



# ANA-FS Functional Specification

## ECF Enhancements Programme

### Write Back Project

### Write Back Working Group

Version: 2.0

Issue Date: 26 November 2015

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# 1 INTRODUCTION

## 1.1 Background: The Write Back Project

Write Back forms part of the ECF Enhancement Programme approved by the AAC on 22<sup>nd</sup> May 2014. This is a programme of work that will seek to close the remaining functional gaps in ECF through delivering a series of strategic architectural building blocks. As well as reducing the future cost and effort of system change, these building blocks will lay the foundation for delivery of the Market strategy being defined under the CSRP programme including the delivery of a Common Core Record and full ACORD processing.

The Write Back change will allow the claims agreement party to operate entirely from within their own systems to review and respond to claims without direct recourse to the central systems provided by Xchanging. It was initially raised in September 2013 by the ECF User Group under CR0140 and there have been several discussions both with the market and internally at Xchanging as to the business requirements and the approach to the solution architecture to address this change.

## 1.2 Project Scope

This section provides an overview of the project scope. The project scope is described more fully in the Write Back Business Requirements Document. Please refer to this document for further information.

### 1.2.1 Included

#### *Business Information*

The project will deliver the integration capability to enable Carrier systems to receive and submit business information to central systems to support the claims agreement process.

#### *Supporting Documents*

The project will deliver the integration capability to enable Carrier systems to receive and submit documents to central systems in support of the claims agreement process.

### 1.2.2 Excluded

The Write Back project will not alter:

- XCS claims technical processing
- Broker submission processes
- Existing EDI messages
- Existing CWT and CWS messages and interfaces.
- Non bureau submission processes

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## 1.3 About This Document

### 1.3.1 Purpose

The overall “solution-agnostic” requirements to be met by the Project were documented in the Business Requirements Definition. The preferred system(s) solution to meet the Business Requirements is the introduction of a suite of Write Back services.

The functional specification describes the Write Back services. It describes what is needed in terms of inputs and outputs to each service.

#### *How to read this document*

This document is broken down into seven parts, which can be read together or in parts.

#### **Part A: Overview of the Write Back Services**

This component of the functional specification provides the background to the Write Back Project and aims to set out the document purpose and scope. It also describes the business requirements as articulated and agreed by the Write Back Working Group and sets out how the overall solution meets those requirements. It will detail Functional Requirements and specific considerations and conventions which relate across all services. Part A will provide a summary level of the different services available; it does not go into detail of the different services and how the interactions are defined. The detail can be found in Parts B to G (see below for further information on these sections).

#### **Parts B through Part G: The Write Back Services**

Parts B through to G describe each of the services in turn including: a description of the service, message definitions, operational behaviours, exception handling and our initial understanding of the relevant non-functional considerations. It will also include a full XML message structure for the input and output messages. The services are as follows:

- Part B: Claim Event Notify Service
- Part C: Retrieve Claim Data Service
- Part D: DRI Repository Search Service
- Part E: DRI Repository Download Service
- Part F: Claim Response Service
- Part G: DRI Repository Upload Service

### 1.3.2 Scope and Exclusions

Note: the “In scope / Out of scope” use case refers to the document scope and not necessarily to the scope of the project.

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**In scope**

UC	Title	Interaction Requirement
UC1	Receive Notification	This document will describe the functional requirements to enable Carrier systems to be notified of an event occurring on the CLASS.
UC5	Request Further Information	This document will describe the functional requirements to enable Carriers to request further information about a claim and transaction reference.
UC7	Issue Response to Claim {e.g. Add another agreement party, Issue NFR}	This document will describe the functional requirements to enable Carriers to submit a response to a transaction from their system.
UC12	Issue Documents	This document will describe the functional requirements to enable Carriers to upload documents from their system to central systems.

### Out of Scope - Carrier System functionality

The functional requirements to support these use cases will be delivered by the Carrier's system provider.

UC	Title	Comment
UC3	View Claim Data	<p>In delivering this use case solution providers must take into account:</p> <ul style="list-style-type: none"> <li>▪ Market rules regarding conflict of interest and access to claim information.</li> <li>▪ Market rules regarding lead / follower view and update privileges</li> <li>▪ Market rules regarding bureau view and update privileges.</li> </ul>
UC6	View and Update Documents on System	<p>In delivering this use case, solution providers must take into account:</p> <ul style="list-style-type: none"> <li>▪ Market rules regarding conflict of interest and any associated access to documents.</li> </ul>
UC8	Validate Response (Message)	The validations performed by Carrier system should reflect the data completion published in this document, for the message being issued.
UC9	Validate Request / Response (User)	The validations performed by Carrier system should reflect the data completion published in this document, for the message being issued.
UC11	Invoke / Revoke COI	<p>In delivering this use case solution providers must take into account:</p> <ul style="list-style-type: none"> <li>▪ Market rules regarding conflict of interest and access to claim information and documents.</li> <li>▪ Business users should be aware that this use case extends to invoking / revoking Conflict of Interest in their system. Invoking / revoking conflict of interest on central systems must follow current market processes.</li> </ul>

### Merged Use Cases

The use cases in the table below have been absorbed into other use cases.

UC	Title	Comment
UC2	Receive policy, claim, transactional and financial information	Absorbed into UC1
UC4	View Summary Claim Info	Absorbed into UC3
UC10	Issue a response to a transaction	Absorbed into UC7
UC13	Receive Notification of new Documents	Absorbed into UC14 / UC15

### Not in Scope of Phase 1

The use cases in the table below have been removed from the Phase 1 project scope.

UC	Title	Comment
UC16	<u>Receive Notification of new Documents {UC13}</u> with Documents	<p>This requirement is not met by the central systems Write Back solution:</p> <p>Carriers will only be notified of documents on the IMR matching a claim they are participating on <u>when an event (change) is recorded on CLASS for that claim.</u></p> <p>Carriers will be notified of <b>all</b> documents on the IMR matching the criteria (policy documents, claim documents and claim and transaction documents matching the UMR, UCR and TR of the claim event).</p> <p>Note: The notification will not contain the documents themselves. Documents will be retrieved by Carriers using the DRI Download service</p>



UC15	<u>Receive Notification of new Documents {UC13}</u> with Links to IMR and DFV	<p>This requirement is not met by the central system's Write Back solution:</p> <p>Carriers will only be notified of documents on the IMR matching a claim they are participating on <u>when an event (change) is recorded on CLASS for that claim.</u></p> <p>Carriers will be notified of <b>all</b> documents on the IMR matching the criteria (policy documents, claim documents and claim and transaction documents matching the UMR, UCR and TR of the claim event).</p> <p>Note: The notification will not contain hyperlinks to the IMR or DFV</p>
UC14	<u>Receive Notification of new Documents {UC13}</u> With list of new documents.	<p>This requirement is not met by the central system's Write Back solution:</p> <p>Carriers will only be notified of documents on the IMR matching a claim they are participating on <u>when an event (change) is recorded on CLASS for that claim.</u></p> <p>Carriers will be notified of <b>all</b> documents on the IMR matching the criteria (policy documents, claim documents and claim and transaction documents matching the UMR, UCR and TR of the claim event)</p>

### 1.3.3 Intended Audience

This document is intended to be read by:

#### External Audience:

- Business sponsors and prospective users, so that they can understand what the Write Back service offering is and the inputs and outputs of the service.
- Service Providers, so they can understand what the Write Back service offering is and the design considerations when developing a solution for the users of the Write Back service.

#### Internal Audience:

- Service owners, so that they can understand the detailed service characteristics that they are accountable for.
- Business analysts, as a basis for understanding the functional requirements of the Write Back service and assisting stakeholders with clarifications of the Write Back service’s requirements
- System architects and developers, so that they can understand the functional requirements and develop/build the Write Back service solution to meet those requirements
- System testers, so that they can begin to design a detailed test approach and test scripts to test the Write Back service when built to ensure it meets the business and functional requirements
- Operational and support managers, so that they can develop more detailed plans for system and service support

#### 1.4 Related Material

Title	Description	Location
Write Back Market Paper	Summarises the current understanding of Write Back and the assumptions that have been made in determining how this should be delivered, in order to frame the initial discussions with key stakeholders in the project.	<a href="https://xir.xchanging.com/worksite/mp/dispatch?datasource=documentFolder&amp;operation=zoom&amp;objectId=!V3!LEGALREPOS!CIFD\$256840!&amp;returnUrl=147a57fce0240c4">https://xir.xchanging.com/worksite/mp/dispatch?datasource=documentFolder&amp;operation=zoom&amp;objectId=!V3!LEGALREPOS!CIFD\$256840!&amp;returnUrl=147a57fce0240c4</a> <b>Note:</b> Internal link only.
ANA-BRD Write Back Project	Defines the business requirements, including the As-Is Process Model.	<a href="https://xir.xchanging.com/worksite/mp/dispatch?datasource=documentFolder&amp;operation=zoom&amp;objectId=!V3!LEGALREPOS!CIFD\$256840!&amp;returnUrl=147a57fce0240c4">https://xir.xchanging.com/worksite/mp/dispatch?datasource=documentFolder&amp;operation=zoom&amp;objectId=!V3!LEGALREPOS!CIFD\$256840!&amp;returnUrl=147a57fce0240c4</a> <b>Note:</b> Internal link only

## 2 BUSINESS REQUIREMENTS AND SOLUTION OVERVIEW

### 2.1 Business Requirements

The business requirements, as set out in the Write Back Business Requirements document are reproduced below for reference.

Ref	Name	Description	Meeting the Business Requirements
BR1001	Receive Claim Information	<ul style="list-style-type: none"> <li>The Carrier can be informed, through their systems, that an event has taken place on the central systems; and</li> <li>The information available in the Carriers' system is up to date when they choose to interrogate that claim using their system.</li> </ul>	<p>The Claim Event Notify Service will issue claim business information and a document list when an event is recorded on CLASS.</p> <p>It will be up to date at the point the service is triggered.</p> <p>See <b>BR1002</b> for maintaining up to date claim and document information in Carrier systems.</p>
BR1002	Request Further Information	From the Carrier system, the Carrier must be able to request further information from central systems about a claim or transaction. The Carriers' systems must submit the request to the central system. Central systems must make the requested information available to the Carrier system.	The Retrieve Claim Data Service will enable Carriers to update the claim and document information on their systems if required.
BR1003	Issue Transaction Response	Allow a Carrier to make a response to a transaction on their system and for that response to update the central systems.	The Claim Response service will enable Carriers to issue a response to a claim transaction.

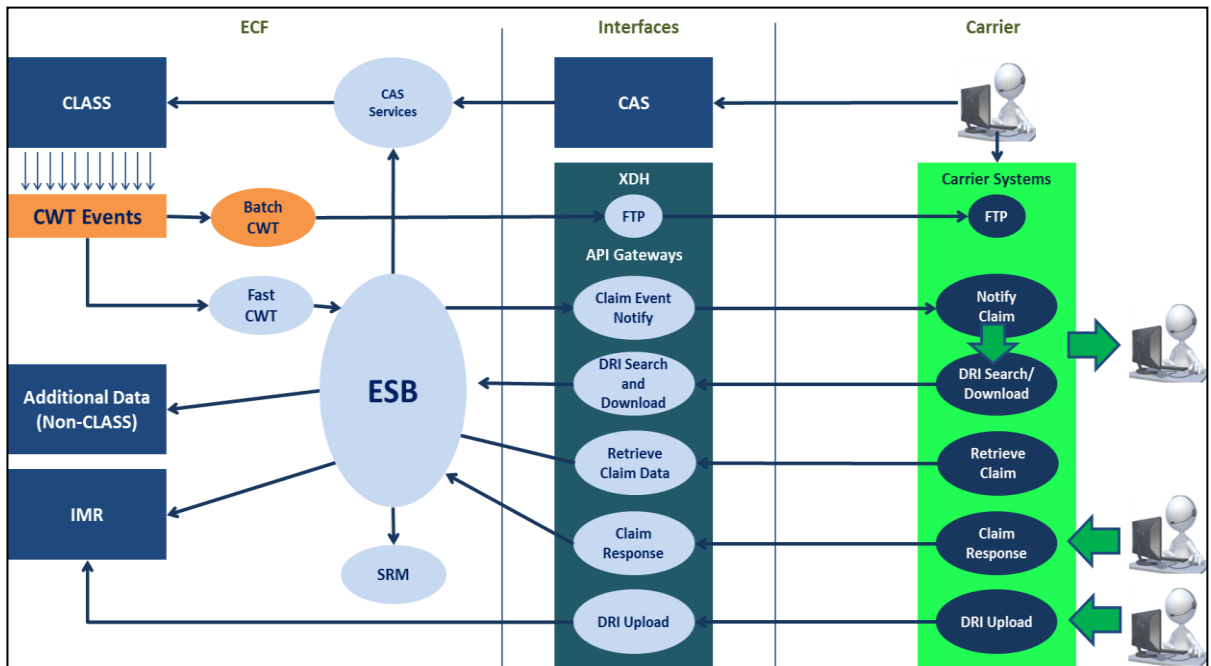
Ref	Name	Description	Meeting the Business Requirements
BR1004	Validate Request/ Response (Message)	Before issuing a Transaction Response or an Information Request to central systems, the Carrier's system must apply the Market Validation rules to the submission	Carrier systems will perform message validation before issuing messages to central systems. <ul style="list-style-type: none"> <li>Central systems will revalidate the message on receipt.</li> </ul>
BR1005	Validate Request/ Response (User)	Before issuing a Transaction Response or an Information Request to central systems, the Carrier's system must ensure that the user issuing the Request / Response is authorised to issue the Request / Response for the Claim or Transaction reference provided.	Carrier systems will perform message validation before issuing messages to central systems. <ul style="list-style-type: none"> <li>Central systems will revalidate the message on receipt.</li> </ul>

Ref	Name	Description	Meeting the Business Requirements
BR1006	Invoke / Revoke Conflict of Interest	<ul style="list-style-type: none"> <li>Allow Carriers to invoke or revoke a conflict of interest for a claim reference they supply, using their system, in line with their online invoke/revoke privileges</li> <li>The conflict of interest must be invoked/revoked on both their own and central systems.</li> </ul>	<ul style="list-style-type: none"> <li>The provision of facilities to invoke or revoke a conflict of interest on the Carrier system should be provided by the system provider(s), subject to commercial negotiations between the provider and the clients.</li> <li>Invoking / revoking a conflict of interest on central systems will follow existing market practice,</li> <li>The Claim Event Notify Service Request and the Retrieve Claim Data Service response will include an Organisational Conflict indicator.</li> </ul> <p>See also 3.2 Conflicts of Interest.</p>
BR1007	Issue Documents to central systems	Allow Carriers to issue documents to the central systems using their system.	The existing Upload DRI Service will be offered to the Carrier community.
BR1008	Receive Notification of New Documents	Issue notifications of new documents loaded to the Insurers' Market Repository for claims that the Carrier is a participant on.	<p>This requirement is not met by the central systems Write Back solution:</p> <p>Carriers will only be notified of documents on the IMR matching a claim they are participating in <u>when an event (change) is recorded on CLASS for that claim.</u></p> <p>Carriers will be notified of <b>all</b></p>

Ref	Name	Description	Meeting the Business Requirements
			documents on the IMR matching the criteria (policy documents, claim documents and claim and transaction documents matching the UMR, UCR and TR of the claim event).

## 2.2 Solution Architecture

This solution will enable carriers to manage the claim within their own systems without the need to duplicate effort via CAS. This is achieved by the provision of services that will allow a Carrier's system to receive timely notifications of claim transaction events, claim information and documents and to similarly respond by message. The services available are as shown in the diagram and summary below.



**Figure 1: High Level Solution Architecture**

The new interactions shown in the above diagram are:

- Claim Event Notify
- DRI Search and DRI Download
- Retrieve Claim Data
- Claim Response
- DRI Upload

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## 2.2.1 Description of Interactions

### 2.2.1.1 Claim Event Notify

Carrier systems will expose a web service based on a standard defined by central systems that will allow the ECF platform to notify a claim event to them. This notification will consist of the following information:

- The information that would normally be provided with the current CWT;
- The current claim information that would normally be available to the carrier from CAS;
- A current list of policy and claim documents for a claim, at the point at which the service is invoked that would normally be available to the carrier from the IMR. This will be in a similar format to that obtained from an ACORD DRI Search (see below)

The information will be provided in a structured XML format that resembles ACORD as far as practicable. This service will also contain appropriate failure, retry and exception handling to mitigate any risk of non-delivery.

### 2.2.1.2 DRI Search

#### **DRI RepositorySearch**

Carriers' systems will be able to invoke an ACORD DRI **RepositorySearch** by calling a service on the Xchanging ACORD Gateway (XAG).

This service will return a list of policy and claim documents for a claim at the point at which the service is invoked that would normally be available to the requesting carrier from the IMR. The list of documents will contain unique keys to the documents which are returned as part of the document metadata to facilitate subsequent download requests.

Carriers may elect to bypass this service and issue a DRI Download service based on the document list contained in the Claim Event Notify message or a Retrieve Claim Data message.

### 2.2.1.3 DRI Download

#### **DRI RepositoryDownload**

Carrier systems will be able to submit a DRI **RepositoryDownload** request to XAG. The DRI **RepositoryDownload** must include the document keys supplied in either a Claim Event Notify service or a Retrieve Claim Data service or the DRI **RepositorySearch** service metadata. Each valid download request will result in the requested document being returned.



#### 2.2.1.4 Retrieve Claim Data

Carrier systems can request current claim information by calling this service on a new Xchanging API Gateway. This service will return the following information:

- The current claim information that would normally be available to the carrier from CAS
- A current list of policy and claim documents for a claim, at the point at which the service is invoked that would normally be available to the Carrier from the IMR. This will be in a similar format to that obtained from an ACORD DRI Search (see above)

This will enable carrier’s systems to obtain a current view of the claim; for example where there has been a significant time lapse between receiving the initial notification and submitting a response.

#### 2.2.1.5 Claim Response

Carrier’s systems will be able to transmit a response to a claim at any time, by sending information to this service on the new central systems API Gateway. The service will update the claim record directly with the response information. Where the response is received outside claim system availability, the response will be queued by central systems and the claim will be updated when the system resumes operation. This service will contain appropriate failure, retry and exception handling to assure delivery of the carrier response.

#### 2.2.1.6 DRI Upload

Xchanging will enable carriers to use the existing DRI Upload service currently utilised by brokers and available on XAG. The service will be identical in its operation and will enable the Carrier system to upload claim documents to the IMR.

### 2.2.2 Description of Components

The table below provides a brief description of the central system components shown in the diagram.

Component	Description
Electronic Claim File (ECF) / ECF2	An integrated service for claims handling and processing delivered through a combination of the Insurers’ Market Repository (IMR) and the Claims Loss Advice and Settlement System (CLASS). ECF2 provides additional functionality to the Carrier’s use of the ECF platform.
Claim Agreement Screens (CAS)	An enhancement to ECF, delivered in the ECF2 implementation, to improve the ease by which a Carrier can agree a claim online.

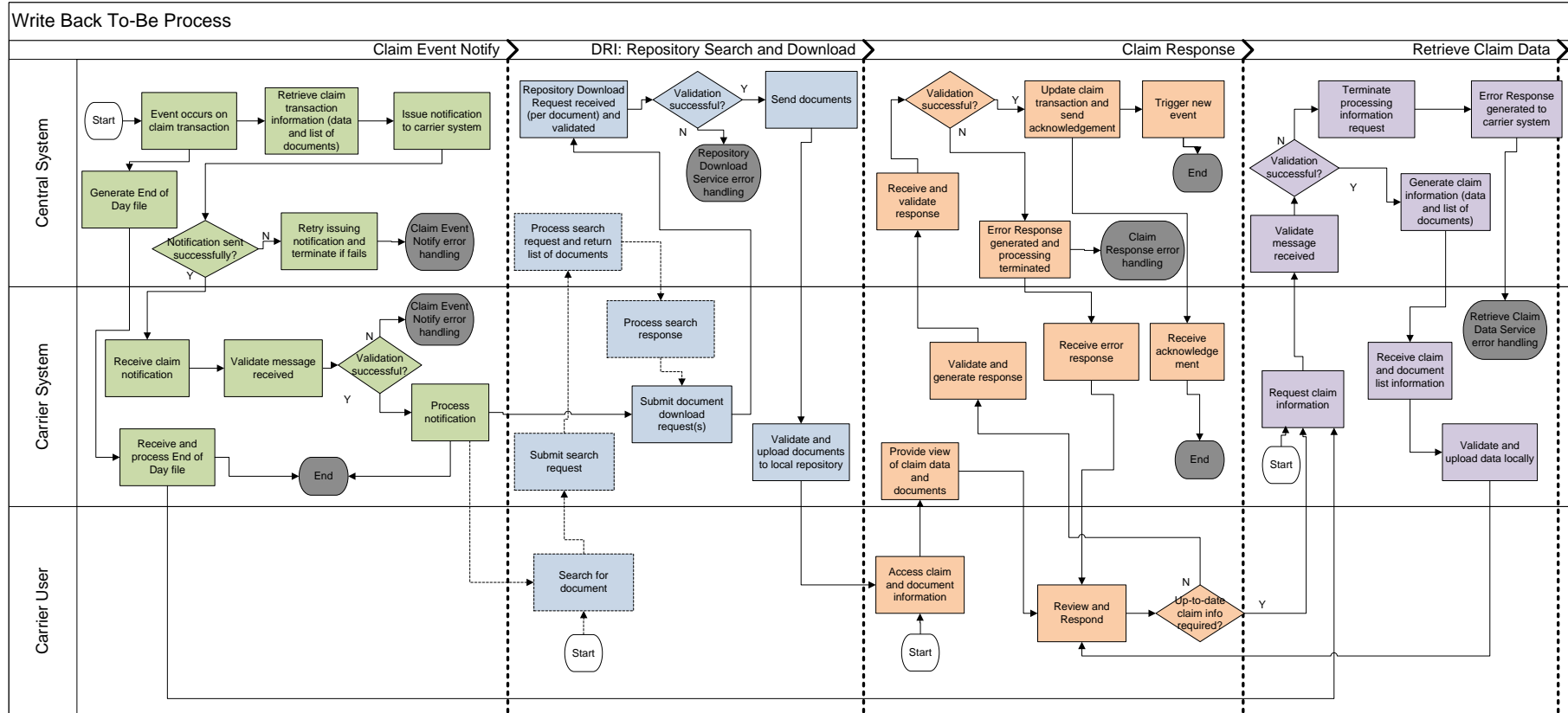
Component	Description
Claims Loss Advice and Settlement System (CLASS)	An existing system which enables brokers to load claim data transactions for advice and settlements and some supporting information so that Carriers can agree, query and reject claims 'online'. Combined with the IMR, CLASS underpins ECF.
Claims Workflow Trigger (CWT) Events	A system which holds information about a claim event. The system records when a claim event <sup>1</sup> takes place on CLASS.
Batch Claims Workflow Triggers (CWT)	An enhancement to ECF, delivered in the ECF2 implementation. The triggers (messages) are batched and retrieved (via FTP) by the Carrier's system.
Fast CWT	A new component of ECF, Fast CWT will enable triggering of claim notifications to Carrier systems including additional claim business information and a contemporaneous list of documents for the claim transaction.
Additional Data (Non-CLASS)	Represents additional claim information (e.g. comments) that is held outside the CLASS system.
Insurers' Market Repository (IMR)	Infrastructure owned and funded by London Market Insurers, both Lloyd's and Companies, which provides a common repository for documentation (as opposed to data) to support accounting and settlement and claims processes.
Enterprise Service Bus (ESB)	ESB will orchestrate data from disparate data sources, to construct and send a single message in the format required by carriers. Information contained in the Fast CWT trigger will be supplemented with additional claim and document information before the event is notified to the Carrier, which is an example of the data orchestrated through ESB.

<sup>1</sup> The list of activities on CLASS which will trigger an "event" are included in Appendix A,

Component	Description
Service Registration Management	Provides service registration details for central system components and services. Holds details of all customer service options, preferences and endpoints.
XDH	Xchanging Distribution Hub currently used for the provision of CWT data to the market consumers.
API Gateways	This consists of the existing Xchanging ACORD Gateway (XAG) for ACORD messaging and the new API Gateway that will expose the non-ACORD web services to the external consumers.

### 2.3 “To Be” Business Process Summary

The diagram below shows the “to-be” Carrier claims agreement process, indicating where Write Back will support the process and the current process flow that is in place for DRI: Repository Upload that Write Back will use.

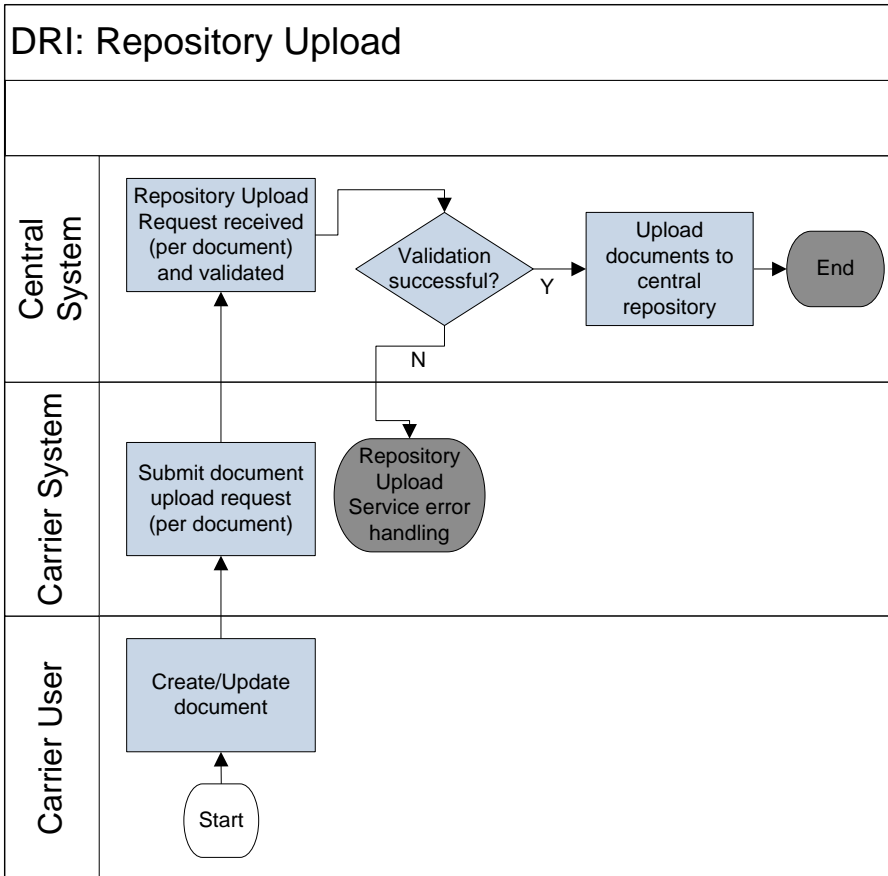


**Key**

- Claim Event Notify
- DRI: Repository Search and Download
- Claim Response
- Retrieve Claim Data

-----> Optional Step

**Figure 2: Write Back To-Be Process Flow**



**Figure 3: DRI: Repository Upload Process Flow**

### 2.3.1 Process Support Description

The table below provides details on the process steps in Fig 2 and Fig 3 above

Step ID	Process Element	Central System Solution Support	Carrier System Solution Support
<p>CLAIM EVENT NOTIFY (Please see Part B for more detailed information on this service)</p> <p>The Claim Event Notify informs a Carrier of updates made to the central claims record for a claim they are a participant on.</p>			
<b>WB-CEN-001</b>	<p><b>START:</b></p> <p>Event occurs on claim transaction</p>	<ul style="list-style-type: none"> <li>An event occurs on a claim transaction in CLASS that the carrier is participating on.</li> </ul>	<ul style="list-style-type: none"> <li>N/A</li> </ul>
<b>WB-CEN-002</b>	<p>Retrieve claim transaction information (data and list of documents)</p>	<ul style="list-style-type: none"> <li>Claim transaction information retrieved from CLASS, other non-CLASS data sources and a list of documents from the IMR relating to the claim for inclusion in the Claim Event Notify request message.</li> </ul>	<ul style="list-style-type: none"> <li>N/A</li> </ul>
<b>WB-CEN-003</b>	<p>Issue notification to carrier system</p>	<ul style="list-style-type: none"> <li>A Claim Event Notify request is generated for each participating Carrier</li> <li>Each generated Claim Event Notify request is issued to the relevant participating Carrier.</li> </ul>	<ul style="list-style-type: none"> <li>N/A</li> </ul>
<b>WB-CEN-004</b>	<p>Receive claim notification</p>	<ul style="list-style-type: none"> <li>N/A</li> </ul>	<ul style="list-style-type: none"> <li>System receives the Claim Event Notify request messages.</li> </ul>

Step ID	Process Element	Central System Solution Support	Carrier System Solution Support
<b>WB-CEN-005</b>	Validate message received	<ul style="list-style-type: none"> <li>• Receive and process synchronous response</li> <li>• See 3.4 Claim Event Notify Operational Behaviours in the event of a synchronous response not being returned within the agreed time-out period</li> </ul>	<ul style="list-style-type: none"> <li>• System validates Claim Event Notify request in accordance with the agreed error handling protocols.</li> <li>• System returns a synchronous response message.</li> </ul>
<b>WB-CEN-006</b>	<b>END:</b> Process notification	<ul style="list-style-type: none"> <li>• N/A</li> </ul>	<ul style="list-style-type: none"> <li>• Carrier system updates the system accordingly.</li> </ul>

Step ID	Process Element	Central System Solution Support	Carrier System Solution Support
<b>WB-CEN-007</b>	Generate End of Day	<ul style="list-style-type: none"> <li>• End of Day file created containing a log item for every event that occurs on a claim transaction in CLASS per participating Carrier.</li> <li>• The End of Day file will include details of all events which caused a Claim Event Notify to be generated, including Claim Event Notify which were generated, but not received by the Carrier system successfully.</li> </ul> <p>(Please note, a change request for the EOD Reconciliation Report was approved and delivered during Market Acceptance Testing for Phase 1. Please refer to ANA-FS-Write Back Project EOD Reconciliation Report for more detailed information regarding the change and functionality.) see appendix 1)</p>	<ul style="list-style-type: none"> <li>• N/A</li> </ul>



Step ID	Process Element	Central System Solution Support	Carrier System Solution Support
<b>WB-CEN-008</b>	<b>END:</b> Receive and process End of Day file	<ul style="list-style-type: none"> <li>N/A</li> </ul>	<ul style="list-style-type: none"> <li>End of Day file received and processed by carrier system.</li> <li>Carriers (or their systems) can interrogate the file to identify Claim Event Notify instances which were generated but not received, and optionally, use the Request Claim Data service to retrieve the missing claim information.</li> </ul>
<p>DRI: REPOSITORY SEARCH AND DOWNLOAD (Please see Parts D and E for more detailed information on these services)</p> <ul style="list-style-type: none"> <li>The DRI <b>RepositorySearch</b> enables a Carrier to collate an up to date list of documents matching any combination using a UMR, UCR and/or TR.</li> <li>The DRI <b>RepositoryDownload</b> enables a Carrier to download documents from the IMR.</li> </ul>			
<b>WB-RSD-001</b>	<b>START:</b> Search for document (This is an optional step)	<ul style="list-style-type: none"> <li>N/A</li> </ul>	<ul style="list-style-type: none"> <li>Carrier system generates a DRI <b>RepositorySearch</b> request which includes the required search parameters ((re)insurer Id, any combination using UMR, UCR and/or TR)</li> </ul>

Step ID	Process Element	Central System Solution Support	Carrier System Solution Support
<b>WB-RSD-002</b>	Submit search request (This is an optional step)	<ul style="list-style-type: none"> <li>N/A</li> </ul>	<ul style="list-style-type: none"> <li>Carrier system submits the DRI <b>RepositorySearch</b> request to the central repository (IMR).</li> </ul>
<b>WB-RSD-003</b>	Process search request and return list of documents (This is an optional step)	<ul style="list-style-type: none"> <li>Central system receives and issues a synchronous response for the DRI <b>RepositorySearch</b> request.</li> <li>The DRI <b>RepositorySearch</b> request is validated and processed.</li> <li>The system fetches a list of documents matching the UCR and TR provided. The list will only include documents where the Carrier is on the Access Control List for the document.</li> <li>The DRI <b>RepositorySearch</b> response is generated which includes the list of matching documents.</li> <li>The DRI <b>RepositorySearch</b> response is sent to the requesting Carrier.</li> </ul>	<ul style="list-style-type: none"> <li>N/A</li> </ul>

Step ID	Process Element	Central System Solution Support	Carrier System Solution Support
<b>WB-RSD-004</b>	Process search response (This is an optional step)	<ul style="list-style-type: none"> <li>N/A</li> </ul>	<ul style="list-style-type: none"> <li>System receives and processes the DRI <b>RepositorySearch</b> response</li> </ul>
<b>WB-RSD-005</b>	Submit document download request(s)	<ul style="list-style-type: none"> <li>N/A</li> </ul>	<ul style="list-style-type: none"> <li>Carriers interrogate the list of documents available on the IMR (based on the list provided in the Claim Event Notify or the DRI <b>RepositorySearch</b> response) and select documents for download.</li> </ul>
<b>WB-RSD-006</b>	Repository Download request received (per document) and validated	<ul style="list-style-type: none"> <li>The document download request must be validated and a synchronous response issued to the carrier.</li> </ul>	<ul style="list-style-type: none"> <li>Receive and process the synchronous DRI response.</li> <li>See Part E DRI: Repository Download for Operational Behaviours regarding time outs and error responses.</li> </ul>
<b>WB-RSD-007</b>	Send Documents	<ul style="list-style-type: none"> <li>Generate the DRI <b>RepositoryDownload</b> response including the document metadata and a copy of the requested document.</li> <li>Provision of an interface to the ECF system to fetch documents.</li> </ul>	<ul style="list-style-type: none"> <li>Receive, and process the DRI <b>RepositoryDownload</b> response.</li> </ul>

Step ID	Process Element	Central System Solution Support	Carrier System Solution Support
<b>WB-RSD-008</b>	Validate and upload documents to local repository	<ul style="list-style-type: none"> <li>N/A</li> </ul>	<ul style="list-style-type: none"> <li>Route the document to the target location in accordance with the document receipt and routing rules of the Carrier.</li> </ul>
<p>CLAIM RESPONSE (Please see Part F for more detailed information on this service)</p> <p>The Claim Response service enables the Carrier to respond to a claim transaction from their system.</p>			
<b>WB-CR-001</b>	<p><b>START:</b></p> <p>Access claim and document information</p>	<ul style="list-style-type: none"> <li>N/A</li> </ul>	<ul style="list-style-type: none"> <li>A carrier user logs into their system and requests access to a claim or a transaction and the related documents (if not restricted).</li> </ul>
<b>WB-CR-002</b>	Provide view of claim data and documents	<ul style="list-style-type: none"> <li>N/A</li> </ul>	<ul style="list-style-type: none"> <li>The system presents the claim and document information to the Carrier for the claim (if permitted).</li> </ul>
<b>WB-CR-003</b>	Review and Respond	<ul style="list-style-type: none"> <li>N/A</li> </ul>	<ul style="list-style-type: none"> <li>At this step the Carrier may invoke the Retrieve Claim Data service to have up-to-date claim information if required. The Carrier reviews the claim information and related documents and issues a response to the transaction on their system.</li> </ul>

Step ID	Process Element	Central System Solution Support	Carrier System Solution Support
<b>WB-CR-004</b>	Validate and generate response	<ul style="list-style-type: none"> <li>N/A</li> </ul>	<ul style="list-style-type: none"> <li>The system validates the Carrier response including:               <ul style="list-style-type: none"> <li>Verifying if the user is authorised to make the response</li> <li>Verifying that the response is compliant with the market validations for the active bureau, the Carrier role on the claim and the status of the transaction (see Claim Response data definitions for details).</li> </ul> </li> <li>If the supplied information is valid, the Carrier system generates and issues the Claim Response request to central systems.</li> </ul>

Step ID	Process Element	Central System Solution Support	Carrier System Solution Support
<b>WB-CR-005</b>	Receive and validate response	<ul style="list-style-type: none"> <li>• The central system receives and validates the Claim Response request, including:               <ul style="list-style-type: none"> <li>• Verifying if the user is authorised to make the response</li> <li>• Verifying that the response is compliant with the market validations for the active bureau, the Carrier role on the claim and the status of the transaction (see Claim Response data definitions for details).</li> </ul> </li> </ul> <p>Note: This table does not differentiate between validations performed at the gateway (SOAP and schema validation) and business validations which will be performed by the target application (CLASS). These will result in different response types (see section 5.4 Claim Response Operational Behaviours).</p>	<ul style="list-style-type: none"> <li>• N/A</li> </ul>

Step ID	Process Element	Central System Solution Support	Carrier System Solution Support
<b>WB-CR-006</b>	Error response generated and processing terminated	<ul style="list-style-type: none"> <li>The central system generates an error response (Claim Error Notify) to the carrier system to alert the carrier of the request termination.</li> <li>See Part F: Claim Response Service for further details.</li> </ul> <p>Note:</p> <ul style="list-style-type: none"> <li>Carrier systems and central systems will apply identical business validation to the Carrier response. However, the status of the claim transaction may have been updated after the Carrier system was last refreshed (through a Claim Event Notify request or a Retrieve Claim Data response). Therefore, the results of the central system validation may differ to the results of the Carrier system validation.</li> </ul>	<ul style="list-style-type: none"> <li>N/A</li> </ul>

Step ID	Process Element	Central System Solution Support	Carrier System Solution Support
<b>WB-CR-007</b>	Receive error response	<ul style="list-style-type: none"> <li>N/A</li> </ul>	<ul style="list-style-type: none"> <li>The error response (Claim Error Notify) is processed by the carrier system to allow the user to re-review the response provided.</li> <li>This step then goes back in the flow to the Review and Respond step to allow the user to amend the response and to re-submit it if appropriate.</li> </ul>
<b>WB-CR-008</b>	Update claim transaction and send acknowledgment	<ul style="list-style-type: none"> <li>The Claim Response request is validated successfully and the Carrier response will be updated in CLASS for the UCR and TR in the request.</li> <li>The central system generates and issues a Claim Response response to the carrier system.</li> <li></li> </ul>	<ul style="list-style-type: none"> <li>N/A</li> </ul>
<b>WB-CR-009</b>	Receive acknowledgment	<ul style="list-style-type: none"> <li>N/A</li> </ul>	<ul style="list-style-type: none"> <li>Carrier system receives and processes the response.</li> </ul>



Step ID	Process Element	Central System Solution Support	Carrier System Solution Support
<b>WB-CR-010</b>	<b>END:</b> Trigger new event	<ul style="list-style-type: none"> <li>The update to the CLASS system results in a new Claim Event Notify being generated and issued to participating Carriers.</li> </ul>	<ul style="list-style-type: none"> <li>N/A</li> </ul>
<p>RETRIEVE CLAIM DATA (Please see Part C for more detailed information on this service)</p> <p>The Retrieve Claim Data service can be used by Carriers to proactively update their claim and document information.</p>			
<b>WB-RCD-001</b>	<b>START:</b> Request claim information	<ul style="list-style-type: none"> <li>N/A</li> </ul>	<ul style="list-style-type: none"> <li>The Carrier initiates a request for up to date claim and document information on their system.</li> <li>The Carrier system invokes the Retrieve Claim Data service for the claim and transaction reference provided by the Carrier.</li> </ul>
<b>WB-RCD-002</b>	Validate message received	<ul style="list-style-type: none"> <li>The central system receives and validates the Retrieve Claim Data request</li> </ul>	<ul style="list-style-type: none"> <li>N/A</li> </ul>

Step ID	Process Element	Central System Solution Support	Carrier System Solution Support
<b>WB-RCD-003</b>	Terminate processing information request	<ul style="list-style-type: none"> <li>Carrier request for claim data is NOT successfully validated against the market rules.</li> <li>Central systems generates the Retrieve Claim Data response which notifies the Carrier that central system was unable to complete processing of the request and the reason(s).</li> </ul>	<ul style="list-style-type: none"> <li>N/A</li> </ul>
<b>WB-RCD-004</b>	Error response generated to carrier system	<ul style="list-style-type: none"> <li>The central system issues the response to the carrier system to alert the carrier of the request termination.</li> </ul>	<ul style="list-style-type: none"> <li>Carrier system receives and processes the error response in accordance to the business rules of their customers.</li> </ul>

Step ID	Process Element	Central System Solution Support	Carrier System Solution Support
<b>WB-RCD-005</b>	Generate information (data and list of documents)	<ul style="list-style-type: none"> <li>If validated successfully and all systems are available, information returned to the carrier will include the claim business information, a list of document information for the claim and the transaction reference provided. If some systems are not available the information provided back will only be for the systems that were available.</li> </ul>	<ul style="list-style-type: none"> <li>N/A</li> </ul>
<b>WB-RCD-006</b>	Receive claim and document list information	<ul style="list-style-type: none"> <li>N/A</li> </ul>	<ul style="list-style-type: none"> <li>Carrier system receives the Retrieve Claim Data response.</li> </ul>
<b>WB-RCD-007</b>	<b>END:</b> Validate and upload data locally	<ul style="list-style-type: none"> <li>N/A</li> </ul>	<ul style="list-style-type: none"> <li>Carrier system validates the response against business rules and, if successful, updates the relevant carrier system(s)</li> </ul>
<p>DRI: REPOSITORY UPLOAD (Please see Part G for more detailed information on this service)</p> <ul style="list-style-type: none"> <li>The DRI <b>RepositoryUpload</b> enables a Carrier to upload a document to the IMR directly from their system.</li> </ul>			

Step ID	Process Element	Central System Solution Support	Carrier System Solution Support
<b>WB-RU-001</b>	<b>START:</b> Create/Update document	<ul style="list-style-type: none"> <li>N/A</li> </ul>	<ul style="list-style-type: none"> <li>Carrier creates or updates a document</li> </ul>
<b>WB-RU-002</b>	Submit document upload request (per document)	<ul style="list-style-type: none"> <li>N/A</li> </ul>	<ul style="list-style-type: none"> <li>Carrier submits a DRI <b>RepositoryUpload</b> request to the central systems</li> </ul> <p>Note: Each DRI <b>RepositoryUpload</b> request must be in respect of one document.</p>
<b>WB-RU-003</b>	Repository Upload request received (per document) and validated	<ul style="list-style-type: none"> <li>Central system receives the DRI <b>DocumentUpload</b> request and issues a synchronous response to inform the Carrier of successful receipt of their request. Some SOAP validations and schema validations will be performed here.</li> <li>Central systems will inform the Carrier if the request is found to be invalid. See 7.4 DRI: Repository Upload Operational Behaviours for more information in the event of the Document Upload failing central system validation.</li> </ul>	<ul style="list-style-type: none"> <li>Carrier system will receive DRI <b>RepositoryUpload</b> response, including any error responses.</li> <li>Carrier systems should implement the appropriate error handling procedures in the event that the DRI RepositoryUpload is invalid.</li> </ul>

Step ID	Process Element	Central System Solution Support	Carrier System Solution Support
<b>WB-RU-004</b>	<b>END:</b> Upload documents to central repository	<ul style="list-style-type: none"> <li>Central system validates the request and if successful, loads the document to the target location on the IMR and generates the DRI <b>DocumentUpload</b> response informing the Carrier that the request has been successfully processed.</li> <li>If the request is found to be invalid, then the DRI <b>DocumentUpload</b> response will include an error response.</li> <li>This step ends here.</li> </ul>	<ul style="list-style-type: none"> <li>Carrier system will receive the DRI <b>DocumentUpload</b> response which will include, where relevant, notification that the originating request is invalid.</li> <li>Carrier systems should implement the appropriate error handling procedures in the event that the DRI <b>RepositoryUpload</b> is invalid</li> </ul>

## 2.4 Functional Requirements

This section lists the functional requirements for Write Back.

**Note:** The ANA-BRD Write Back Business Requirements document defined the business requirements, i.e. what Carriers want to be able to do using Write Back.

These business requirements will be supported by interactions between Carrier systems and central systems. The functional requirements listed below relate to the functional requirements to enable these interactions.

Ref	Description	Comments
WB-FR-001	<p><b>New Claim Event Notify Web Service</b></p> <p>A new service is required to notify a Carrier that an event has occurred on the central systems on a claim they are participating on.</p>	The carrier must register for the Write Back service to be able to receive a Claim Event Notify.
WB-FR-002	The events that will trigger a Claim Event Notify (all options) are the same events which trigger a Claims Workflow Trigger today.	
WB-FR-003	Claim Event Notify will convey the same business information as the current CWT trigger. The CWT information will be supplemented with additional claim business information and a list of documents matching the UCR and TR for the notified event.	
WB-FR-004	Claim Event Notify will be issued by central systems as they occur, and will therefore not be subject to the inherent delays in the current CWT batch process.	

Ref	Description	Comments
WB-FR-005	<p><b>New Retrieve Claim Data Web Service</b></p> <p>A new service is required to enable Carriers to retrieve claim data.</p> <p>The central system response will include current and contemporaneous data relating to the claim including:</p> <ul style="list-style-type: none"> <li>• Claim business information and</li> <li>• A list of documents available to the Carrier</li> </ul> <p>Which match the claim and transaction reference provided.</p>	<p>The claim and transaction reference must be known by the Carrier and included in the request message.</p> <p>Solution providers will consume and present the response information in accordance with Carrier requirements and the capabilities of each system.</p> <p>See Part C for Retrieve Claim Data Operational Behaviours scenarios in the event of a validation failure or CLASS / IMR not being available.</p>
WB-FR-006	<p>The claim business information included in the central system Retrieve Claim Data response will include policy, claim, transaction and financial information pertaining to the claim and transaction reference provided by the Carrier.</p>	
WB-FR-007	<p>The Retrieve Claim Data response will contain a list of documents. This will include a unique reference for each document. This reference is to be quoted by the Carrier when invoking the Repository Download Service.</p>	<p>The list will include policy, claim, transaction and miscellaneous documents matching the claim or claim and transaction references provided.</p> <p>Carriers will only be provided with the list of documents which they are permitted to view as per the Access Control List defined on a document.</p>

Ref	Description	Comments
WB-FR-008	The Retrieve Claim Data request will be initiated by the Carrier system.	<p>The Carrier can invoke the service at any point (as long as the claim and transaction reference is known).</p> <p>The Carrier can invoke the service multiple times for the same claim and transaction reference, if required.</p>
WB-FR-009	<p>The information returned by central systems in response to a Retrieve Claim Data request must be in accordance to Market business rules in relation to:</p> <ul style="list-style-type: none"> <li>• Access to claim information given the Carrier's participant role on the risk (lead / follower) and</li> <li>• Access to claim information given the Carrier's bureau on the risk (Lloyd's, LIRMA, ILU)</li> </ul>	The same Retrieve Claim Data response schema will be applied irrespective of participant role and participant bureau. However, the completion and validation rules for the schema will alter dependent on bureau and participant role.
WB-FR-010	<p>The claim and document information included in a Claim Event Notify or a Retrieve Claim Data response will be the same irrespective of any individual users within the requesting organisation having had a conflict of interest invoked on their user profile(s). Bureau and participant role rules will apply to the message content.</p> <p>See also 3.2 Conflicts of Interest.</p>	Carrier systems must be aware of, and correctly manage individual access to information and documents where conflict of interest has been invoked for an individual.



Ref	Description	Comments
WB-FR-011	<p>If an organisation conflict of interest has been invoked at the time a Claim Event Notify or a Retrieve Claim Data response is generated, the Claim Event Notify or Retrieve Claim Data response must:</p> <ul style="list-style-type: none"> <li>• <b>Include</b> full claim business information</li> <li>• <b>Exclude</b> any information pertaining to documents</li> <li>• <b>Include</b> a flag to indicate that an organisational conflict of interest has been invoked on the receiver of the message.</li> </ul> <p>See also 3.2 Conflicts of Interest.</p>	<p>Carrier systems must be aware of, and correctly manage access to documents where a conflict of interest has been invoked on the Organisation.</p>
WB-FR-012	<p><b>DRI: Repository Download Service</b></p> <p>A Repository Download service is required to enable Carrier systems to download a document from central systems.</p>	<p>A separate Repository Download request is required for each document.</p> <p>The response message will inform the Carrier of the success or failure of the request message, plus, in the event of success, will also contain the requested document.</p> <p>The document will be in native format as held on the IMR.</p> <p>See Part E for DRI: Repository Download Operational Behaviours scenarios for interaction in the event of a validation failure and / or the IMR being unavailable.</p>

Ref	Description	Comments
WB-FR-013	<p><b>New Claim Response Web Service</b></p> <p>A new Claim Response web service is required to allow the Carrier system to update a central systems record for a claim and transaction reference they provide.</p> <p>The central system response will include confirmation of successful processing, or in the event of processing failure, notification of the failure.</p>	<p>The response message will confirm receipt of the request and provide status of the update request.</p> <p>Confirmation of the update to the central systems will be advised as a new Claim Event Notify to all carriers participating on the claim.</p>
WB-FR014	<p>The new Claim Response service request schema must enable the following transaction response combinations:</p> <ul style="list-style-type: none"> <li>• Lloyd's Lead</li> <li>• Lloyd's Agreement Party</li> <li>• LIRMA Lead</li> <li>• LIRMA Follower</li> <li>• ILU Lead</li> <li>• ILU Follower</li> </ul>	<p>The same Claim Response request schema will be applied irrespective of participant role and participant bureau. However, the completion, sequencing and validation rules for the schema will alter dependent on bureau and participant role.</p>
WB-FR015	<p>On receipt of a Claim Response service request, central systems will apply the Market validation rules (in accordance to the requesting Carrier's participant role and bureau). Failure to meet validation requirements will result in an Update Request error.</p>	<p>See Part F for Claim Response service Operational Behaviours for interaction in the event of a validation failure.</p>

Ref	Description	Comments
WB-FR016	<p><b>New DRI: Repository Upload service</b></p> <p>A new Repository Upload service is required to enable Carrier systems to upload a document to a specific claim folder on the IMR.</p>	<p>The service will utilise the infrastructure established to enable London Market brokers to upload documents to the IMR.</p> <p>Carriers must be a participant on the claim.</p> <p>Where required, Carriers can specify entities that will have access to the document once it has been uploaded to the IMR.</p>
WB-FR017	<p><b>DRI: Repository Search service</b></p> <p>A Repository Search service is required to enable Carrier systems to search a document from central systems and to then eventually invoke the Repository Download service.</p>	<p>The service will utilise the existing IMR DRI Repository Search functionality.</p> <p>The search will return a list of documents matching the search criteria that the requesting carrier has view rights to on the IMR.</p>

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## 3 CONSIDERATIONS

### 3.1 Transition

At the point that a Carrier adopts the Write Back service they may be a participant on one or more open claims, each of which will have one or more open transactions against them on the central systems but have not been notified via Write Back. For these transactions, the Carrier systems will not have complete and up to date business information or documents.

Carriers will only receive a Claim Event Notify when an activity occurs against that claim on the central systems and then only for the transaction on the claim that the activity took place. Therefore, there is a chance the Carrier system records for the claim may be incomplete or out of date.

Carriers can use the Retrieve Claim Data service to request the most up to date information about any claim transaction requiring action, not just transactions where a Claim Event Notify has been received.

This service is offered to support the following scenarios:

- (1) Where the Carrier receives a Claim Event Notify request message for a transaction and the Carrier requires further information about prior transactions on the claim in order to respond to the current active transaction (e.g. to view the comments and documents attached to the prior transactions).
- (2) Where the Carrier receives a Claim Event Notify request message but is unable to respond to the message because a prior transaction is in an open state.
- (3) Where the Carrier is added as an Agreement Party to an existing claim and now needs to view the full transaction history.

**The service is designed for exception scenarios only. It is not designed to be used as a mechanism for mass migration of all historical claim information into a Carrier system.**

### 3.2 Conflicts of Interest

#### 3.2.1 Notifying Conflicts of Interest

The Claim Event Notify request and the Retrieve Claim Data Service will include an indicator to inform the Carrier if a conflict of interest has been invoked on the organisation. The services will not include an indicator where there are individual conflicts.

#### 3.2.2 Declaring or Revoking a Conflict of Interest

Invoking or revoking a conflict of interest at individual and organisational level on the central systems will follow current Market procedure. Claims adjusters will be required to log on to

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the central system or contact Xchanging (whichever is appropriate) to invoke / revoke a conflict of interest. Claims adjusters will not be able to declare or revoke a conflict of interest through the Write Back services.

Conflicts of interest updates on central systems will not be notified to Carriers as this is not classed as a “notifiable event” (see Part B: Claim Event Notify Appendix A for details). The exception is where the update results in a change in lead. In this case, all Carriers in the affected bureau will be notified.

### **3.2.3 Implications of a Conflict of Interest on Write Back Services**

#### *Individual Conflicts of Interest*

Central system Claim Event Notify, Retrieve Claim Data responses and Repository Download responses will not vary in the event of individual conflicts of interest having been declared for users within the Carrier organisation.

Individual user access on Carrier systems to business information and documents conveyed by central systems to these systems must be managed by the carriers’ system.

#### *Organisational Conflicts of Interest*

In the event of an Organisational Conflict of Interest:

- Full claim business information will be sent
- The list of matching documents will not be sent.

#### *Implications for Carriers and their Solution Providers*

As part of the implementation of the Write Back suite of services, Carrier solution providers should:

- Implement within their system a security model which replicates the business rules regarding access to business information and documents in the event of individual or organisational conflicts of interest.
- Provide the functionality required to allow Carriers to invoke and revoke individual conflicts of interest within their system in accordance with Market rules for invoking and revoking conflicts.

## 4 DOCUMENT CONTROL

### 4.1 Document Information

<b>Prepared by:</b>	Clarissa Montecillo, Kajal Bhardwa
<b>Project Manager:</b>	Patrick Bergin
<b>Programme Manager:</b>	John Philips

### 4.2 Revision History

Version	Date	Author	Description
0.1	12/08/2014	Clarissa Montecillo	Initial Draft issued to the Working Group.
0.2	02/09/2014	Clarissa Montecillo Kajal Bhardwa	Changes made throughout to align with adoption of richer Claim Notify Changes made throughout to align with adoption of DRI for sharing documents. Version inclusive of data definition for each of the Web Services
0.3	18/09/2014	Clarissa Montecillo Kajal Bhardwa	Document split into sections.
0.4.1	22/09/2014	Clarissa Montecillo Kajal Bhardwa	Minor changes based on feedback from Paul Tuvey Update to PARCI list
0.4.2	16/10/2014	Kajal Bhardwa/Parminder Kaur	Updates following market reviews. Removed the underlying service details on Part B through to G as they are covered within each part.
1.0	14/11/14	Kajal Bhardwa	Final signed off version
1.1	15/09/15	Sonal Quadros	Updated to include reference to the reconciliation report specification

2.0	26/11/15	Natasha Bond	Updated to include CR21 EOD Reconciliation Report FS Detail and appendix
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### 4.3 PARCI

The following roles relate to the most recent version of this document as listed in the Revision History above.

PARCI	Project Role	Name	Signature	Date
Producer	Business Analyst	Clarissa Montecillo Kajal Bhardwa		
	Business Requestor	Write Back Working Group (London Market Carrier community)		
Reviewer	Project Manager	Pat Bergin		
	Solution Architect	Chris Hendry, Nitin Jain		
	Sponsoring Architect	Chris Hendry, Nitin Jain		
	Principal Architect	Rob Jillings, John Ticehurst		
	System Manager	David Burnett		
	Test Manager	Simon Taylor		
	Offshore Tech Project Mgr	Tarun Narang		
	Technical Architect	Mark Fillier		

PARCI	Project Role	Name	Signature	Date
Consulted	Business Architect	Victoria Jandrell		
Informed	Configuration Manager	Robin Winfield		
	Enterprise Architecture Mgr	Kiwi Wilkinson		
	Design Team Manager	Stuart Plummer		
	Enterprise Apps Architect	Praveen Nagpal		
	Enterprise Info Architect	David Lee		
	Enterprise Infrastructure Architect	Aaron Goodship		
	Application Lead	Ross Daines		
	Technical Project Manager	Sonia Thakur		
	PMO	Rubina Chaudhry		



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## 5 APPENDIX 1 - ANA-FS WRITE BACK PROJECT EOD RECONCILIATION REPORT (CR21)



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ANA-FS-Write%20Ba