FUJ00001247

4.1.3.3 EPOSS ADMINISTRATION

[R481, R696, R697, R816, R832, R835, R891]

This section describes the range of EPOSS Administration functions:

- Access Control
- Counter Administration
- Office Administration
- The Cash Account
- Reference Data Maintenance
- Training
- Broadcasts and Documents

4.1.3.3.1 Access Control

[R473, R816, R921]

All users are given a level of access to the system, or role, as determined by their responsibilities within the office. For example, counter clerks are limited to serve customer, balance and reconciliation applications, whilst managers are given access to the full range of counter and office administration functions. The structuring of roles is determined by POCL and is documented in the *Access Control Policy.*

Only those (exercising the roles) of the Post Office Manager or deputy can start up the counters from cold. This is accomplished by inserting a read-write Memory Card which holds a post office key value into the smart card reader on the counter whose system unit provides the WAN gateway function. The Post Office Manager authenticates himself to by means of a PIN. The Pathway Key Management System downloads a post office key which is stored (encrypted) in the Memory Card and workstation. Only this action can unlock a workstation's encrypted filestore. The Post Office Manager then introduces the Memory Card to each counter in turn.

To refresh the key on expiry or at another time the Post Office Manager can obtain a new key by signing on at the gateway machine.

To recover from a forgotten PIN or lost or damaged card the Post Office Manager will verbally authenticate himself to the HS Help Desk who will notify him verbally of a (one-shot) key. When entered at the post office this key will trigger the KMS to refresh the post office key.

A similar technique is used for the POCL Emergency Manager/auditor

FUJ00001247

to assume Post Office Manager duties.

4.1.3.3.1.1 PASSWORD USAGE

Each user is allocated a password which is required to be changed at pre-determined intervals (currently one month). The system prompts for a change of password. Users additionally are able to change their own passwords whenever they wish.

A lower-level password may be changed by the office manager if necessary, for example, if a user has forgotten his password.

A similar mechanism to the above is used for POCL auditors, with the result giving access to the Audit screen.

Successful and unsuccessful attempts to log on are recorded by the system. This information is recorded along side the FAD code, counter position and the date and time.

An external visitor, such as the Retail Network Manager can be given access to the system by the office manager.

The possible migration to other methods of user sign-on is the subject of Change Control.

4.1.3.3.1.2 FUNCTION SELECTION

The log on screen is displayed following switch on of the terminal.

The clerk is required to:

- Key unique ID
- Key Password

The system :

- Identifies the current stock unit, if any, that is attached to the user
- Cleans up or recover any information processed prior to any abnormal termination of the user's previous session possibly due to failure and advises the clerk of current status and any actions required to complete the interrupted session in order to obviate one-sided transactions

The user is presented with the main desktop showing:

- Help and Messages - first level functions provided by Riposte
- Serve Customer Functions - allowing all transactions to be completed at the counter
- Counter Administration - allowing stock unit attachment, balancing, transfers and remittances in and out

FUJ00001247

- Office Administration - allowing stock unit and user administration, and cash account production and report generation
- Log Out - ending the user's session at the counter
- Temporary Lock - allowing the user to secure and leave the counter position temporarily. The lock prevents unauthorised use of the absent user's terminal. The lock is removed by the user entering his password

4.1.3.3.2 Counter Administration

[R695]

This section describes the counter administration facilities.

4.1.3.3.2.1 THREE METHODS OF WORKING

The system allows the following post office working methods:

- Individual clerk accountability
- Team working
- 'Sub post office accounting'

These working methods are supported by the following mechanisms:

- Each stock unit can be optionally marked as sharable (i.e. attached to more than one user at a time)
- Each user is restricted to using only one stock unit at a time selected from a defined set

'Sub post office accounting' is the flexible use of combinations of features of the first two methods.

4.1.3.3.2.1.1 Support for Individual Clerk Accountability

This method of working can be achieved by ensuring that any single stock unit is attached to only one clerk at a time. In this environment, stock units would not be marked as sharable.

4.1.3.3.2.1.2 Support for Team Working

The system supports "team working" allowing a stock unit to be attached to more than one user at the same time. The system does not allow stock unit balancing while the stock unit is being shared.

4.1.3.3.2.1.3 Support for Sub Post Office Accounting

The system allow sub postmasters to adopt a combination of individual accountability and stock unit sharing to suit their personal

FUJ00001247

requirements.

4.1.3.3.2.2 SHARING A STOCK UNIT

Sharing a stock unit results when a stock unit is attached to more than one user at one time. When sharing a stock unit a number of users divide the administrative functions between them, e.g., the declaration of cash and stock on hand may be carried out by each user and each declaration represent that user's proportion of the total for the stock unit which is used for balancing purposes. The process for balancing a shared stock unit is discussed in Section 4.1.3.3.2.8, *Stock Unit Balancing*, below.

4.1.3.3.2.3 ATTACH A STOCK UNIT

This allows the user to select a stock unit for his use with the following constraints:

- The stock unit must exist
- The user must not have a stock unit already assigned
- If the stock unit is not sharable it must not be attached to another user
- If the stock unit is not sharable it must be in a balanced state

4.1.3.3.2.4 START A NEW STOCK UNIT BALANCE PERIOD

After attaching a stock unit to a user a new balance period is opened and started. All operations involving the stock unit are included within this balance period until the stock unit is balanced again.

4.1.3.3.2.5 DETACH A STOCK UNIT

This allows the user to relinquish responsibility for the stock unit. The stock unit need not be in a balanced state.

4.1.3.3.2.6 STOCK TRANSFERS

[R807]

Stock can be transferred between stock units in the following way:

- The requesting user, the user receiving the stock, verbally agrees with a sending user on the quantity and value of the stock required
- The sender responds with a 'Transfer Out' confirmation
- The sender gives the requester the agreed items
- The requester responds with a 'Transfer In' confirmation

FUJ00001247

4.1.3.3.2.6.1 Transfer Request

The transfer request is made verbally.

4.1.3.3.2.6.2 Transfer Out

The sender uses the 'TRANSFER OUT' function to input and record the quantity and value for each stock item. When completed a 'Transfer Out' slip is printed by the sender using the counter printer. This process generates transfer out transactions and decreases the stock unit's levels.

4.1.3.3.2.6.3 Transfer In

The requester uses the 'TRANSFER IN' function to input and record the quantity and value for each stock item to be taken in. When this is completed a 'Transfer In' information slip is printed by the requester using the counter printer. This process generates transfer in transactions and increases the stock unit's levels.

4.1.3.3.2.6.4 Transfer Completion

The physical exchange of stock is accompanied by the signing of the 'Transfer Out' receipt by the requester. The sender keeps the signed receipt as proof of the transaction.

4.1.3.3.2.7 REMITTANCES

Stock, including cash, remittances occur:

- Between two outlets, when one outlet requests a replenishment of stock from another nearby
- When an outlet orders stock or receives stock routinely
- When an outlet returns stock

[DN: The procedures by which remittances to or from non-automated locations are handled is to be confirmed.]

4.1.3.3.2.7.1 Remittances In

An automated receiving outlet confirms the receipt of items using the 'Remittance In' function. It uses the 'REMITTANCE IN' function to enter the quantity and value for each stock item that has been received. When this is completed a 'Remittance In' slip is printed. This process generates Remittance In transactions and increases the stock levels. In a non-automated office this process and the production of the 'REMITTANCE IN' slip is handled manually.

FUJ00001247

4.1.3.3.2.7.2 Remittances Out

An automated outlet or CRU uses the 'REMITTANCE OUT' function to enter the quantity and value for each stock item. When completed a 'Remittance Out' slip (i.e. consignment note) is printed. This process generates remittance out transactions and decreases the sender's stock levels. In a non-automated office this process and the production of the 'REMITTANCE OUT' slip is handled manually.

4.1.3.3.2.7.3 Remittance Completion

The physical receipt of stock is completed by the signing of the 'Remittance Out' slip by the receiving outlet. This may be sent to the sending outlet or CRU as proof of the transaction according to POCL practice.

4.1.3.3.2.8 STOCK UNIT BALANCING

[R695, R837]

Stock unit balancing is the process of reconciling the user's current stock unit contents against the transactions completed and the opening stock unit contents. Each stock unit must be balanced at the end of the Cash Account period, traditionally a week. The system imposes controls such that mandatory reports are produced before 'roll-over'. At this point the stock unit is rolled-over to the next Cash Account.

In addition to this compulsory balancing, a stock unit may be balanced at any time during the Cash Account. Specifically the user balances an unshared stock unit at the end of the duty period. A shared stock unit cannot be balanced whilst it is still being used for sharing. The stock unit is balanced by the last user to be attached to the stock unit.

The system produces a 'Stock Unit Balance' report providing a summary of the clerk's activity during the balance period. A copy of this form is also used as the office balance form and this is the amalgamation of all counter balance forms in a Cash Account.

Individual till balance reports are produced for shares of shared stock units. These reports are printed on the counter printer.

Formats for these reports are provided in the *Horizon OPS Reports & Receipts* specification.

Although balancing is a largely automatic process, the counter clerk must have performed the following activities:

- Confirm all the stock and cash movements (transfers and remittances)
- Declare actual cash in hand

FUJ00001247

- Declare actual stock in hand

4.1.3.3.2.8.1 Declare Stock in Hand

The clerk declares the actual physical stock unit contents for particular (composite) stock items by either declaring or adjusting the amount of stock on hand. For shared stock units, adjustments may only be made when the clerk has unshared access to the stock unit. The system maintains a record of all stock items. If there is any difference between the actual stock declared and the stock as maintained by the system, this is an indication that one or more errors have occurred and an adjustment may be necessary.

4.1.3.3.2.8.2 Print Stock in Hand Report

This facility produces a printed report of all stock items within the stock unit.

4.1.3.3.2.8.3 Declare Cash in Hand

[R814]

The clerk verifies the actual physical cash in hand in the stock unit by denomination, (including coins). If there is a difference between the total maintained by the system, this is an indication that one or more errors have occurred and an adjustment may be necessary.

4.1.3.3.2.8.4 Daily Cash Locked Up

The system provides an optional function 'Declare Cash in Hand' for use at the end day for all stock units. This information is used subsequently, possibly retrospectively, by POCL to manage the overnight cash holding for the outlet. Such declarations do not update any stock unit cash balance.

4.1.3.3.2.8.5 Produce Balances

The clerk completes one or more trial balances before accepting a balance as final, enabling him to rectify errors prior to the stock unit balance period being closed. The final balance closes the stock unit balance period and allows the detachment of the stock unit.

Discrepancies (losses and gains) identified at the point of balancing are retained within the stock unit. A balance may be accepted as final provided that there are no negative stock holdings.

4.1.3.3.2.8.6 Declare Losses and Gains

The system identifies losses and gains as part of the balancing process.

FUJ00001247

4.1.3.3.2.8.7 Clear Losses and Gains

The clerk may clear losses and gains to remove them from the office balance upon resolution of any queries.

4.1.3.3.2.8.8 Dormant and Resting Stock Units

[R814, R815]

Stock units which have had no traffic during the balancing period and stock units which are not attached to a user at the time the office is balanced are consolidated on the basis of their last-balanced position.

[DN: Whether a dormant stock unit for which a revaluation is required is prevented from being rolled over without opening is to be defined.]

4.1.3.3.2.8.9 Adjustments

[R695, R549]

Adjustments may be made to rectify individual transactions or can be non-transaction specific in their nature.

This process of reversing transactions is also described in Section 4.1.3.1.12, *Reverse a Transaction*. The clerk may reverse transactions that are reversible. Any reversal does not result in transaction information in the journal being amended but causes the insertion of additional compensating and correcting transactions. All reversible transactions may be reversed at any time during the Cash Account period unless specifically prohibited, for example, APS transactions already notified to the Client.

4.1.3.3.2.9 DISPLAY AND PRINT REPORTS AND CLIENT SUMMARIES

[R696]

The office print-previews and prints reports and Client summaries required using data extracted from the stock unit and user as well as by day, time and date. The formats of reports are specified in the *Horizon OPS Reports & Receipts* specification.

4.1.3.3.2.10 AP CLIENT TRANSACTION CUT-OFFS

[R890]

This facility declares a cut-off time by transaction type and client. This effectively sets a watershed marker indicating the production of the transaction summary reports and the physical despatch of paperwork to the AP Client. EPOSS restricts, or strictly controls, the opportunity to rectify errors which have already been included in the information despatched.

FUJ00001247

4.1.3.3.2.11 END OF DAY

The effect of the End of Day process is to allow a set of activities that must occur on a daily basis. This function allows activities such as Daily Cash Locked Up and Client Transaction Cut-Offs, which are prerequisites to End of Day, to occur.

The aggregate of Daily Cash Locked Up for the office as a whole is available for postmaster information.

ROLL-OVER[R814, R815]

The final balance period for the stock unit in the Cash Account period is identified through the Roll-over function. The next balance period for this stock unit is 1 (one) in the subsequent Cash Account. The last set of balance information for each stock unit at roll-over, plus a subset of data from previous balance periods since the last roll-over, is used to produce the office balance and the Cash Account report.

Roll-over can only be applied to a stock unit which is in a balanced state and for which mandatory reports have been produced. This means that it has been balanced and that no subsequent operations involving customer serving, stock transfers, reversals or other activities which would imbalance the stock unit have occurred.

A stock unit cannot be rolled-over while it is being shared. All but the last sharer of a shared stock unit must detach from it in order that it can be balanced and rolled-over.

Dormant and resting stock units are by definition in a balanced state and must be rolled over.

The generic rules for ordinary operation and detailed exceptions conditions is defined in *Day-in-the-Life-of Analysis of Clerk Cycles*.

4.1.3.3.3 Office Administration

This section describes the office administration functions generally completed by the office manager or deputy including those functions used when setting up the office.

4.1.3.3.3.1 USER MAINTENANCE

4.1.3.3.3.1.1 Add User

This allows new users to be included within the system. The information about each user includes the Name, ID and privilege level.

4.1.3.3.3.1.2 Remove User

This allows the user to be removed from the system.

FUJ00001247

4.1.3.3.3.1.3 Modify User Details

This allows existing user's details to be changed. The user's use of the system is disabled whilst details are being modified.

4.1.3.3.3.2 STOCK UNIT MAINTENANCE

4.1.3.3.3.2.1 Add Stock Unit

This allows new stock units to be introduced into the system. Each stock unit has a unique ID, and / or name and an access level.

4.1.3.3.3.2.2 Remove Stock Unit

This allows stock units to be removed or deleted from the system. A stock unit can only be removed if it is not in use and is empty.

4.1.3.3.3.2.3 Modify Stock Unit

This allows a stock unit's details, such as access levels, to be changed. Such changes may be applied only if the stock unit is in an appropriate state. It can be suspended without deleting it from the system.

4.1.3.3.3.3 ATTACH/DETACH A STOCK UNIT

This allows a selected stock unit to be attached to a selected user at the counter. This is similar to the counter administration function and is provided here for convenience.

In the event of the unavailability of the counter clerk, for example due to sudden illness, the facility is available to allow an authorised user to detach the stock unit and reattach it to another user.

4.1.3.3.4 The Cash Account

[R819, R834]

The Cash Account is a definitive summary of all of the business transacted at the Post Office during the Cash Account period, traditionally a week. The production of the Cash Account can only occur after all activities in that Cash Account have been completed.

The Cash Account production process can be carried out on the data collected for one Cash Account following balancing of the stock units, whilst these are being used to serve customers in the next Cash Account.

The pre-Pathway systems utilise three styles of Cash Account: London, Provincial and CRU. The Pathway solution provides for the merging of the London and Provincial styles.

FUJ00001247

The requirement is for the Cash Account to be produced in both printed and electronic forms. The latter is also transmitted from the office to TIP.

The production of the Cash Account follows the successful completion of the office balance. Unclaimed Payments and Uncharged Receipts and Error Notices are derived and added.

Error Notices are treated as a class of tradeable products and enter the Cash Account as a result of a buy or sell transaction.

4.1.3.3.4.1 OFFICE BALANCE (WEEKLY CASH BOOK)

[R808]

The office balance is analogous to the weekly cash book used in sub-post offices. For the purposes of this document the weekly cash book is considered to be equivalent of the office balance.

The production of the office balance is a precursor to the production of the Cash Account. Essentially the office balance is an amalgamation of all the individual stock unit balances within the cash account. In order to produce the office balance all stock units must have been balanced and “rolled-over” to the next cash account week.

A facility to reconcile non-value items with unique serial numbers by volume and within stock unit is provided.

A suspense account allows entries that cannot be resolved until after the Cash Account to be carried forward

The system provides an office level snapshot, at any time, of transactions, cash and stock levels across all stock units. The same facility is available to provide an instant snapshot of the transactions and contents of any single stock unit. These snapshots relate to an instant in real time. They neither place any constraint on operations nor take into account work in progress .

4.1.3.3.4.2 NON-ACCOUNTING DATA

[R838]

EPOSS allows a class of transactions to be processed which may, or may not, affect the office balance, but the data for which is required for management information. Examples are zero value transactions for Clients, or local schemes where only volumes and not value are collected. The associated journal entries are disregarded when accounting for the office but are destined to be used in management information at the centre, particularly in Remuneration calculations.

FUJ00001247

4.1.3.3.4.3 END OF ACCOUNT

The Cash Account report may be reviewed for completeness and accuracy prior to its acceptance. The acceptance of the Cash Account report allows the selection of an "end of account" function. This "rolls-over" the office to next Cash Account and makes figures available to subsequent processes such as Remuneration.

4.1.3.3.4.4 ACCOUNTING ADJUSTMENTS

This function allows an authorised user to apply adjustment transactions as required for the office balance process

4.1.3.3.4.5 TRANSACTION REVERSALS

[R804, R805, R812]

A facility is provided to allow the reversal of transactions.

The user, clerk or office manager, selects the stock unit balance period and browses the transaction journal in order to find and select the transaction for reversal. The scope of the browsing may be parameterised to locate entries more easily. Additionally the reversal may relate to no specific transaction. A loss or gain transaction may need to be generated to account for any cash (or other MoP) involved in the transaction. The stock unit balance report and any client summary needs to be re-printed to reflect the reversal.

If the AP transaction has already been despatched from the office then it is not reversible. The error will probably result in the receipt of an error notice from the Client.

Note

There is a distinction between a reversal for accounting corrections, such as the loss of a foil or stub, and a reversal due to a transaction refund (for example, when a customer changes his mind).

[DN: Whether a reversal for a transaction from a previous balance period should be prevented is to be determined.]

4.1.3.3.4.6 STOCK RECORD ADJUSTMENTS

[R802, R813]

Stock level modifications for value stock and MoPs do not require transactions to be reversed or created, but are effected through the stock and cash declaration functions, see above.

4.1.3.3.4.7 OFFICE REPORTS

[R696, R837]

FUJ00001247

This allows the print-preview and printing of office daily and weekly reports.

4.1.3.3.4.8 REVALUATIONS

Revaluation of value stock, and varieties of cash which can assume different values, occurs automatically as a result of the next stock or cash declaration after associated Reference Data becomes applicable. At the time that a clerk attaches to a stock unit, the clerk is prompted to accept or adjust the stock item or items that are subject to revaluation. Transactions which occur before such new Reference Data becomes applicable are accounted for at the prior value.

The balancing implications of these operations is defined in the *EPOSS Functional Specification.*

4.1.3.3.5 Reference Data Local Maintenance

[R818, R838]

Reference Data to steer processing for local scheme products is maintained from the centre as described in Section 4.1.5.3.2.1.5 *Configuration Management for Outlets*.

[DN: A change to R818 is required.]

4.1.3.3.5.1 MAINTAIN OFFICE DATA

[R538, R806]

This facility is to allow controlled modifications to be made to the office data for administrative purposes, although POCL do not utilise these facilities. Note that office date and time is maintained centrally.

4.1.3.3.5.1.1 Office Details

These details may not be modified locally.

4.1.3.3.5.1.2 Cash Totals

This function allows for the recording of the Daily Cash Locked Up by denomination.

4.1.3.3.5.1.3 Balance / Daily Cash Book Printing Options

These options may not be modified locally.

4.1.3.3.5.1.4 Cash Account Dates

The cash account calendar, including the cash account week numbers, is published by The Post Office. However, it is necessary to allow

FUJ00001247

some local flexibility such as a multi-week cash account for when the sub postmaster goes on holiday and cannot balance his office until he returns.

4.1.3.3.5.1.5 Preferences

Preferences may not be modified locally.

4.1.3.3.6 Training Mode

[R531, R532, R533, R534, R833, R949]

For training purposes, EPOSS provides a built-in training mode which:

- Allows the serving of (imaginary) customers for all customer transactions
- Allows all operations used in accounting and balancing of a stock unit
- Is generally functionally indistinguishable from normal operation, except that a clear indication is permanently provided that training mode is in use
- Records all counter operations and transactions
- Can be used at any time by any user (including a live post office environment)
- Allows the production of receipts and reports

The EPOSS application provides an effective training mode through the implementation of “training” stock units and segregates these from operational stock units and the normal office accounting processes.

Some limitations to training mode may be necessary in relation to APS where there would otherwise be an update of a portable token.

Training transactions and any subsequent analysis are not accounted within the scorecard.

4.1.3.3.6.1 TRAINING STOCK UNIT

All stock units have a *Type* attribute. A normal stock unit has its *Type* set to “Normal”, but a training stock unit is set to “Training”.

4.1.3.3.6.2 WORKING IN TRAINING MODE

To activate training mode, the user simply has to attach to a training stock unit instead of a normal one. When this is done the system is automatically set into training mode.

Pathway specifies a training “role” which allows attachment only to

FUJ00001247

training stock units.

4.1.3.3.6.3 EXITING TRAINING MODE

To exit training mode, the user just detaches from the training stock unit.

4.1.3.3.6.4 CREATING TRAINING STOCK UNITS

The system has a default set of training stock units on installation. The number and contents of each training stock can be tailored to suit the individual office environment using the office administration functions.

4.1.3.3.6.5 INDICATING TRAINING MODE IS ACTIVE

Since the training mode operation is intended to be functionally identical to normal operation a clear and permanent indication is given to ensure that the user is aware that training mode is active.

In training mode the screen background is a different colour from normal operation. and the word “TRAINING” is permanently displayed in large type inset in to the background. Any stock unit level reports are marked “TRAINING”.

4.1.3.3.6.6 TRAINING MODE COUNTER OPERATION

Counter functionality which involves the use of a stock unit continues to operate in the same way for a training stock. Exceptions to this are those operations which involve other stock units, such as stock transfers. Such functions only operate between training stock units.

4.1.3.3.6.7 EXCLUDING TRAINING FROM ACCOUNTING

The office accounting, balancing and reporting process automatically detects and excludes training mode transactions.

Training data can be analysed to provide information about the use of training mode within a post office.

4.1.3.3.6.8 USING TRAINING DATA

Some transactions involve the use of centrally distributed data. For example, BES uses payment authorisation data distributed by PAS via TMS.

The use of centrally distributed test data for these transactions is useful for testing and training. This data can be used in combination with a training stock unit to provide a very effective training environment.

FUJ00001247

4.1.3.3.6.9 HOW TMS HANDLES TRAINING TRANSACTION DATA

Transaction data recorded during training mode is marked as such so that TMS can isolate it and handle it effectively. This data can be analysed at TMS level to provide information about the use of training mode within the post offices.

4.1.3.3.7 Broadcasts & Documents

[R471, R481, R482, R483, R484, R485, R486, R896, R913]

4.1.3.3.7.1 BROADCASTS

Using TMS and OPS it is possible to broadcast short messages, up to 2Kb, to all or a subset of outlets.

The user is prompted that messages are outstanding by an indicator on the top of his screen. On selecting the appropriate icon the user is presented with a list of messages with an indicator showing whether they have been read.

Each counter position accesses these messages and selectively opens and views messages. Reading a message is recorded in the journal. The message is capable of being printed on the back office printer.

The means by which such broadcast messages are to be prepared, authorised and admitted to the system is defined in the *Pathway to TIP Application Interface Specification*.

4.1.3.3.7.2 DOCUMENTS

Users are able to access electronically held information such as is currently published in 'Counter News' and in the operations manuals.

A general facility which enables these and other documents to be viewed locally is provided. Documents are supplied in a suitable format (e.g. HTML, RTF/Microsoft Word). Access to these documents is via an application from the user's desktop.

This facility may be used to access *Process & Procedures Document.* This covers all aspects of EPOSS counter transactions and administration and is a maintained document approved by POCL.