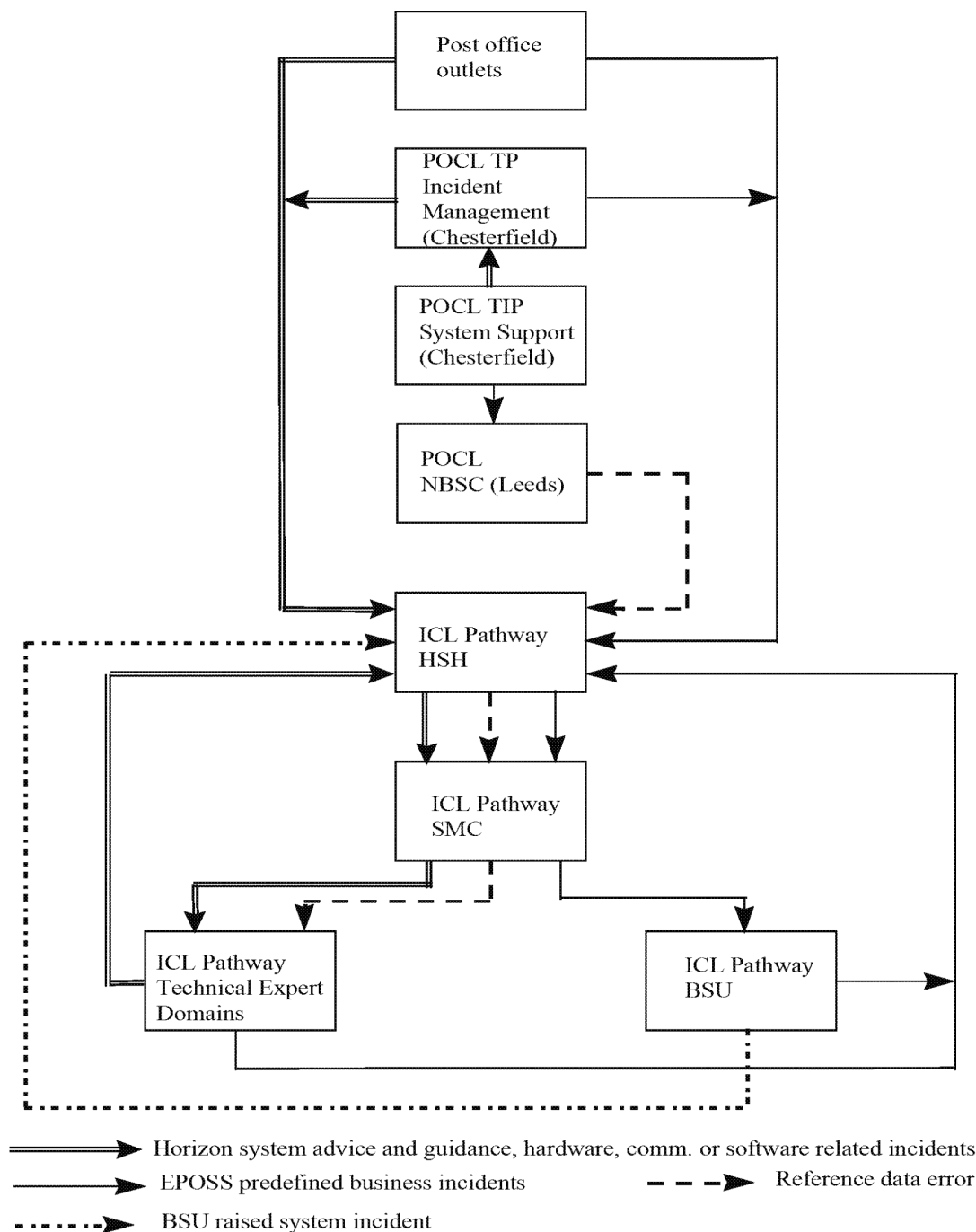
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11 ICL Pathway Incident Management and Resolution Processes for EPOSS Related Incidents

11.1 Key Interfaces



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The vast majority of EPOSS related incidents handled by ICL Pathway concern the operation of the EPOSS service, e.g. Horizon system advice and guidance, hardware incidents, communications incidents, software incidents. These types of incidents do not normally have accounting reconciliation implications.

The main focus of this section is the management of incidents that:

- have accounting reconciliation implications;
- require ICL Pathway BSU involvement in resolution.

The preceding diagram shows four categories of incidents. Each of these is discussed below.

11.1.1 EPOSS predefined business incidents

NB: No incidents of this type are currently identified. However, the capability of handling EPOSS predefined business incidents is included in the Pathway NR2 incident management processes.

Wherever possible EPOSS incidents that involve reconciliation of accounting information by the BSU are predefined so that they can be easily separated from other incidents, clearly labelled and routed to the BSU by the most direct route. Within ICL Pathway EPOSS incidents that have accounting reconciliation implications are known as "EPOSS Predefined Business Incidents". These incidents include a category of "other" which can be used if new unexpected incidents are encountered. Following investigation and resolution, the new incident is added to the list of predefined business incidents so that it can be dealt with effectively if/when it is encountered again.

Predefined business incidents may be reported to the HSH by post office outlets, POCL TP incident management or ICL Pathway organisations. The HSH routes predefined business incidents to the BSU via the SMC.

All predefined business incidents are added to the RED (Reconciliation Exception Database) by the BSU. The BSU investigates the incident and reports findings via a RED report.

11.1.2 General Horizon system advice and guidance, hardware, communications, software and file transfer related incidents

These incidents form the majority of incidents handled by the HSH. Incidents are either resolved by the HSH during the initial call, e.g. Horizon system advice and guidance, or routed to the appropriate technical expert domain for resolution. The SMC filters known errors.

Advice and guidance associated with the operation of the Horizon system is provided by the HSH at the request to post office outlets. Hardware, comms. and software incidents associated with the

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counter systems are reported by the post office outlet directly to the HSH. Incidents associated with the operation of Interim TIP interface are reported to the HSH by TP Incident Management (Chesterfield).

11.1.3 Reference data errors

Post office outlet queries relating to prices, product information, and other POCL reference data type information are initially handled by the POCL NBSC. The NBSC checks reference data and resolves any errors that have occurred within POCL domain. If POCL perceive that the reference data error was caused by an underlying error within the ICL Pathway domain, the NBSC raises a reference data incident with the HSH. The HSH routes the incident to the SMC where checks are made to see if the error was caused by a "transient known error" e.g. late delivery of reference data or a communications problems. If this does not explain why a reference data incident has occurred the incident is routed to the ICL Pathway expert domain (System Support Centre) for further investigation. The further investigation, where appropriate, involves the ICL Pathway Reference Data Team. A detailed description is provided in ICL Pathway process definition document CS/PRD/046.

11.1.4 BSU raised system incidents

The BSU raise a system incident with the HSH if they perceive that a specific system error has occurred. They raise a problem if a trend is observed.

11.2 Inappropriate calls from outlets

The HSH will consider the following calls to be inappropriate:

- calls relating to situations where a key outlet business processes, e.g. cash account rollover, is impacted by an incident of any type;
- calls relating to price, product or other POCL reference data type queries.

The HSH will advise the outlet to contact the NBSC.

NB: If the HSH starts to provide advice and guidance to an outlet or starts to diagnose an incident raised by an outlet, but then discovers that it is an incident that is normally dealt with by the NBSC, the HSH will inform the outlet that it is referring the incident to the NBSC, terminate the call with the outlet and inform the NBSC.