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Document Type: Operations Manual

Abstract: Details of the Customer Services processes and procedures performed to provide the Pathway solution

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0 Document control

0.1 Document history

Version	Date	Reason
0.1	1/5/98	Working draft
0.2	1/7/98	New material incorporated suggested by P Burden.

0.2 Approval authorities

Name	Position	Signature	Date
S. Muchow	Director Customer Services		

0.3 Associated documents

Reference	Vers	Title	Source
	0.3	Horizon Service Review Forum	PDA
CS/PRD/0010	0.1	Horizon User Satisfaction Surveys	ICL Pathway
CS/PRD/0011	0.1	Service Visit Record Process	ICL Pathway
CS/PRD/0013	0.1	BPS Card and PUN Production and Distribution Process	ICL Pathway
CS/PRD/0014	0.1	BPS Temporary Token Production and Distribution Process	ICL Pathway
CS/PRD/0015	0.1	BPS Card Receipt and Issue at Post Office	ICL Pathway
CS/PRO/0033	0.2	Management Care Visits	ICL Pathway
CS/PRO/0047	0.1	Payment Card Helpline Processes and Procedures	ICL Pathway
CS/PRO/0048	0.1	Horizon System Helpdesk Processes and Procedures	ICL Pathway

0.4 Abbreviations

APS	
BA	Benefits Agency
BIA	
BPS	
CAP	Customer Accounting and Payment Strategy
CMS	Card Management Service
CS	Customer Service
DLR	De La Rue Card Systems
DSS	Department of Social Security
EPOSS	
EVP	Extended Verification Procedure
FAD	Financial Accounting Division (of the Post Office)
GRI	
HSH	Horizon System Helpdesk
ICL	International Computers Limited
ID	Identity
IT	Information Technology
ITSA	Information Technology Services Agency
MCVP	Management Care Visit Process
NINO	
NSI	
OBCS	
OSP	One Shot Password
PAS	Payment Authorisation Service
PCHL	Payment Card Helpline
PDA	
PO	Post Office
POCL	Post Office Counters Limited
PUN	Pick Up Notice
RPOI	
SHD	
SLA	
SVR	Service Visit Record
TIP	

POL00393875

0.5 Changes in this version

Addition of new information.

0.6 Table of content

POL00393875

1

Introduction

The objective of this manual is to provide details of the operations performed by ICL Pathway Customer Service - Customer Service in support of the Customer.

2 Scope

Operations described in this manual apply only to the Customer Service area of CS, as follows:

- Customer management
- Customer satisfaction
- System service
- Horizon System Helpdesk (HSH)
- Payment Card Helpline
- System Management Centre (SMC)
- Card/PUN production
- Rollout: Cards/PUNs and temporary tokens
- POCL card receipt service

3

Mission and vision

<information needed>

4

Overview

4.1 Areas of responsibility

The areas of responsibility of the Customer Service Unit are:

- Customer management
- Customer satisfaction
- System service
- Horizon System Helpdesk
- Payment Card Helpline
- System Management Centre
- Card/PUN production
- Rollout: Cards/PUNs and temporary tokens
- POCL card receipt service

4.2 Principles

The principles by which the Customer Service Unit works are:

- <information needed>

4.3 Objectives

The objectives of the Customer Service Unit are:

- <information needed>

5

Customer Management

5.1 Horizon Service Review Forum

This section outlines the agreed terms of reference for the Horizon Service Review Forum.

The nature, extent and associated performance of the services provided by ICL Pathway are specified in the Related Agreements. These contracts must always be used as the definitive source of information and interpretation of the contracted service.

At a lower level, the DSS, POCL and ICL Pathway have jointly developed a Service Management Framework to support working level co-operation and day to day control of the live service environment. The framework establishes a structure of core functions and control mechanisms to underpin the effective management of an end to end service.

The Horizon Service Review Forum is a key element of the overall Service Management Framework.

5.1.1 Horizon Service Review Forum

The Horizon Service Review Forum provides a regular opportunity for senior managers from the DSS, POCL and ICL Pathway to meet, review and discuss the overall performance of ICL Pathways systems and services in the live environment.

The forum is a tripartite event to provide focus upon the mutual interests of the DSS, POCL and ICL Pathway. However, from time to time there may be separate review meetings between the DSS or POCL and ICL Pathway to review and discuss matters of exclusive interest, for example, AP and EPOSS services.

The Horizon Service Review Forum is concerned with maintaining satisfactory levels of service at an operational and practical level. Separate forums exist to consider, decide upon and escalate matters of a contractual/commercial nature, that is, the Contract Administration Groups and Contracts Steering Group. If any contractual or commercial issues do arise at the Horizon Service Review Forum, the details are noted and referred on to the appropriate forum for consideration, discussion and determination.

5.1.2 Context of Meetings

The Horizon Service Review Forum addresses all facets of the ICL Pathway contracted services, primarily focusing upon

1. Review of Performance Reports and relevant Management Information Statistics (MIS).
1. Quantitative and qualitative assessment of the services.
1. Review of major incidents and/or significant outstanding problems.
1. Matters escalated from the DSS or POCL internal Service Review processes.
1. Review of impending changes or enhancements to the live service environment.
1. Development and monitoring of service improvement initiatives.
1. Implementation Requirements (non Roll-Out)

A typical agenda for the Horizon Service Review Forum appears in the *DSS Agreement Schedules D5 & E5 and POCL Agreement Schedules D5, E5, F5, G7, H5*

5.1.3 Frequency of Meetings

5.1.3.1 Each Month

It is recognised that the Related Agreements formally provide for quarterly Service Review meetings. However, for the time being it is anticipated that the Horizon Service Review Forum will meet on a monthly basis. This reflects the early and evolving state of the live environment. The monthly meeting will normally be within 10 working days of ICL Pathway publishing their Performance Reports and MIS data. Other meetings may be arranged on an ad-hoc basis.

5.1.3.2 Every Third Month

Prior to each third monthly meeting, ICL Pathway will also provide information about the level of any remedies applicable during the preceding service period. The circumstances which have given rise to the performance deficiencies will be considered at the Horizon Service Review Forum and output in the form of a report to the Contract Administration Group(s).

5.1.4 Attendees

5.1.4.1 DSS and POCL

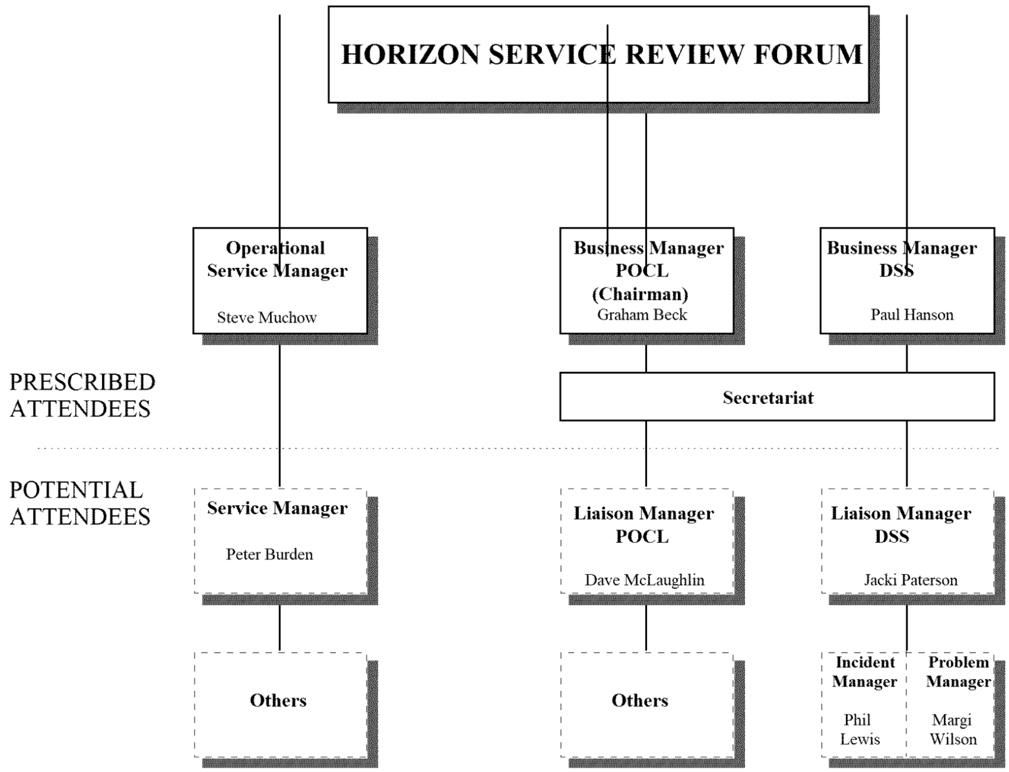
Both the DSS and POCL have each appointed/empowered a Business Manager and Liaison Manager to undertake Service Management functions. The respective roles and responsibilities of these individuals are detailed in the *DSS Agreement Schedules D5 & E5 and* POCL *Agreement Schedules D5, E5, F5, G7, H5.* The Business Manager(s) will attend the Horizon Service Review Forum and may be accompanied by other DSS/POCL personnel as necessary.

5.1.4.2 ICL Pathway

ICL Pathway will appoint/empower an Operational Service Manager, Service Manager and Service Help Desk Manager to undertake Service Management functions The respective roles and responsibilities of these individuals are detailed in the *DSS Agreement Schedules D5 & E5 and POCL Agreement Schedules D5, E5, F5, G7, H5*. The Operational Service Manager will attend the Horizon Service Review Forum and may be accompanied by other ICL Pathway personnel as necessary.

5.1.5 Current Constitutions

The present constitution of the Horizon Service Review Forum is as shown in the block diagram that follows.



5.1.6 Relationship between the Horizon Service Review Forum and Contract Management Groups

The Horizon Service Review Forum supports and informs the Contract Management function. The forum has no authority to take decisions of a contractual or commercial nature. The associated Contract Management function is outlined in Schedules A4 to the Authorities Agreement, DSS Agreement and POCL Agreement.

The Horizon Service Review Forum provides reports to the Contract Administration and Contracts Steering Groups for contract monitoring purposes and the consideration or determination of any contractual issues. In particular, the Contract Administration Groups considers the overall performance of ICL Pathway services for the purpose of invoice authorisation and the application of remedies where appropriate.

5.1.7 Preliminary Activities

Following receipt of the ICL Pathway monthly Performance and MIS reporting pack both the DSS and POCL conduct their own internal Service Review meetings. Separate terms of reference exist within each organisation for these forums. In general, the meetings provide an opportunity for representatives from a variety of business units and working groups in the DSS and POCL to:

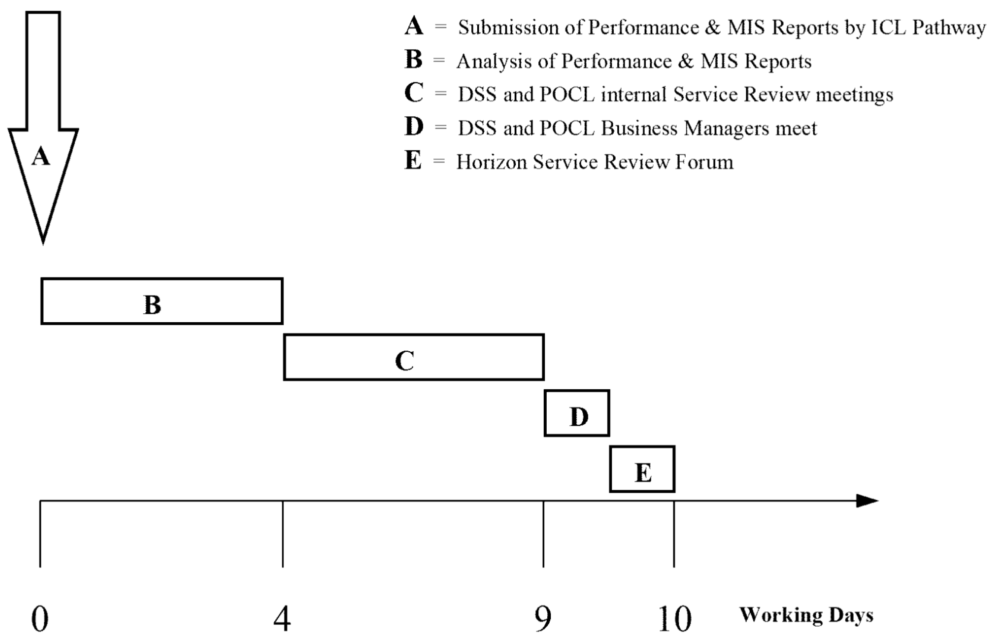
1. Review the ICL Pathway performance and MIS reports
1. Discuss the prioritisation, progress and resolution of outstanding problems
1. Facilitate operational feedback about the contracted services
1. Review Service Management processes and procedures
1. Identify improvement opportunities

POL00393875

The internal Service Review meetings are normally chaired by the respective Liaison Managers and the ICL Pathway Service Manager is usually invited to attend. Counterparts from the other organisations Service Management team may also be invited on a regular or ad hoc basis. The full Horizon Service Review Forum provides a primary route for the escalation of matteres that cannot be resolved at the DSS and POCL internal Service Review meetings

Following the internal Service Review meetings the DSS and POCL Business Managers are briefed by their respective Liaison Managers. Subsequently, the two Business Managers will meet in advance of the full Horizon Service Review Forum to highlight and discuss matters of mutual interest or concern.

The target timeframe for preliminary activities leading up to the Horizon Service Review Forum is shown in the following diagram.



6

Customer Satisfaction

The customer satisfaction functions of Customer Support are concerned with the following:

- Service Visit Record (SVR) cards
- Satisfaction surveys, and
- Management care visits

6.1 Service Visit Records (SVR) cards

This section defines the procedure by which Service Visit Records (SVRs) are distributed to Horizon users, that is, Postmasters or Sub-Postmasters. The feedback card allows the Postmaster to comment briefly on the quality of the service provided by an engineer during his visit, including any related contact through the Horizon System Helpdesk (HSH). The card is then received, analysed and action is then taken by ICL Pathway according to the content of the card.

6.1.1 SVR Production

ICL Pathway are responsible for the initial design and production of the SVR, plus any subsequent updates or amendments. A sample SVR is given at the end of this section.

The feedback section of the SVR is reply-paid. The Royal Mail invoice Pathway for the cost of the reply-paid service.

6.1.2 SVR Distribution

6.1.2.1 Within ICL

ICL Pathway arrange for batches of SVRs to be printed and then provide them to the SORBUS SVR Co-ordinator for distribution to their engineers.

ICL Pathway process new orders for batches of SVRs on request by the SORBUS SVR Co-ordinator.

6.1.2.2 Within Post Offices

Each time a SORBUS engineer visits a Post Office, he completes the front sheet of the SVR and obtain a signature from the Postmaster verifying irs content. The engineer then retains the top copy, leaving a copy of the SVR and attached Feedback Card with the Postmaster. The Postmaster should keep the SVR copy for his records and then complete the feedback card and return it to ICL Pathway.

SORBUS and CFM have a similar internal procedure for handling the SVRs that complements the ICL Pathway procedure described here (see document Reference ICLS/PATHWAYUKSS).

6.1.3 SVR Analysis

The Feedback Card asks seven brief questions about the service provided by SORBUS or CFM. Against each question the Postmaster need only tick a box for Yes, No or, where relevant, N/A. There is also space for brief comments. Each card has a unique serial number.

When returned to ICL, the card is received in the central mail room of the ICL Pathway office in Feltham (FEL 01). It is then delivered to the Customer Service department and passed to the Customer Satisfaction Manager for entry into a database, which is updated daily.

The database holds all the information from the feedback cards, as follows:

Unique serial number	
Date	Call No.
Contact Name	Position
Post Office	FAD Code
Postcode	Tel No
Service Provided by	Service Unit
Arrival	Completion
Yes, No or N/A response against each of the seven questions	
Free text comments or suggestions	

The free text comments may relate to SORBUS engineers or the HSH.

There is a field in the database for SORBUS or HSH responses, for actions taken by them, plus a date column for when the response was received from them.

A field entitled Action Required is also available to help the ICL Pathway Customer Satisfaction Manager note any additional actions required.

6.1.3.1 Individual Card Analysis

Immediately after entering the data from each feedback card into the database, those which show one or more No responses to any of the questions, or have negative comments/ suggestions, are electronically extracted and converted to a Word document as a single SVR. These are sent to the SORBUS SVR Co-ordinator, or the CFM Horizon System Helpdesk Manager, according to who the particular issue relates.

SORBUS or CFM then investigate the issue and takes appropriate corrective action, in accordance with their own internal procedure. This includes contacting the Postmaster directly to obtain further details. Once resolved, SORBUS or CFM should contact the Postmaster to confirm resolution of the issue.

Details of the cause of the issue and the action taken are entered on the electronic SVR, and noted as complete. The completed SVR is then returned electronically to ICL Pathway Customer Satisfaction by the SORBUS SVR Co-ordinator, or the CFM Horizon System Helpdesk Manager, within 10 working days of receipt. For issues of a more serious nature, best endeavours must be made to return the completed electronic SVR within five working days.

The ICL Pathway Customer Satisfaction Manager then updates the database with details of the returned, completed SVRs.

The ICL Pathway Customer Satisfaction Manager must contact either the SORBUS SVR Co-ordinator or the CFM Horizon System Helpdesk Manager, immediately, if an SVR is not completed within 10 working days, to establish the reason for the delay and to agree a satisfactory method of resolution.

6.1.3.2 Top Level Analysis

Routine, monthly analysis is performed giving basic statistics, as follows:

1. Percentage of feedback cards returned compared with total visits made. A figure for the total number of visits made in the month is obtained from SORBUS

and entered onto the spreadsheet.

1. Percentage of positive and negative responses by question.

1. Comments on key areas of satisfaction, or dissatisfaction.

The SORBUS SVR Co-ordinator and the CFM Helpdesk Manager receive a copy of the report every month.

6.1.4 Review Meetings

Review meetingsare held monthly between the ICL Pathway Customer Satisfaction Manager, SORBUS SVR Co-ordinator and CFM Helpdesk Manager.

These meetings are part of a general ‘satisfaction’ review, but specific to the SVR procedure. They ensure that correct procedures are adhered to, that statistics are analysed, that all necessary actions have been taken, that outstanding issues have been dealt with, or that a plan of action is agreed.

6.1.5 Back-up Of Historical Data

Hard copies of the Feedback Cards are filed in numerical order by ICL Pathway and held for a period of six months before they are destroyed.

The electronic data (database) is held on hard disk and backed-up onto diskette. The data is held for three years before being destroyed.

6.1.6 Charitable Donations

ICL Pathway make a donation to charity for every feedback card returned. The amount and charity chosen by ICL Pathway may change from time to time.

SAMPLE SVR

1. Top Sheet

Service Visit Record

Date ____________ Call No. ____________

Contact Name | Position
Post Office | FAD Code
Postcode | Tel No

Service Provided by | Service Unit
Arrival | Completion

Service required/fault details

Action taken

Equipment detail

Type/Bar/Serial (old) ____________
Type/Bar/Serial (new) ____________

Signature____________

(for and on behalf of the customer)

Name____________

(in block capitals please)

TOP COPY - ENGINEER
MIDDLE COPY - CUSTOMER
BOTTOM COPY - ICL COPY

Horizon Customer Service

2. Bottom Sheet

Feedback Card

Date ____________ Call No. ____________

Contact Name | Position
Post Office | FAD Code
Postcode | Tel No

Service Provided by | Service Unit
Arrival | Completion

I am committed to providing you with the best service possible but to do this I need your help. Please take the time to complete this form and in recognition of your reply we will make a donation to charity.

Stephen Muchow

Director - Horizon Customer Service

	YES	NO	N/A
1. Overall were you satisfied with the service provided in response to your call?			
2. When you placed your call was__ adequate help provided?			
3. Were you given an expected time of arrival for the Representative?			
4. Was the estimated time of arrival achieved?			
5. Were you kept informed of the progress of your service call?			
6. Was the service provided in a courteous and efficient manner?			
7. Did the service avoid disrupting your business?			

Comments or suggestions (especially where you have answered No).

0
0
0
1

TOP COPY - ENGINEER
MIDDLE COPY - CUSTOMER
BOTTOM COPY - ICL COPY

Horizon Customer Service

6.2 Satisfaction Surveys

This section defines the Procedure by which Post Office Counters Limited (POCL) Research Department prepare for and carry out User Satisfaction Surveys during the implementation of releases 1b and 1c of the Horizon system. This section also explains how the survey results are documented and reported back to ICL Pathway for action, as appropriate.

6.2.1 Initial Preparation

The basic actions consist of preparing a project plan for all activities, including dates for each task. Also, performing initial Focus events, targeting a small cross section of Users to help compile questionnaires for broader telephone surveys.

POCL Research Services and ICL Pathway meet whenever required during the course of the project to communicate progress or resolve issues. No set dates are established, and the meetings occur as and when necessary. However, results from the Focus Events are presented at the Satisfaction Forum.

6.2.2 The Project Plan

A colour coded plan is produced and maintained by POCL Research Services. It indicates when Go Ahead for the activity is to be approved by the PDA, when the fieldwork is to be expedited and when the results are due.

The above details apply to each release stage of 1b and 1c of the Horizon implementation.

6.2.3 Focus Events

A Focus event is a meeting chaired by POCL Research Services. It is attended by a small number of Postmasters, picked by POCL Research Services, who are at an appropriate stage in the implementation of Horizon. There are normally eight Postmasters at each event. Four Focus events are held in quick succession in towns located within the chosen geographical implementation areas, for example, Bristol and Newcastle.

With input from ICL Pathway a discussion document is assembled by POCL Research Services which is used as an informal script to help ensure all relevant topics are covered during the event. However, the events are designed to allow the Postmasters to air their views on any aspect of the implementation or services of Horizon if they feel it is relevant. It is the Chairman’s responsibility to ensure that all the topics are covered and the meeting keeps to the agenda.

The results of the Focus events will be used to develop a more specific questionnaire which will form a telephone survey of a further 100 Post Office sites.

6.2.4 Telephone Surveys

Using the data gathered during the Focus events, a telephone questionnaire was generated by POCL Research Services. This questionnaire is much more formal, and is performed by an independent, outside agency. The telephone surveys are timed to be carried out once the planned 190 sites for Release 1b have been implemented. The whole procedure, from Focus event to telephone survey, is started from scratch for Release 1c.

6.2.5 Areas Covered By Surveys

The initial Focus events are designed to be informal, but the event should address the following areas:

Communication

User Awareness Event

Training

Survey

Installation and Modifications

Follow up Visits

General: Helpdesks/Documentation/Using the System

These topics will again be used to compile the more scripted telephone surveys.

6.2.6 Survey Results

The results of the Focus events, may themselves indicate problem areas that require immediate and specific corrective action, or areas where customer satisfaction has been particularly positive.

The results of the telephone surveys give a more comprehensive and specific analysis of a much larger cross section of Horizon users. Again these results enable ICL Pathway to pinpoint specific areas of concern or satisfaction and take relevant action.

The ICL Pathway Customer Satisfaction Manager receive the reports of both the Focus event and telephone surveys, and instigate and co-ordinate any required actions.

The Horizon users are contacted with regard to the general results of the surveys and the sort of actions that will be taken, when appropriate.

The appropriate methods of communication with users, suppliers and internally, will be considered on receipt of the survey results.

6.3

Management Care Visits

In order to monitor the user's perception of ICL Pathway's Post Implementation Customer Service, Customer Service manage the Management Care Visit Programme (MCVP). The MCVP involves senior ICL Pathway representatives visiting selected post offices and collecting feedback using a predefined interview pack.

6.3.1 Purpose

The purpose of the MCVP is to monitor the user's perception of ICL Pathway's Post Implementation Customer Service. The interviews allow ICL Pathway to gain an understanding of the user's (Postmasters) problems, concerns, suggestions and good news. Where and when relevant ICL Pathway can act upon this information as an aid to resolving problems, taking pre-emptive action and learning from good news and positive feedback.

This programme is non-contractual, and is managed within the Customer Service department of ICL Pathway.

The MCVP is performed annually, with visits around 500 Post Offices per year after full roll out of the programme (1999 onwards). Until that time a small number of Post Offices will be visited in Q4 of 1997 and around 200 in 1998. Cumulative analysis is carried out internally on a monthly basis, and results published quarterly.

A number of relevant senior ICL Pathway representatives have been selected to carry out the interviews, hereafter known as the interviewers.

6.3.2 Training

The Customer Satisfaction Manager presents the details of the procedure to the interviewers before they have contact with any Post Offices regarding the interviews.

The purpose and the goals of the MCVP are presented. The interview procedure and questionnaire are explained in detail and the interview process is established. All other relevant documentation is presented, and any questions or concerns raised by the interviewers are addressed.

Section 9 of this document is the Interviewer's Summary Guide, which is designed to be copied and used as a reference guide during the interviews.

It is important for the interviewers to understand why each interview must follow a standard procedure, to ensure all results can be fairly compared and a true analysis obtained.

6.3.3 Preparations And Documentation

The interviewers are sent electronic copies of relevant documentation, plus hard copy 'Interview Packs' containing all relevant reference documentation, which should be maintained by the interviewers,. These packs must be taken to the interviews.

The Interview Packs contain the Procedure document (including Interviewer's Summary Guide), Phone Script, sample forms and documents (referred to in the questionnaire), the Questionnaire and the list of Post Offices to be contacted.

Before contacting the Post Offices, the interviewers must familiarise themselves with recent Horizon System Helpdesk call history. The call history should be assessed to check that there is no reason why the Post Offices should not be contacted now to arrange a visit. The decision not to visit a particular post office will be made by the

Customer Satisfaction Manager (or nominated representative).

6.3.4 Arranging Appointments

Once the list of Post Offices has been received by each interviewer, he or she can start to arrange the visits, after first requesting and having the Horizon System call history checked by the Customer Satisfaction Manager.

Details of the Post Offices, FAD Code, Address, Phone Number and Contact Name are supplied to the interviewers. Each list is personalised for each interviewer, only containing the Post Offices to be visited by that interviewer.

The interviewers should first familiarise themselves with the Phone Script (Ref: MCVP 97/script.doc) and then telephone the Post Offices, using the script, to arrange the appointments.

As each visit is arranged details of the Post Office and appointment must be sent to the Customer Satisfaction Manager for entry onto an Appointments Database.

The interviewers must ensure the Post Offices have a contact number and the interviewer's name so that they can contact the interviewer should a problem arise with the arranged appointment. If an interviewer is, in general, difficult to contact they should leave the contact number for the Customer Satisfaction Manager as an alternative.

The interviews should always be arranged at a time to suit the Post Office. This may involve a lunch time, or in some cases an evening meeting. The interviewers should also stress that the interviews need take no more than half an hour, but that there is no time limit applied.

If the interviews are arranged significantly in advance (more than 10 days) the interviewer should contact the Post Office nearer the visit (no more than 2 days before) to confirm it can still go ahead.

It is up to the interviewers to obtain directions to the Post Offices.

6.3.5 The Interview

Before going to the Post Offices the interviewers must familiarise themselves with the questionnaire.

The questionnaire has eleven sections. Before commencing with Section 1 onwards the interviewers should explain a little more about the purpose and objectives of the visit, as stated in the notes on the front sheet of the questionnaire.

Section 1

This section can be pre-filled, where possible, before the interview, to save time. However, all information must be checked with the interviewees before moving on to the next section.

Section 2

The interviewers should gain a very brief understanding of how the implementation of the Post Office went in general. This will not form part of the statistics, but it will help ICL Pathway understand if any implementation experiences have influenced the subsequent views of the interviewees, either positively or negatively.

Sections 3 to 10

All the answers to the questions in these sections are analysed. There is an 'N/A' (Not Applicable) option for each question, but it should be avoided if at all possible. When asking each question the interviewers should read out the positive and negative answer options, and only then offer 'N/A' if it appears unavoidable.

Where 'N/A's are recorded the number of Post Offices that can be analysed against that question is reduced, thus giving a smaller sample of Post Offices' views.

The interviewers must mark the boxes appropriate to the answers given. The interviewers must not suggest answers or influence answers in any way, other than to try to avoid 'N/A' answers where possible. The interviewer must ensure the interviewees understand the questions fully before they answer.

There is an opportunity for the interviewees to comment further on the response given to each question. The interviewers should ask if there are any comments after each question is answered.

It is especially important to get comments when the questions have a negative answer. This helps ICL Pathway to understand the reasons behind the negative comments, and thus enables them to take any possible corrective action, either generically or for a single Post Office, if relevant.

Section 11

This section gives the interviewees a chance to express any concerns, problems or suggestions for improvement to the Horizon system or services. The interviewers should also encourage any positive comments or experiences the interviewees can share. This helps to keep this section balanced.

At this point the interviewers should try to engage general conversation in order to get opinions free flowing and less 'closed' than those given during the questionnaire, but remembering to keep the conversation relevant to the purpose of the interviews, that is, about the service provided after implementation.

Questions such as:

'What else would you want ICL Pathway to do to improve services?

What sort of things do we do well and what sort of things do we need to improve on?'

If the interviewees ask any questions, the interviewers should note them down and explain that they are not in a position to answer any specific questions as part of the interview process. If required an ICL Pathway representative could contact the interviewees at a later time to respond to any specific questions. These questions should be noted down in Section 11 or in the additional notes area.

At the end of Section 11 the interviewers must ask whether the interviewees are willing to be contacted again, if necessary, after the interview results are analysed. The interviewers must delete either the 'willing' or 'unwilling' part of the statement accordingly.

The interviews can then be terminated. The interviewers should remember to thank the interviewees for their time and co-operation, and then leave the premises.

6.3.6 Follow Up Letters

As soon after the visit as possible the interviewers should write to the interviewees confirming the main points of the interview, to ensure there is no future controversy or misunderstanding about the information provided by the interviewees.

The first and last paragraphs of the letter are supplied as a standard. The middle section of the letter is a summary of the interview, as compiled by the interviewers. This does not need to include details about sections 3 to 10 of the questionnaire, but should cover the information provided for sections 1, 11 and any additional notes made.

6.3.7 Feedback Reports

The completed questionnaires and reports must be treated as confidential within ICL Pathway. They must be kept securely until they can be passed on to the Customer Satisfaction Manager, as quickly as possible.

The results of the questionnaires are entered on to an analysis spreadsheet (see document reference MCVP 97/analysis97.xls). The FAD code is used as the unique reference for each completed questionnaire. The hard copies are filed securely in numerical order by FAD code. Any questions, concerns or required actions logged are recorded against the FAD code.

6.3.8 Analysis

Pre-designed graphs reflect Positive, Very Positive, Negative, Very Negative results for each section, from 3 to 10.

A report is produced monthly showing graphs with the cumulative results to date and a brief summary on each section's results. Relevant information from Section 11, and any additional notes, is also summarised. This report is for limited distribution within ICL Pathway.

A quarterly report is produced, similar to the monthly reports, which reflects the cumulative, quarterly results. There will also be further recommendations for action on feedback of note.

Results are formally published internally each quarter. The most appropriate method of publication is decided at the relevant time.

The quarterly report is presented to the PDA, via the Satisfaction Forum.

General publication to all Post Offices is expected to be a brief write-up, using the most appropriate method of publication, which is decided at the relevant time.

Concerns, suggestions or comments which require further action are recorded separately on the spreadsheet as a log for action. The FAD code, name of the Post Office, and details of the comments are noted, and any actions taken can be recorded. The record is kept open until a satisfactory conclusion is reached. The action can then be marked as closed. The Customer Satisfaction Manager maintains and manages the log.

The Post Offices is only contacted to follow up any feedback if they agreed at the interview to further contact and then, only when considered necessary by ICL Pathway.

6.3.9

Interviewer's Summary Guide

Preparation

If there are any outstanding questions or concerns regarding the visits or the procedure, contact the Customer Satisfaction Manager **before** contacting any Post Offices.

You should have received electronically the Phone Script (ref: MCVP 97/script.doc), Questionnaire (ref: MCVP 97/Quest&Report.doc), standard follow up letter (ref: MCVP 97/letter.doc) and MCVP Procedure document (ref: CS/PRO/033). A new questionnaire should be printed for each Post Office visit (always have a spare questionnaire in your Interviewer's Pack just in case).

You will have received an 'Interviewer's Pack'. This should contain:

- Phone Script
- Questionnaire
- Sample documents
- Interviewer's Summary Guide
- Post Office list.

Arranging Appointments

First check the Horizon System Helpdesk call history, which will be supplied by the Customer Satisfaction Manager on request. Contact only the Post Offices on your list. Arrange a time to visit using the phone script. Make sure you cover all the information on the phone script.

Get directions to the Post Office.

Feed back immediately all appointments made to Customer Satisfaction Manager, giving:

- FAD Code
- PO Name
- PO Contact
- Phone Number
- Date
- Time.

If any appointment details change, notify Customer Satisfaction Manager asap.

The Interviews

Section 1 can be completed before the interviews, where possible. You must check this information with the interviewees before moving on to Section2. Make sure your handwriting is always legible.

Just get any points of note regarding the implementation work, as it may have a bearing on how the interviewees respond to the questionnaire. If nothing out of the ordinary happened during implementation and the interviewees appear fine about it, just enter OK in Section 2.

Do not rush the questions. Make sure the interviewees understand each question before giving an answer. Read out the four positive and negative options available as answers. Only volunteer the N/A option if you see no alternative.

The *small italic print in brackets* under some questions is for your information only, do not repeat it at the interview. Some reference the sample documents you have in your Interview Packs. These can be shown to help identify the documents referred to in the question.

Make sure you ask for any other comments after each question is answered, especially where negatives have been given.

When you get to Section 11 try to contain the responses to relevant issues, concerns and always ask if there are any good news stories the interviewees can share with us. Encourage discussion about their views. Use the additional notes section if needed.

Delete the 'willing/unwilling to be contacted again' statement as appropriate.

Thank the interviewee for their time, shake hands, and leave the premises.

Follow Up Letters

A standard letter should be completed. The middle section should be your summary of the interviewee's views, questions, concerns, etc, but not the responses to sections 3 to 10 of the questionnaire.

Feedback Reports

Keep the completed questionnaires and reports confidential and secure. Return them to the Customer Satisfaction Manager as soon as possible.

Reprint the questionnaire and add it to the Interview Pack ready for your next Interview. If you are doing more than one a day make sure you take enough copies of the questionnaire with you.

7 System Service

<information needed>

7.1 Service Logistics Review

<information needed>

8 Horizon System Helpdesk

8.1 Overview

The Horizon System Helpdesk (HSH), provides Post Office Counters Ltd counter staff with a single point of contact for dealing with all problems relating to the Horizon IT equipment installed on the counter. Additionally it provides a single point of contact for technical interface queries from DSS (CAPS) staff via the ITSA Service Helpdesk **[DN: POCL Interface still to be agreed by POCL]**. Any calls received that are inappropriate to this helpdesk are re-directed to the appropriate service point, if sufficient information is available.

8.2 Horizon System Helpdesk information

The Horizon System Helpdesk (HSH) deals with all technical and operational calls related to the ICL Pathway environment or the data feeds into ICL Pathway from Post Office Counters Ltd (POCL) and their clients such as DSS (CAPS) or DVLA (TIP). It provides a single point of contact for counter staff, ICL Pathway operation staff and POCL clients such as DSS (CAPS), for ICL Pathway-related incidents. All incidents reported to the HSH from outside of the Pathway environment are sent via a client service desk, for example, DSS incidents that affect the ICL Pathway environment are sent via the ITSA Service Helpdesk.

[DN: Interfaces from POCL are still not agreed.]

8.2.1 Horizon System Helpdesk telephone numbers

The HSH telephone contact number is GRO

[DN: HSH number changing due to BT enforced change - subject to Pathway CP.]

8.2.2 Horizon System Helpdesk service hours

The service hours of the HSH are:

Full Service	0800 - 2000 Monday to Saturday
Skeleton Service	0500 - 0800 Monday to Saturday
Skeleton Service	2000 - 2400 Monday to Saturday
Skeleton Service	0700 - 2200 Sunday

The service is not provided on English Bank Holidays.

During these hours of operation, all calls are handled by Pathway operators with the telephone equipment relaying messages to callers in exceptional circumstances, for instance when call volumes exceed the telephone system limits.

8.2.3 Contacting the Horizon System Helpdesk

8.2.3.1 Call validation

The HSH is available to receive calls from any of its authorised sources and takes calls that are described on the HSH Call Enquiry Matrix. When the HSH is contacted, the helpdesk operator asks several questions in order to verify the caller's identity and to ascertain the nature of the problem. These include name, post office FAD or site code (where applicable) and details of the problem.

Before calling the helpdesk the caller should gather as much information as possible to enable the helpdesk operator to diagnose the nature of the problem quickly.

8.2.3.2 Call logging

The operator attempts to resolve or diagnose the problem during this initial telephone call. The information is recorded onto a helpdesk system and allocated a unique call reference number.

Once the problem has been diagnosed the operator informs the caller of the call identity number and what action to expect next. This identity number should be recorded by the caller and quoted if the caller needs to ring the helpdesk about this problem again.

If the customer's query/problem is not resolved within the initial telephone call, the helpdesk advise the customer the date/time by which they will next receive contact. This contact will take the form of either a site visit by an engineer or a telephone call from someone in the Pathway support chain.

8.2.3.3 One-shot password verification procedure

If the caller requires emergency password access, the HSH verifies the caller's identity using agreed procedures, before issuing the emergency password.

The One Shot Password (OSP) facility is only available to Office Managers or Supervisors, selected Regional Managers and auditors. Each person authorised to use the OSP service is registered and undergoes a verification procedure before a password is provided.

[DN: The verification procedure will be inserted here when agreed (CP1172).]

8.2.3.4 Third party calls

All incidents affecting the Horizon BPS and OBCS services, occurring in the DSS environment must be reported to the ITSA Service Helpdesk. (The ITSA SHD is the service point for all DSS IT calls. It is owned and managed by the DSS and provides a single interface for issues that cross the boundary between DSS and ICL Pathway.) Incidents reported from the ITSA SHD into the HSH are allocated a reference number and subjected to the same call handling and escalation procedures as for other calls. If calls are received direct from the DSS environment, that is, not from the ITSA SHD, these are re-directed as described in *Section 8.2.3.6 Call redirecting*.

Similarly, incidents affecting the EPOSS, APS or reference data services that arise in the POCL environment are also reported to the HSH in accordance to agreed procedures.

[DN : Interfaces into POCL still not known or agreed. This issue is being driven by POCL Product Management.]

In the event of an unplanned post office closure, the affected post office contacts the POCL Regional Helpdesk and informs them. The POCL Regional Helpdesk then contacts the HSH on behalf of the affected post office to register an incident. The POCL Regional Helpdesk operator quotes the post office FAD code, their name and telephone number and the nature of the problem (see the NR2 Operating Environment PPD [Ref. CS/PRO/0024].

8.2.3.5 Call escalation

The HSH system manages each call throughout its life and alerts the HSH supervisors should the helpdesk service levels approach or pass minimum SLA levels. A manual escalation and alert procedure ensure timely escalation into ICL Pathway, its suppliers, Post Office Counters Ltd and DSS. The escalation procedure utilises a problem manager at a predetermined point. The problem manager is responsible for ensuring that the correct management and resources are in place to resolve the problem and restore the service levels. The problem manager is supported by an escalation process that covers the BA, ITSA, Post Office Counters Ltd and ICL Pathway organisations in case any disputes of ownership and responsibility arise.

8.2.3.6 Call redirecting

The HSH retains responsibility for resolution and escalation of the call. Calls that cannot be resolved in the initial phone call are passed electronically to support specialists for resolution. All calls raised in the HSH are subject to SLA timings to ensure that failures in the operation are resolved as quickly as possible. Should the HSH receive calls that are not applicable to the service provided by that helpdesk, they are re-routed to the appropriate helpdesk. Should the HSH receive calls that are for another Pathway helpdesk, such calls are re-directed via telephony links between the two helpdesks. If the HSH receives calls for another authority's helpdesk, the helpdesk operator advises the caller to ring the appropriate number. Where possible the helpdesk operator supplies the phone number of the appropriate desk.

8.2.3.7 Contingency

For contingency purposes, the helpdesk service is provided from two sites. These sites are geographically separated, but linked by common computer and telephony systems. In normal operation the service is provided from one site with a second site being used to deal with over-spill at peak times. Should the first site become unable to operate, the second site takes over. Depending on the nature and extent of the problem, there may be a period of around two hours during which only a reduced service is possible. In the extreme situation of neither site being able to provide the helpdesk service, the telephone lines would be directed to respond to callers with a pre-recorded message.

8.2.4 PO outlet incidents

This section gives descriptions of the calls that may be received by the HSH from PO counter staff.

8.2.4.1 PO hardware incidents

The calls that may be received from PO counter staff about hardware incidents are as follows:

Call ref	Description
POHC01 to POHC12 and PCHC15	Hardware incidents may be logged by the Post Master or counter staff if a problem arises in using the equipment installed at the counter. Should such a situation occur, the caller rings the HSH to gain access to suitable support. The caller is required to make a note of the activity being performed when the problem arose, before the helpdesk is called. In the event of a Counter PC system failure or a peripheral failure, the HSH allocates an engineer to attend the post office. The caller is told when the engineer is expected to arrive. The engineer normally carry spare parts with him; however occasionally spare parts may need to be sent by courier to the post office. In this instance, the engineer will be scheduled to arrive shortly after the spare part has been delivered. The post office is informed in advance to expect a spare part to be delivered. Once at the post office the engineer replaces the faulty part, tests its operation and then checks that the Post Master is happy that the system is now operational. The engineer must remove any broken equipment when he leaves. For more details see the NR2 Operating Environment PPD [Ref. CS/PRO/0024].
POHC16	Post offices that have equipment destroyed or damaged should contact the HSH who will deal with the call in the same way as a hardware incident. If equipment is damaged the engineer completes a report on the circumstances surrounding the damage which must

	be agreed and signed by the Post Master.

8.2.4.2

PO software incidents

The calls that may be received from PO counter staff about software incidents are as follows:

Call ref	Description
POSC01 to POSC05	Software problems can arise in the form of an error message displayed on the screen or during the use of the system when something fails to work correctly. Counter staff should record any messages appearing on the screen or details of what activity was being undertaken at the time of the problem and appraise the helpdesk operator of these messages and actions. Details of the incident are captured by the HSH operators, who determine the nature of the problem, allocate a call identification number and inform the caller of the next expected action. If the problem has occurred before and has been previously resolved, the operator issues instructions to the caller to help them to circumvent the problem, or alternatively the helpdesk operator may attempt to resolve the problem by repeating the process on the HSH reference system. If the problem requires a more technical solution, the incident is passed into the ICL Pathway support organisation. The incident is then investigated and a workaround or resolution applied. The support technicians may contact the caller to understand the incident circumstance more fully, or to gather more evidence to assist the investigation.

8.2.4.3

PO network incidents

The calls that may be received from PO counter staff about network incidents are as follows:

Call ref	Description
PONW01 to PONW05	The network is monitored centrally and any fault will most likely be resolved before it becomes visible to the post office. However should the post office encounter networking difficulties the HSH should be contacted. These are likely to show themselves as messages saying that the central system cannot be contacted. If this occurs during a foreign encashment transaction the Payment Card Helpline should be contacted to perform the foreign encashment, then the call should be transferred by the Payment Card Helpline to the HSH who should take details of the network fault. The fault is investigated and corrected by support staff who inform the Post Master when the network link has been restored.

8.2.4.4 PO operation incidents

The calls that may be received from PO counter staff about operation incidents are as follows:

Call ref	Description
POOP01 to POOP08	Should the post office encounter operational difficulties whilst using the system, or the equipment and the system is not performing as described in the counter procedures, the HSH should determine the nature of the fault, the service affected, such as EPOSS and the function that is failing, such as report printing. The incident is recorded and passed onto Pathway support for investigation. The caller is told what to expect next and when they will be next contacted. The HSH is not able to offer advice or report faults on Post Office procedures that do not relate to the Horizon computer system, equipment or operation.

8.2.4.5

PO advice and guidance

The calls that may be received from PO counter staff to request advice and guidance are as follows:

Call ref	Description
POAG01 to POAG12	The HSH is available to offer advice and guidance to Post Office counter staff of the use of the ICL Pathway systems or applications. The helpdesk staff have access to counter procedures, reference systems and are trained in the use of the system. Should Post Office staff have difficulty in using the system or the documentation, they should contact the HSH.
POAG13	Should the Post Master have an issue with the service or equipment provided by ICL Pathway and wishes to complain, they can contact the HSH who must manage the complaint. In the event of a service complaint being received, the helpdesk logs all details regarding the complaint and refers the caller to a helpdesk supervisor, or the helpdesk manager. The supervisor or manager then takes any necessary corrective action. Each complaint is recorded and investigated, and the Post Master or complainant is contacted to discuss the matter more fully during the course of that investigation.

8.2.4.6 PO inappropriate incidents

The calls that may be received from PO counter staff that are inappropriate for the HSH are as follows:

Call ref	Description
INA001	Callers who ring the HSH in error and are not authorised to use the HSH are refused access to the HSH and if possible pointed to the correct helpdesk.
INA002 to INA005	Should a member of the counter staff contact the HSH with a problem that does not relate to the ICL Pathway system or operation, they should be asked to ring the appropriate helpdesk if known.

8.2.5 Regional Helpdesk incidents

This section gives descriptions of the calls that may be received by the HSH from POCL Regional Helpdesks.

Call ref	Description
REG001 to REG003	POCL Regional Helpdesks act as business support for the outlets and are contacted in the event of an outlet closing of a temporary or emergency basis. The POCL Regional Helpdesk informs ICL Pathway of all such instances by logging an incident call on the HSH quoting the post office FAD code, the caller's name and contact number and the nature of the closure. The HSH inform the Payment Card Helpline of this closure and cancel any planned engineer visits to that site. The Payment Card Helpline actions the closure as to agreed procedures as outlined in the document Pathway Process for POCL Operational Business Change [Ref. CS/PRD/0019]. **[DN: These procedures are still awaiting agreement.]**

8.2.6 Security incidents

This section gives descriptions of the calls that may be received by the HSH relating to security incidents.

Call ref	Description
SEC001	Post offices that have equipment stolen must follow existing Post Office Counters Ltd procedures to report the theft, that is, contact the Police and Post Office Counters Ltd Regional Helpdesk. ICL Pathway must replace the stolen equipment once the incident has been reported to the HSH by the Regional Helpdesk. If the counter and the ICL Pathway wiring are undamaged, ICL Pathway must arrange for the counter system to be re-equipped quickly to bring the post office back into operation. However, work may have to be scheduled to correct any physical damage and this must be arranged at a suitable time and agreed with the Post Master.
SEC002	Each time a PC is powered on the Post Master must perform the Post Office Log On (POLO) procedure. The Post Master is issued with a PMMC card plus a spare and PIN when the equipment is installed. This card and PIN must be kept in a secure location and used when the equipment is powered on after being switched off as described in the NR2 Access Control and User Administration PPD [Ref. CS/PRO/0025]. If the card or PIN is lost, the Post Master must ring the HSH. The helpdesk operator will ask a series of questions to verify the identity of the caller and then pass the caller on to a supervisor. The supervisor then assists the Post Master to generate a new PIN or allocates a PIN to the spare card. This process involves the Post Master following verbal instructions from the HSH Supervisor. In extreme cases where the system cannot generate the PIN number easily the Post Master is taken through the underlying recovery process that involves typing a series of letters and numbers into the Horizon system and takes approximately twenty minutes to complete. The new PIN must be stored securely as instructed in the NR2 Access Control and User Administration PPD [Ref. CS/PRO/0025], and in the case of a lost card the one card will be invalidated and a replacement card is ordered for issue to the post office.
SEC003	Passwords within an office are controlled by the Office Manager or supervisor and if a member of staff loses or forgets his or her password the Office Manager can reset it. If the Office Manager loses or forgets his or her password an emergency password can be issued by the HSH using the One Shot Password service (OSP). Audit staff also need access to the system and require use of the OSP service to gain access. Each person authorised to use this service is pre-registered and has to undergo a verification procedure before access to the OSP service is permitted. **[DN: The verification procedure is still not agreed [CP1172].]** Once verified the caller has to enter the OSP service on the counter system and is issued with a password which is valid for only one session. (Further information on system access using one-shot passwords is given in the NR2 Access Control and User Administration PPD [Ref. CS/PRO/0025])

SEC004	The Horizon system monitors and records unsuccessful, unauthorised attempts to access the system. These are investigated by POCL and Pathway security.
SEC005	If the Post Master or any Post Office Counters Ltd staff discover or suspect that any part of the Horizon system or environment presents a safety risk, it must be reported immediately to the HSH. The helpdesk must instruct the caller to switch off any electrical equipment, or take any necessary remedial action until an engineer can attend the affected site. When the engineer arrives on site he will assess the situation and take appropriate action to remove the risk.
SEC007	If the Post Master or Post Office Counters Ltd representative suspects a security breach, for example, passwords have become known to an unauthorised person, the Horizon system has been tampered with, or someone suspects their user information has been used without their knowledge, the HSH must be informed immediately. The helpdesk must immediately inform the ICL Pathway Security Unit who will begin investigations. The caller may be contacted during this investigation and is advised to make notes of the circumstances surrounding the suspected security breach. ICL Pathway may remove any system access at this point and the post office may be prevented from using the system until authorisation is given.

8.2.7 Planned changes

This section gives descriptions of the calls that may be received by the HSH relating to planned changes.

Call ref	Description
PLA001 to PLA012	Incidents contained within this section relate to planned changes to POCL outlets, reporting structures or products and are driven by the Operational Business Change catalogue. **[DN: OBC catalogue still to be agreed, this section may change or be removed prior to NR2]**

8.2.8

POCL client interface incidents

This section gives descriptions of the calls that may be received by the HSH from systems that interface with the Pathway environment.

8.2.8.1 POCL client interface operation incidents

The calls that may be received by the HSH from ICL Pathway about the operation of the feeder systems such as file transfer failure, data file issues and data transfer timetable disruptions are as follows:

Call ref	Description
FEE01 to FEE011	Incidents arising from the transfer of data into and out of the ICL Pathway environment and systems should be registered on the HSH. Initially, the HSH pass these incidents to ICL Pathway operations who investigate the nature of the incident and pass the call into second line support, if necessary.

8.2.9 Reconciliation incidents

The calls that may be received by the HSH about reconciliation incidents are as follows:

Call ref	Description
REC001 to REC005	Reconciliation incidents will be raised from various sources: the counter staff, DSS via the ITSA SHD concerning OBCS and BES, POCL concerning the EPOSS, APS and Reference Data services, Payment Card Helpline for BES and Pathway Business Support for all services. All incidents are registered on the HSH and given a number and priority. Incidents are categorised according to the service affected and range from payment problems to accounting anomalies. They are given an incident priority based on the nature of the incident. Reconciliation incidents raised are passed directly to the ICL Pathway Business Support Unit.

8.2.10

Pathway remote and central system incidents

This section gives descriptions of the calls that may be received by the HSH from ICL Pathway about hardware, software or network incidents.

Call ref	Description
Calls starting RHW, RSW, RNW, ROP, CHW, CSW, CNW and COP	The HSH also contains details of incidents expected from within the ICL Pathway environment or operation that are identified by an ICL Pathway operator or support technician. All these incidents are recorded and managed by the HSH using the same processes and procedures.

8.2.11 Pathway implementation incidents

This section gives descriptions of the calls that may be received by the HSH from ICL Pathway about the implementation of the environment or system into the post office, the scheduled training of staff or the migration of the post office onto the Horizon system.

Call ref	Description
IMP001 to IMP007	These incidents are registered on the HSH and given an incident number. The incident calls are then passed onto the implementation desk who alter schedules where possible or liase with suppliers performing installation or migration work, to rectify the incident.

9

POL00393875

Payment Card Helpline

9.1 Overview

Girobank are the supplier of the Payment Card Helpline (PCHL) for ICL Pathway. This service provides a 24 hour, 365 days a year, bi-lingual (Welsh and English language) helpdesk facility for enquiries on matters relating to payment cards. There are two different helpdesk facilities provided within the PCHL, the first being a Card Management Service (CMS) which deals with all enquiries regarding cards and Pick Up Notices (PUNs). The second facility is a Payment Authorisation Service (PAS) which deals with calls relating to the status of automated benefit payments.

The Card Management Service (CMS) Helpdesk, provides a single point of contact for all enquiries relating to benefit payment cards and PUNs. The majority of calls are from customers, although some are from Post Office Counters Ltd staff, DSS Office staff and third parties.

The Payment Authorisation Service (PAS) Helpdesk, provides Post Office Counters Ltd staff and DSS Office staff with a single point of contact for dealing with all enquiries relating to the status of automated benefit payments. It does not deal with enquiries from the public, with the specific exception of a customer payment error call.

Call types are defined in the Call Enquiry Matrix (CS/FSP/0003 v2.0). Helpdesk operation and service are detailed in the Helpdesk PPD (CS/PRO/00019).

9.2 Payment Card Helpline information

9.2.1 Payment Card Helpline telephone numbers

The Payment Card Helpline contact numbers are as follows:

DSS customers (English)

DSS customers (Welsh)

DSS staff

Post Office Counters Ltd staff

GRO

All calls are handled by Pathway operators. The telephone equipment may exceptionally relay pre-recorded messages to customers, for example, when an emergency situation arises in the call centre, or call volumes exceed telephone system limits.

The CMS Helpdesk deals with calls from DSS customers, DSS staff, Post Office Counters Ltd staff and third parties.

The PAS Helpdesk deals with calls from DSS staff and Post Office Counters Ltd staff. Customer and third party calls are not supported with the specific exception of a customer payment error call (see *Section 9.5.9 Payment error calls*).

9.2.2 Payment Card Helpline service hours

The service hours for the Payment Card Helpline are as follows:

CMS	Manned service 0800 hours to 2000 hours Monday to Saturday, no manned service on Sundays and English Bank Holidays, but with a recorded message outside manned

service hours.

PAS — Manned service 0800 hours to 2000 hours Monday to Saturday, no manned service on Sundays and English Bank Holidays, but with a recorded message outside manned service hours.

9.2.3 Contacting the Payment Card Helpline

The Payment Card Helpline calls are answered and resolved at the first point of contact (with the exception of NSI calls which are referred to an NSI authorised agent). The helpdesk operator who receives the call is also responsible for the resolution of the call.

9.2.3.1 PO counter Calls

In order to contact the Payment Card Helpline, Post Office Counters Ltd staff should telephone GRO. The Pathway operator first verify the identity of the post office (see *Section 9.2.10 Caller identification*).

[DN: The acceptance of risk by ICL that there is no Payment Card Helpline helpdesk to caller verification procedure has not yet been agreed by POCL]

If the call relates to a card batch, the caller must provide the card batch number; if the call relates to a DSS customer's card or payment, the caller must provide the customer's NINO. The caller should then explain the nature of the call to the operator. The Pathway operator may then ask further questions to assist in the resolution of the call.

For certain calls, such as foreign encashments during system failure, the Payment Card Helpline needs to perform the extended verification procedure (EVP) of the customer by asking the post office clerk to ask the customer specific questions, such as month of birth.

9.2.3.2 DSS office calls

In order to contact the Payment Card Helpline, DSS staff should telephone GRO GRO. The Pathway operator will first verify the identity of the caller (see *Section 9.2.10 Caller identification*). The caller must then explain the nature of the call to the operator. The Pathway operator may then ask further questions to assist in the resolution of the call.

9.2.3.3 DSS customers' calls

In order to contact the Payment Card Helpline, DSS customers should telephone GRO. Customers who prefer to speak in the Welsh language, should telephone GRO. The Pathway operator will first verify the identity of the caller (see *Section 9.2.10 Caller identification*). The caller should then explain the nature of the call to the operator. The Pathway operator may then ask further questions to assist in the resolution of the call.

[DN: The Welsh service will not be operational until national rollout but will be demonstrable by arrangement during live trial.]

9.2.3.4 Third party calls

A third party call is from a member of the public who may or may not be a registered DSS customer in their own right but who is not calling with regard to their personal situation as a DSS customer.

In order to contact the Payment Card Helpline, third parties must telephone GRO

GRO or GRO The Pathway operator first establishes the reason for the call. If the third party is calling on behalf of a DSS customer, then the operator must verify the customer's identity (see *Section 9.2.10 Caller identification*). Otherwise, caller verification is not necessary but the operator must in all cases ask for and log the caller's name, although this may not be given. The Pathway operator then asks further questions to assist in the resolution of the call.

9.2.4 Call escalation

Payment Card Helpline calls are answered and resolved at the first point of contact, as stated in *Section 9.2.3 Contacting the Payment Card Helpline*. However, should the operator experience difficulty in resolving a call to the satisfaction of the caller, the operator should seek immediate assistance from the supervisor who must seek to resolve the issue to the caller's satisfaction.

A manual escalation and alert procedures ensure timely escalation into ICL Pathway, its suppliers, Post Office Counters Ltd and DSS. The escalation procedure utilises a problem manager at a predetermined point. The problem manager is responsible for ensuring that the correct management and resources are in place to resolve the problem.

9.2.5 Contingency

For contingency purposes the helpdesk service is provided from two sites. These sites are geographically separated by several miles, but linked by common computer and telephony systems. Should one site become unable to operate, the second site continues to operate independently and the agreed level of service is maintained. In the extreme situation of neither site being able to provide the helpdesk service, the telephone lines respond to callers with a pre-recorded message.

[DN: The dual site service will be operational between the start of NR2 and live trial and is under discussion.]

9.2.6 Call redirecting

The helpdesk operator who receives the call is also responsible for the resolution of the call. Calls are not passed on to specialists, unlike calls to the HSH. However, should the helpdesk receive calls which are appropriate for both the Payment Card Helpline and the HSH, then on completion of the Payment Card Helpline call, the Payment Card Helpline should endeavour to transfer the call to the Horizon Helpdesk, via the telephony link between the two helpdesks. If the Payment Card Helpline receives calls for another authority's helpdesk, the helpdesk operator should advise the caller to ring the appropriate number. Where possible the helpdesk operator should supply the phone number of the appropriate desk.

9.2.7 Call recording

[DN: Call recording is under review between Pathway and the Authorities.]

9.2.8 Call logging

All calls are automatically logged within the helpdesk application, with a unique call ID. This ID is visible for DSS calls and is given to all DSS callers.

9.2.9 Payment Card Helpline helpdesk to caller verification procedure

[DN: This procedure is still being discussed.]

9.2.10 Caller identification

The helpdesk operator performs the following identification procedures, according to the type of call:

PO counter staff calls	Verifies the identity of the post office by asking questions based on the post office FAD code, post office address and telephone number, and then requests the caller to give their user name.
DSS Office calls	Verifies the identity of the caller by asking questions based on the caller's user name and password.
DSS customer calls	Verifies the identity of the caller by carrying out EVP on the caller's identity.
Third party calls on behalf of a DSS customer	Verifies the legitimacy of the caller by carrying out EVP based on the DSS customer's identity.

9.3 PO counter staff calls

The following subsections list the calls that may be received by the Payment Card Helpline from PO counter staff.

For those calls where a customer is present, the Payment Card Helpline tells the clerk what to say to the customer, as indicated in the call type description below.

9.3.1 Card/batch calls (PCDF)

The calls that may be received from PO counter staff about payment cards or batches are as follows:

Call ref	Description
PO 1A	If a batch of cards has been identified as wrongly delivered after having being signed for, the Payment Card Helpline should advise the caller to follow the counter procedure for redirection, which is to insert the unopened package (without removing or altering the original label) into a larger package labelled for registered delivery ready for the next collection from the post office by RML. The helpdesk should ask the caller for the RML label code and log a note in the system. **[DN: This is still under discussion pending the POCL subcontract and RML subcontract. The procedure may be to cancel and reorder]**
PO 1E	If a card, PUN or temporary token is reported as being unavailable in the post office although it had previously been acknowledged as present in the post office, the Payment Card Helpline should check the status of the item and advise the caller of the item's status. If the item is a card and it is waiting for collection, then the helpdesk must take the action as for a lost card, namely to stop the card and reorder the card, and advise the caller to tell the customer that the card is now reordered and that a new PUN will be issued. If the item is a card with a 'withdrawn/expired' status, or a card, PUN or temporary token with an 'impounded' status, then the helpdesk should advise the caller of the status. No further action is required. If the item has any other status but the caller expects the status to be 'withdrawn/expired' or 'impounded', then the helpdesk must impound

	the item and advise the caller when the action has been completed.
PO 1F	If the wrong card is signed and swiped during the activation procedure, the Payment Card Helpline must stop and reorder the signed card. They will then advise the caller to destroy the signed card by cutting in half and issue the correct card if it is available. If the correct card is not available, the Payment Card Helpline should advise the caller to tell the customer to call the Payment Card Helpline (call CC 3A) to check delivery.
PO 1G	If the card package appears to have been tampered with, the Payment Card Helpline must cancel the batch to stop the cards, re-order the card batch, and advise the caller to destroy the batch by cutting each card in half.
PO 1H	If the bar-code is invalid, cannot be read or is missing, the Payment Card Helpline asks the caller to give details of any one card from the package. The helpdesk then identifies the batch identifier and status. • If the batch status is cancelled, the helpdesk must advise the caller to destroy all the cards. • If the batch status is OK and the batch is at the correct post office, the helpdesk should advise the caller to enter the batch identifier manually and then proceed normally. If the caller is unable to do this, the helpdesk should accept the batch (as for call PO 2A), advise the caller when the action is completed and that the caller will be transferred to the HSH to log a fault call. The helpdesk should then transfer the call to the HSH. • If the batch status if OK but the batch is not at the correct post office, the helpdesk must cancel and re-order the batch, and advise the caller to destroy all the cards. • If the batch cannot be identified the helpdesk must advise the caller to destroy all the cards. (Note that the batch monitoring process would ensure that any such 'lost' batches are properly cancelled and reordered).

9.3.2 System failure: CMS calls (PCDF)

The calls that may be received from PO counter staff about PCDF during system failure are as follows:

Call ref	Description
PO 2A	If the acknowledgement of a batch receipt is prevented due to a system failure, the Payment Card Helpline should request the batch identifier and action the receipt. The helpdesk should advise the caller when the action is completed and whether there is any anomaly requiring special action.
PO 2B	If the issue and activation of cards is prevented due to a system failure, the Payment Card Helpline actions the activation, requesting as appropriate data relating to the PUN (PUN bar-code) or expiring card (PAN and Issue Number), and performing EVP. The helpdesk advises the caller when the action is completed and whether there is any anomaly requiring special action.
PO 2D	If the recording and reporting of card, PUN or temporary token impounds

	is prevented due to a system failure, the Payment Card Helpline will action the impound and provide the caller with receipt data. The helpdesk advises the caller to follow counter impound procedures.

9.3.3 System failure: Encashment calls

The calls that may be received from PO counter staff about encashment during system failure are as follows:

Call ref	Description
PO 3B	If a nominated office encashment is prevented due to a system failure, the Payment Card Helpline advise the clerk of the verification questions required to be answered by the customer, provide payment details in order that the payment may be made at the post office counter, and update PAS. The normal encashment rules, that is, RPOI, GRI, EVP are enforced. The helpdesk advises the caller when the action has been completed on the PCHL system.
PO 3D	If a foreign encashment is prevented due to a system failure, the Payment Card Helpline, providing the foreign encashment count is less than the allowable amount (that is, 2 in 26 weeks), advises the clerk the verification questions required to be answered by the customer, provide payment details in order that the payment may be made at the post office counter, and update PAS. The normal encashment rules, that is, RPOI, GRI, EVP are enforced. The helpdesk advises the caller when the action has been completed on the PCHL system.

9.3.4

System failure: Payment calls

The calls that may be received from PO counter staff about payment during system failure are as follows:

Call ref	Description
PO 4A	If there is a query regarding a hand-written receipt (following a Payment Card encashment or a counter printer failure) the helpdesk should: • If still within the same cash account week as the original transaction and it is a Payment Card Helpline encashment: confirm the authorised payment values making up the encashment value (obtained either from PAS or the daily Payment Card Helpline encashment reports). • If still within the same cash account week as the original transaction and it is an error during counter printer failure: confirm the authorised payment values making up the encashment value if available from PAS, otherwise advise the post office to run the BES weekly encashment report and check the value against the receipt. • If it is an underpayment not in the same cash account week as the original transaction: the Payment Card Helpline records the details and advises the caller to tell the customer that their request will be investigated and, if found valid, that they should receive a cheque within two weeks. The helpdesk then phones the HSH to log the incident and faxes details to the Pathway Business Support Unit. If the receipt is not hand-written, the helpdesk advises the caller to refer the customer to the BIA. (See also call CC 10A). **[DN: Payment reconciliation correction calls are under discussion.]**
PO 4B	The Payment Card Helpline confirms whether a payment has been encashed elsewhere to a permanent agent or alternative payee.
PO 4C	If a change of nominated post office is prevented due to a system failure, the Payment Card Helpline actions the change and advise the caller when the action is completed. If, at the same time, an urgent payment is required but the foreign encashment count has exceeded the allowable amount, that is, 2 in 26 weeks, the Payment Card Helpline allows the foreign encashment to proceed as in PO 3D, provided that RPOI and GRI are unset.

9.3.5 Complaint calls

The calls that may be received from PO counter staff about complaints regarding the Payment Card Helpline are as follows:

Call ref	Description
PO 5A	If service complaints are received regarding the Payment Card Helpline, the helpdesk staff log all details regarding the complaint and pass the details to the Helpdesk Manager. The helpdesk advises the caller that

	their comments have been noted and will be actioned as appropriate. The Manager then takes any necessary corrective action.
PO 5B	If service complaints are received regarding card batches, cards, PUNs or temporary tokens, where the PUN complaint is other than lateness or non-delivery, the helpdesk staff log all details regarding the complaint and pass the details to the Helpdesk Manager. The helpdesk advises the caller that their comments have been noted and will be actioned as appropriate. The Manager then takes any necessary corrective action.

9.3.6 Rollout-only calls

The calls that may be received from PO counter staff that are specific to rollout only are as follows:

Call ref	Description
PO 6A	If a foreign encashment of a DSS customer's benefit at one of the approved 1500 non-automated post offices is required, the Payment Card Helpline first asks the clerk to confirm that the post office is authorised to make payment card encashments. If so, and the foreign encashment count is less than two, they advise the clerk of the verification questions to be answered by the customer, provide payment details in order that the payment may be made at the post office counter, and update PAS. The normal encashment rules, for example, RPOI, GRI, EVP are enforced. The helpdesk advises the caller when the action has been completed on the PCHL system.
PO 6C	If a request is made to impound a card or temporary token during foreign encashment at one of the approved 1500 non-automated post offices, the Payment Card Helpline action the impound and advise the caller to issue an impound receipt and follow the Post Office impound procedures.

9.3.7 Encashment anomaly calls

The calls that may be received from PO counter staff relating to encashment anomalies are as follows:

Call ref	Description
PO 7A	If an encashment is required for a customer who claims their nominated post office has an emergency temporary closure and whose foreign encashment count,that is, 2 in 26 weeks, has been exceeded, the Payment Card Helpline processes the encashment as in a PO 3D call, in order that the payment may be made at the post office counter (provided that RPOI and GRI are unset), and then updates PAS.
PO 7B	If an encashment is required for a customer who has just changed their nominated post office and is expecting encashment, but the system indicates that no encashment is due, the Payment Card Helpline checks if payment is due, but not apparent at the post office because the foreign encashment count limit, that is, 2 in 26 weeks, has been reached. This can occur because the system does not action the change of nominated post office immediately, but overnight. If so, the helpdesk processes the encashment as in a PO 3D call, in order that the payment may be made at the post office counter, and than updates

	PAS.

9.3.8 System failure: OBCS calls

The calls that may be received from PO counter staff relating to OBCS encashments during a period of system failure are as follows:

Call ref	Description
PO 8A	If the customer wishes to make a foreign OBCS encashment during a period of system failure, the Payment Card Helpline asks the caller for the Customer Reference Number, Order Book Serial Number and Common Payment Package Number. The helpdesk then checks the database and advises the caller: • If there is no stop in place, to make the encashment. • If there is a stop in place, to not make any encashments but to impound the book. • If there is a recall in place with the effective date earlier than today, to encash one foil and impound the book. • If there is a recall in place with the effective date of today or later, to encash foils dated prior to and including today and impound the book.

9.3.9 PO counter staff calls on behalf of customers in exceptional circumstances

The calls that may be received from PO counter staff on behalf of customers in exceptional circumstances are as follows:

Call ref	Description
POC 1	If a PO clerk wishes to help a customer who, for example is elderly or infirm or has a language difficulty, they may make a call on behalf of that customer at their own discretion. All valid calls on behalf of customers in exceptional circumstances are treated as third party calls and must be made using the customer phone number as described in *Section 9.2.3.4 Third party calls* instead of the phone number for PO counter calls.

9.3.10 PO counter staff inappropriate calls

The calls that may be received from PO counter staff that are considered inappropriate to the Payment Card Helpline are as follows:

Call ref	Description
POI 1 to POI 5	If the Payment Card Helpline receives calls that are not in the call matrix, or which request information that the Payment Card Helpline may not provide, the caller is advised that the call is inappropriate. For example, a request for payment details without the card details being provided, or a call to report hardware failure, would be inappropriate. If a call is appropriate for both the Payment Card Helpline and the HSH, the call is subsequently transferred electronically to the HSH; otherwise, the caller is asked to contact the appropriate helpdesk. Refer to *Section 9.2.6 Call redirecting* for more information.

9.4 DSS staff calls

The following subsections list the calls that may be received by the Payment Card Helpline from DSS Office staff.

9.4.1 Payment calls

The calls that may be received from DSS Staff about payment are as follows:

Call ref	Description
BA 1A and BA 1B	If the status or encashment details of a payment are requested, the Payment Card Helpline requests the DSS customer's NINO, Authorised Payment reference number and provide the necessary information.
BA 1C	If card usage details are requested, the Payment Card Helpline provides the necessary information.
BA 1D	If an immediate payment stop is required, the Payment Card Helpline requests the DSS customer's NINO, Authorised Payment reference number and places a stop on the payment. The helpdesk advises the caller when the action is completed.

9.4.2 Card/PUN calls

The calls that may be received from DSS Staff about cards or PUNs are as follows:

Call ref	Description
BA 2A	If the status or delivery forecast of a No Fixed Abode PUN is requested the Payment Card Helpline provides the necessary information.
BA 2B	If an enquiry is made on the reasons for impoundment of a card or PUN, the Payment Card Helpline provides the necessary information.
BA 2C	If a request is made to reorder a card following investigation of impoundment or card collection period expiry, then provided that there is no change to customer circumstances, the Payment Card Helpline reorders the card. The helpdesk advises the caller when the action is completed.
BA 2E	If the status or delivery forecast of a current or previous card or PUN is requested, the Payment Card Helpline provides the necessary information. If the caller is querying the status of a card held by a customer who is present with the caller, and the card is found to be unactivated, the helpdesk should ask the caller if the customer still has their PUN: • If the customer still has their PUN and there is adequate time in which to collect the card, the helpdesk should advise the caller to tell the customer to return to the post office with their card and PUN for card activation. • If the customer does not have their PUN, the helpdesk should order another PUN or card plus PUN (as appropriate). The helpdesk should advise the caller to tell the customer that they will receive a new PUN shortly and that they should then visit their post office for card activation.
BA 2F	If the termination of a card is requested, the Payment Card Helpline should stop the card. The helpdesk advises the caller when the action is

	completed.

9.4.3 Temporary token calls

The calls that may be received from DSS Staff about temporary tokens are as follows:

Call ref	Description
BA 3A	If the termination of a temporary token is requested, the Payment Card Helpline stops the token and advises the caller when the action is completed.
BA 3B	If an order of an emergency supply of temporary token books is requested, the Payment Card Helpline should create the order and advise the caller when the action is completed.
BA 3C	If anomalies regarding the number of temporary tokens ordered and received (for normal or emergency delivery) are reported, the Payment Card Helpline must stop any books recorded as supplied but not delivered. The helpdesk advises the caller that the books are stopped and that they should be destroyed if they are subsequently found or received. The helpdesk asks the caller if they require an emergency order (see call BA 3B).
BA 3D	If, during a DSS Office system failure, a request is made to assign temporary tokens to pre-existing payments for existing customers whose personal details do not require updating, the Payment Card Helpline actions the assignment provided that the following details are supplied: NINO, temporary token ID and specified post office. The helpdesk advises the caller when the action is completed.
BA 3E	If an overdue delivery of a supply of temporary token books is reported, the Payment Card Helpline asks the caller if they want to cancel the outstanding order and reorder, orders an emergency order, or takes no action and awaits the next delivery.
BA 3F	If a delivery of an emergency supply of temporary token books is reported, the Payment Card Helpline should ask the caller for the package ID and the number of books. The helpdesk updates the order record and advises the caller when the action is completed.
BA 3G	If a delivery of a supply of temporary token books is reported lost, stolen or damaged subsequent to delivery, the Payment Card Helpline stops the books and advise the caller when the action is completed. The helpdesk asks the caller whether they require an emergency order (see call BA 3B).
BA 3H	If a change to the provisioning parameters for the automatic supply of temporary token books is requested, the Payment Card Helpline amends the record for the specific DSS office and advises the caller when the action is completed.
BA 3I	If an enquiry is made on the reasons for impoundment of a temporary token, the Payment Card Helpline provides the necessary information.

9.4.4 Complaint calls

The calls that may be received from DSS Staff about service complaints are as follows:

Call ref	Description
BA 4A	If a service complaint is received regarding the Payment Card Helpline, the helpdesk logs all details regarding the complaint and passes the details to the Helpdesk Manager. The helpdesk advises the caller that their comments have been noted and will be actioned as appropriate. The Manager then take any required corrective action.
BA 4B	If a service complaint is received regarding cards, PUNs, temporary tokens or temporary token batches (where a PUN complaint is other than lateness or non-delivery), the helpdesk logs all details regarding the complaint and pass the details to the Helpdesk Manager. The helpdesk advises the caller that their comments have been noted and will be actioned as appropriate. The Manager then take any required corrective action.

9.4.5 Rollout-only calls

The calls that may be received from DSS Staff about rollout only are as follows:

Call ref	Description
BA 5B	If a request is made regarding change of password for DSS staff verification, the Payment Card Helpline takes action as requested and advises the caller when the action is completed.

9.4.6 DSS office calls on behalf of customers in exceptional circumstances

The calls that may be received from DSS Staff on behalf of customers in exceptional circumstances are as follows:

Call ref	Description
BAC 1	If a DSS officer wishes to help a customer who, for example is elderly or infirm or has a language difficulty, they may make a call on behalf of that customer at their own discretion. All valid calls on behalf of customers in exceptional circumstances are treated as third party calls and must be made using the customer phone number as described in *Section 9.2.3.4 Third party calls* instead of the phone number for DSS office calls.

9.4.7

DSS staff inappropriate calls

The calls that may be received from DSS Staff which are inappropriate to the Payment Card Helpline are as follows:

Call ref	Description
BAI 1 to BAI 5	If a call is received by the Payment Card Helpline that is not in the call matrix or alternatively requests information that the helpdesk may not provide, the caller should be informed that the call is inappropriate and be advised on an alternative course of action, where known. These calls include requests to amend static data (personal details and nominated PO).

9.5 DSS customer calls

The following subsections list the calls that may be received by the Payment Card Helpline from DSS customers.

9.5.1 Card/PUN status calls

The calls that may be received from customers about the status of cards or PUNs are as follows:

Call ref	Description
CC 1A and CC 1B	If the status or delivery forecast of a card or PUN is requested, the Payment Card Helpline provides the necessary information. Where the status check is requested because the post office states there is no payment available but the BA states there should be, the helpdesk should check if the card was issued unactivated, and if so: • If the customer still has their initial PUN and there is adequate time in which to collect the card, the helpdesk should advise them to return to the post office with their card and PUN for card activation. • If the customer does not have their initial PUN, the helpdesk should order another PUN, or card plus PUN (as appropriate). The helpdesk should advise the caller that they will receive a new PUN shortly and that they should then visit their post office for card activation.

9.5.2 PUN receipt calls

The calls that may be received from customers about the receipt of PUNs are as follows:

Call ref	Description
CC 2A and CC 2B	If a PUN is not received, the Payment Card Helpline should, in most circumstances, order another PUN and advise the caller that they will receive a new PUN shortly. In certain circumstances, for example, change of address pending, three PUNs already issued, another PUN must not be issued. The Payment Card Helpline should note on the system why this course of action has been taken. If three PUNs have already been issued the customer should be referred to the BIA.
CC 2C and	If a PUN is not received and the customer also reports that the address is inappropriate or unsafe for receiving mail, the Payment Card Helpline

CC 2D	should not reorder the PUN, but refer the caller to the BIA and also advise the DSS by fax.

9.5.3 Card collection calls

The calls that may be received from customers about the collection of cards are as follows:

Call ref	Description
CC 3A	If a card is unavailable for collection on the presentation of a PUN, the Payment Card Helpline should initially check the status of the card. If it is still in transit to the post office, the Payment Card Helpline should advise the customer to collect the card in the next day or so. Otherwise, the Payment Card Helpline should cancel the original card and arrange the issue of a new card and PUN, and also advise the customer to destroy the original PUN since they will receive a new PUN shortly. If the customer expresses concern at delay in being able to obtain payments, they should referred to the BIA.
CC 3B	If the card is not collected within the collection period and has become invalid, the Payment Card Helpline should not reorder the card, but refer the caller to the BIA. This circumstance is for the BIA office to investigate and if suitably reassured, reorder the card via the Payment Card Helpline.
CC 3F	If the customer calls in advance to report genuine reasons for being unable to collect a card within its collection period, the Payment Card Helpline should offer to extend the new card's collection date. In this case, the helpdesk advises the caller of the collection period and amends the system. If this is inappropriate to the caller and/or urgent payment is required, the helpdesk should refer the caller to the BIA to arrange for benefit collection by a relative or friend, that is, an agent).
CC 3G	If the customer is unable to collect a card because the post office is temporarily closed, the Payment Card Helpline should check the recorded duration of the closure and advise the customer to return later. If appropriate, the helpdesk should offer to extend the new card's collection date. In this case, the helpdesk advises the caller of the collection period and amend the system. If the customer expresses concern at delay in being able to obtain payments, they should referred to the BIA. If there is no record of the post office's closure, the helpdesk should subsequently inform the HSH.

9.5.4 Lost/stolen/damaged PUN calls

The calls that may be received from customers about lost, stolen or damaged PUNs are as follows:

Call ref	Description
CC 4A and CC 4B	If a PUN is reported as lost, stolen or damaged, the Payment Card Helpline should action the issue of another PUN and advise the caller they will receive a new PUN shortly. In certain circumstances, for exampple, change of address pending,

	customer no longer of interest, three PUNs already issued, another PUN should not be issued and the Payment Card Helpline should note on the system why this exceptional course of action has been taken. Customers should be referred to the BIA.
CC 4C and CC 4D	If a PUN is reported as found, subsequent to its loss being reported, the Payment Card Helpline must advise the caller to destroy the PUN as a replacement PUN will have been issued.

9.5.5 Lost/stolen/damaged card calls

The calls that may be received from customers about lost, stolen or damaged cards are as follows:

Call ref	Description
CC 5A and CC 5B	If a card is reported as lost, stolen or damaged, the Payment Card Helpline should update the status of the card and, in most circumstances, arrange the issue of a replacement card and PUN. The helpdesk advises the caller that their old card has been stopped and that they will receive a new PUN shortly to allow them to collect a new card. In certain circumstances, for example, address unsafe, change of address pending, customer no longer of interest, stop placed by DSS, a replacement card and PUN will not be issued and the Payment Card Helpline should note on the system why this exceptional course of action has been taken. Customers are referred to the BIA.
CC 5C and CC 5D	If a card is reported as found, subsequent to its loss being reported, the Payment Card Helpline should advise the caller to destroy the card since it is now invalid, and that they will receive a new PUN shortly to allow collection of a new card.
CC 5E	If a customer calls back, subsequent to a previous call reporting a lost, stolen or damaged card, and requests that the card reorder be delayed, for example, because of an impending address change, the Payment Card Helpline should reorder the card and advise the caller that they will receive a new PUN shortly to allow them to collect a new card. In certain circumstances, for example, address unsafe, change of address pending, customer no longer of interest, stop placed by DSS, a replacement card and PUN must not be issued and the Payment Card Helpline should note on the system, why this exceptional course of action has been taken. Customers are referred to the BIA.

9.5.6 Lost/stolen/damaged temporary token calls

The calls that may be received from customers about lost, stolen or damaged temporary tokens are as follows:

Call ref	Description
CC 6A and CC 6B	If a temporary token is reported as lost, stolen or damaged, the Payment Card Helpline check the status of the token and stop it. The helpdesk advises the caller that the token has been stopped and that they should return to the DSS for another.
CC 6C and CC 6D	If a temporary token is reported as found, subsequent to its loss being reported, the Payment Card Helpline should advise the caller to destroy the token since it is now invalid, and that they should revisit the DSS

	office for another.

9.5.7 Card change calls

The calls that may be received from customers about a change of card are as follows:

Call ref	Description
CC 7A	If there is a request to replace the current card with a bilingual card ("Welsh Card") or vice versa, the Payment Card Helpline should check that a caller requesting a bilingual card has a Welsh address and a caller requesting an English card has an English address, and then order a new card. The helpdesk should advise the caller that they will receive a PUN shortly to allow them to collect the new card.

9.5.8 Complaint calls

The calls that may be received from customers about service complaints are as follows:

Call ref	Description
CC 8A	If service complaints are received regarding the Payment Card Helpline, the helpdesk should log all details regarding the complaint and pass this to the Helpdesk Manager. The helpdesk should advise the caller that their comments have been noted and will be actioned as appropriate. The Manager then takes any necessary corrective action.
CC 8B	If a call is received reporting a justifiable complaint regarding the lateness or non-delivery of a PUN, the helpdesk should assess whether the complaint is justifiable with regards to timescale and address accuracy. If so, the helpdesk should log all details regarding the complaint and pass this to the Helpdesk Manager. The helpdesk should advise the caller that their comments have been noted and will be actioned as appropriate. The Manager then take any necessary corrective action.
CC 8C	If service complaints are received regarding cards, PUNs or temporary tokens (where a PUN complaint is other than a justifiable complaint regarding the lateness or non-delivery of a PUN), the helpdesk should log all details regarding the complaint and pass this to the Helpdesk Manager. The helpdesk should advise the caller that their comments have been noted and will be actioned as appropriate. The Manager should then take any necessary corrective action.

9.5.9 Payment error calls

The calls that may be received from customers about payment errors are as follows:

Call ref	Description
CC 10A	If the Payment Card Helpline receives a call claiming under/ overpayments, they will first check that the payment details on the receipt are hand-written. If so, and if it is an underpayment within the same cash account week as the original transaction or an overpayment (whether or not within the same cash account week), they will advise the caller to return to the post office. If it is an underpayment outside the same cash account week, the Payment Card Helpline should record the

	details manually and advise the caller that the request will be investigated and that if the request is valid that they will receive a cheque normally within two weeks. The helpdesk should then raise an incident at the HSH and fax details to the Pathway Business Support Unit (see also call PO 4A). If the receipt is not hand-written, the helpdesk should refer the caller to the BIA. (It is possible that these calls may be made as third party calls by the DSS on behalf of the customer.)

9.5.10 Rollout only calls

The calls that may be received from customers about rollout are as follows:

Call ref	Description
CC 11A	If the Payment Card Helpline receives a call about the location of an appropriate post office for foreign encashment, the Payment Card Helpline should advise that card encashment is available at all main post offices. If the customer requires specific details then the Payment Card Helpline should advise the caller to contact the Post Office Counters Ltd Helpdesk on GRO

9.5.11 DSS customer inappropriate calls

The calls that may be received from customers that are inappropriate for the Payment Card Helpline are as follows:

Call ref	Description
CCI 1 to CCI 4	In the case of calls being received by the Payment Card Helpline which are not in the call matrix or requesting information that the Payment Card Helpline may not provide, for example, a customer enquiring on payment entitlements, or requesting change of personal details, the caller should be informed that the call is inappropriate for the Helpline and advise on an alternative course of action, where known.
CCI 5	If the Payment Card Helpline receives a request for a copy of the data that is specific to the caller, the Payment Card Helpline should advise the caller that requests should be submitted in writing to the DSS Data Protection Registrar and provide the address.

9.6 Third party calls

The following subsections list the calls that may be received by the Payment Card Helpline from third parties.

9.6.1 Third party valid calls

Valid calls that may be received from third parties that are as follows:

Call ref	Description
TPC 1	If a card is reported as found, the Payment Card Helpline should request the card details (NINO and Issue Number), record the card as found and stop it, and advise the caller to dispose of the card by cutting it in half and destroying. The helpdesk should immediately order a replacement card unless the customer is no longer of interest, or a stop

	has been placed by the DSS.
TPC 2	If a PUN is reported as found, the Payment Card Helpline should request the PUN details (NINO and date), record the PUN as found and advise the caller to dispose of the PUN by cutting it in half and destroying. The customer should not be contacted and a replacement should not be reordered.
TPC 3	If a temporary token is reported as found, the Payment Card Helpline should stop the record the token as found and stop it, and advise the caller to destroy the token.
TPC 4	If a "DSS customer valid call" is made on behalf of a customer by a third party (who may or may not be a registered customer in their own right), the Payment Card Helpline should apply caller verification applicable to that customer, and then proceed as with a customer call. (Note, as with all customer calls, the helpdesk does not disclose personal details.)

9.6.2

Third party inappropriate calls

The calls that may be received from third parties that are considered inappropriate to the Payment Card Helpline are as follows:

Call ref	Description
TPI 1	In the event of a threat being received, the Payment Card Helpline should initiate emergency call recording. The helpdesk should allow the caller to complete their statement and, in the case of a bomb threat, endeavour to continue the conversation with the caller to obtain the fullest details. The helpdesk must immediately advise the Helpdesk Manager who should assess the seriousness of the threat and take one or more of the following actions: • Contact the Police by dialling 999 • Contact the appropriate authority within ICL Pathway • Contact the appropriate helpdesk within Post Office Counters Ltd or DSS The helpdesk should advise the caller that their comments have been noted and will be actioned as appropriate.
TPI 2	In the event of a nuisance call being received, the Payment Card Helpline should terminate the call quickly. If the caller calls repeatedly, the helpdesk operator should advise the supervisor who should then assess the need to contact the Police.
TPI 3	If a call is received imputing benefit fraud, the Payment Card Helpline should refer the caller to the BIA. If a call is received imputing fraud at the post office counter, the Payment Card Helpline should advise the caller to phone the Post Office Counters Ltd Helpline.
TPI 4	If the call is identified as for another helpdesk, then the Payment Card Helpline operator should advise the phone number of the appropriate helpdesk.
TPI 5	If a call is received from the Press, the Payment Card Helpline should advise the caller politely that the helpdesk is unable to answer questions from the Press and advise the caller of the phone number of the ICL Pathway Press Office.

9.7

Horizon System Helpdesk calls

The calls that may be received by the Payment Card Helpline from the HSH are as follows:

Call ref	Description
HDC 1	If the HSH report the emergency (unplanned) closure of a post office, the Payment Card Helpline should amend the post office record status with the closure status, today's date, any optional stated alternative post office and optional comment such as forecast reopen date. The helpdesk should advise the caller when the action is completed. The Payment Card Helpline action causes a suspension of the foreign encashment count.
HDC 2	If the HSH report the temporary (planned) closure of a post office and designate an alternative post office, the Payment Card Helpline update the post office record with the closure status, the closure date, the mandatory alternative post office and optional comment such as forecast reopen date. The helpdesk advise the caller when the action is completed. The Payment Card Helpline action causes the transfer of payments to the alternative post office and card cancellation/reorder for any cards in transit or uncollected at the closed post office. The alternative post office becomes the nominated post office for the period of closure. If the notification takes place on the first day of closure, the foreign encashment count is suspended on that day until the overnight transfer of nominated post office takes effect. If the forecast closure period is less than a week, card reorder is inhibited.
HDC 3	If the HSH report the reopening of a post office following an emergency or temporary closure, the Payment Card Helpline update the post office record, to enter the reopen date and optional comment. The helpdesk advise the caller when the action is completed.

10

System Management Centre

The Systems Management Centre (SMC) is responsible for the overall management of the end-to-end Pathway solution. It has the following key objectives

1. To monitor the system effectively, to ensure the effective running of the end-to-end operational workflow, through pro-active monitoring of system events and either directly, or through liaison with other suppliers, ensure appropriate action is taken on all events.
1. To ensuring all calls, either voice or generated through above events are logged in a call logging system and managed through to resolution
1. To monitor performance of all aspects of the end-to-end system and providing recommendations for the optimisation of performance.
1. To provide a software distribution function to all specified target systems as specified in Appendix 1 of the Pathway/Sorbus Service Agreement SBOO1.
1. To control the hardware and software asset information.

The SMC operates 24 hours per day 365 days per year and assumes the role of the Horizon System Helpdesk outside of the Horizon System Helpdesk normal hours of operation.

The structure of the organisation is as shown below.

Picture - TBA

10.1 Roles And Responsibilities

10.1.1 SMC Service Manager

10.1.1.1 Business Objectives

These are as defined in the DSD Pathway Programme Director Operations Manual (Ref ICL\CFM\DSD\Path\OM\2.0)

10.1.1.2 Responsibilities

These are as defined in the DSD Pathway Programme Director Operations Manual (Ref ICL\CFM\DSD\Path\OM\2.0)

10.1.2 SMC Technical Consultant (Tivoli)

10.1.2.1 Business Objectives

1. To aid in the development of the SMC Organisation and the individuals therein to provide a managed solution to Pathway Systems Management.

1. To assist in defining the service level targets for Systems Management with regard to the Tivoli solution.
1. To aid in the development of the Tivoli product suite to ensure such service level targets are consistently met or exceeded thereby fulfilling our contractual obligations.
1. To mentor and coach the Technical Specialists to ensure that they are motivated and empowered to enable them to achieve their full potential
1. To foster good working relationship with SMC staff, internal units, external suppliers and customers
1. To champion the use of quality throughout the unit to stimulate growth, achievement and pride in the team.
1. To foster commercial awareness and achieve profitability

10.1.2.2 RESPONSIBILITIES

1. To provide input into contingency measures to ensure that arrangements are in place to provide users with system access in an emergency.
1. To ensure that Requests for Change impacting Tivoli or the areas managed by the Tivoli are accurately costed and scheduled into the Tivoli/SMC work Programme.
1. To accurately manage and record progress of RFCs through the SMG so that Customer expectations, timescales and specifications are fully me',,.
1. To attend meetit-,gs with 'Customers, Suppliers, arid peers as required, and carry out appropriate action points.
1. To assist in the development of procedures to ensure that the integrity and security of SMC supported systems are maintained.
1. To assist in the management of the Implementation of new software.
1. To ensure Tivoli related processes are followed and reviewed in line with audit requirements.
1. To provide input into the IIP process for Pathway SMC Technical Specialists.
1. To facilitate the effective provision of fully supported management systems in line with local instructions.
1. To advise of new developments in the Tivoli product suite for incorporation in the Pathway solution.
1. To assist in the distribution of new versions of Tivoli software as required.
1. To diagnose and resolve Tivoli software incidents referred by the SMC, ensuring the effective performance of SMC is maintained and system availability targets are achieved and exceeded.
1. To provide the escalation point for complex Tivoli technical issues and skills transfers to SMC Technical Specialists as required.
1. To accurately maintain records of all incidents affecting Tivoli, to include resolution details and diagnostic information when required, providing updates to Known Error Logs as appropriate.
1. To analyse incidents to identify trends and requirements for the enhancement of the Tivoli product suite.
1. To escalate to the Service Manager any incident which may affect the security of

SMC Systems. See Section 9.

1. To assist in developing requirements for enhancements to the Tivoli product suite required.
1. To assist in the development of utilities in line with existing development procedures.
1. Act as primary interface between SMC and SMG to ensure that tools provided meet requirements and where requirements change, raise enhancement requests on the SMG.
1. Work closely with the SMC Technical Specialists to ensure a consistent approach when interfacing with SMG.

10.1.3 SMC Manager

10.1.3.1 Business Objectives

1. To develop the SMC Organisation and the individuals therein.
1. To ensure that service level targets are consistently met or exceeded thereby fulfilling our contractual obligations.
1. To ensure that all team members are motivated and empowered to enable them to achieve their full potential
1. To foster good working relationships with internal units, external suppliers and customers
1. To champion the use of quality throughout the unit to stimulate growth, achievement and pride in the team.
1. To foster commercial awareness and achieve profitability

10.1.3.2 Responsibilities

1. To oversee the effective provision of fully supported SMC services in accordance with the contracted Service Contract and Service Descriptions agreed with ICL Pathway.
1. To monitor and follow up problems referred for resolution.
1. To ensure that contingency arrangements are in place to provide users with system access in an emergency.
1. To ensure that Requests for Change impacting SMC or the areas managed by the SMC are accurately costed and scheduled into the SMC work Programme.
1. To accurately manage and record progress of RFCs through the SMC group so that Customer expectations, timescales and specifications are fully met.
1. To attend meetings with Customers, Suppliers, and peers as required, and ca,ry out appropriate action points.
1. To ensure that incidents logged outside working hours are fully supported by fully staffed shifts - as per the Contract.
1. To apply procedures to ensure that the integrity and security of SMC supported systems are maintained.
1. To perform the role of the SMC Quality Representative, attending quality meetings on behalf of SMC and ensuring all staff are aware of quality initiatives.
1. To manage SMC on a daily basis to achieve an acceptable and consistent quantity and quality of work.

POL00393875

1. To manage the Implementation of new software.
1. To ensure processes are followed and reviewed in line with audit requirements.
1. To take ultimate IIP responsibility for all Pathway SMC staff.

10.1.4 SMC Team Leader

10.1.4.1 Business Objectives

1. To ensure that service level targets are consistently met or exceeded thereby fulfilling our contractual obligations.
1. To assist in creating and maintaining good working relationships with internal units, external suppliers and customers
1. To take an active role in the self development process and maximise potential of others.
1. To participate in and take shared responsibility for the day to day implementation of quality within the unit.
1. To ensure that all team members are motivated and empowered to enable them to achieve their full potential

10.1.4.2 Responsibilities

1. Ensure that incidents referred to the group are dealt with effectively and in a timely manner to ensure resolution within the agreed SLA timescales.
1. To deal effectively with incidents escalated by SMC Technicians/SMC Technical Specialists and ensure the Management are kept abreast of the progress of major incidents to ensure resolution within SLA timescales and to escalate issues to higher management where appropriate, following established processes or Requests for Change.
1. Effectively manage the Change Request to ensure that they are impacted, tested and implemented to agreed timescales laid down on the requests and ensure that all involved parties are kept abreast of any issues.
1. Manage the Team to ensure full and effective implementation of relevant software within Service Targets, rollout, or other agreed timescales.
1. Manage staff on a day to day basis to ensure that they are well motivated ano given correct support to achieve a consistently high qual@ of work, aiming to meet all targets.
1. To actively demonstrate a willingness to continually and objectively review current working practices and procedures and make positive suggestions for any changes.
1. Carry out adhoc tasks as requested by managers within timescales set and to required standards.
1. Complete Performance Appraisal Reports on staff in a fair and considered manner and within agreed timescales.
1. Meet the training and development needs of staff by ensuring that they receive the required training outlined in their individual plans.
1. Effectively manage the staff both to ensure that key objectives are met and ensure the personal development of all staff. Agree 'SMART' Objectives.
1. Ensure that staff have periodic reviews of their performance to keep them informed of their progress and to review their personal objectives.

1. Work as a team with other Team Leaders to ensure a consistent approach to staff management.
1. Ensure that SMC Handover Logs are maintained. (3.6 & 3.7)
1. Manage their Team to ensure optimum staff utilisation in terms of call length management, individual workload, and achievement of required incident clearance rates etc.

10.1.5 SMC Technical Specialist

10.1.5.1 Business Objectives

1. To ensure that service level targets are consistently met or exceeded thereby fulfilling our contractual obligations.
1. To assist in creating and maintaining good working relationships with internal units, external suppliers and customers
1. To take an active role in the self development process and maximise technical potential of others.
1. To participate in and take shared responsibility for the day to day implementation of quality within the unit.

10.1.5.2 Responsibilities

1. To facilitate the effective provision of fully supported management systems in line with local instructions.
1. To provide software implementations and upgrades to the managed estate, following Change Control, testing and regression procedures as appropriate. To assist in the distribution of new versions of software as required.
1. To diagnose and resolve software and network incidents referred to the SMC, ensuring the effective performance of SMC is maintained and system availability targets are achieved and exceeded.
1. To provide the escalation point for complex technical issues and skills transfers to colleagues as required.
1. To accurately maintain records of all incidents affecting SMC, to include resolution details and diagnostic information when required, updating Known Error Logs as appropriate.
1. To analyse incidents to identify trends and refer hardware , software and network problems to the appropriate domains for resolution.
1. To escalate to the Manager or Team Leader any incident which may affect the security of SMC Systems. See Section 9.
1. To assist in the distribution of new Versions of software as required.
1. To develop utilities in line with existing development procedures.
1. Liaise with the SMG to ensure that tools provided meet requirements and where requirements change, raise enhancement requests on the SMG.
1. Work as a team with other Technical Specialists to ensure a consistent approach when interfacing with SMG as per 2.5.2. 1 0 above.

10.1.6 SMC Technician

10.1.6.1 Business Objectives

1. To ensure that service level targets are consistently met or exceeded thereby fulfilling our contractual obligations.
1. To assist in creating and maintaining good working relationships with internal units, external suppliers and customers
1. To take an active role in the self development process.
1. To participate in and take shared responsibility for the day to day implementation of quality within the unit.

10.1.6.2 RESPONSIBILITIES

1. To diagnose and resolve hardware, software and network incidents referred to SMC ensuring the effective performance of SMC is maintained and system availability targets are achieved and exceeded.
1. To accurately maintain records of all incidents affecting SMC, to include resolution details and diagnostic information when required.
1. To analyse incidents to identify trends and refer hardware and software problems to the appropriate domains for resolution.
1. To escalate to the Manager or Team Leader any incident which may affect the security of SMC Systems.
1. To assist in the distribution of new versions of software.
1. To develop utilities in line with existing development procedures.

10.2 Review Mechanisms - Internal

10.2.1 Meetings

1. Minutes of reviews will conform to the standard as described in para. 10.2.4. The minutes of review mechanisms are distributed to interested parties and a copy filed in the SMC library.
1. The SMC manager defines, plans and carries out reviews within the SMC section, the records of which demonstrates that Key Business Objectives are being adhered to.
1. The regular group meetings are indicated as follows:

10.2.2 SMC Meeting

Attended by:	SMC Manager/SMC Technical Team Leaders and nominated Technical Specialists and Technicians
Frequency:	Monthly
Purpose:	This acts as a forum disseminating information and group discussion.
Agenda:	1. Introductions and Apologies 2. Actions from Previous Meetings 3. Quality and Non Conformance 4. Operational Issues 5. Performance against Targets

6. Staffing Issues
7. Project Updates
8. Customer Care
9. AOB
10. Next Meeting

10.2.3 Other Meetings

The type and frequency of other meetings has yet to be determined. Details of such meetings when known will be included in the following format.

Attended byi TBA

Frequency: TBA

Purpose: TBA.

Agenda:
1. Introductions and Apologies
2. Actions from previous meetings
3. Issues
4. AOB
5. Next Meeting

10.2.4 Example Meeting Minutes

Date: 04 January 1997

Time: 09:00 Hours

Location STE09

Subject:

Meeting Number:

Attendees:

Distribution:

Agenda: 01 -

02 -

03 -

04 -

Distribution:

Attendees plus......

Action Mn/Ag/in		Action Notes	Actionee	Status
1.1.3	Closure Text	ANO	Closed	
1.2.5	Progress Report	ANO	Ongoing	
2.2.1	New Item Text	ANO		

Mn=Meeting Number

Ag=Agenda Item

In=Item Number

10.2.5 Reports

3.5.1 SMC section reports produced on a regular basis are indicated as follows:

3.5.2 Copies of all Reports to located in the local SMC library.

10.2.6 SMC Support Handover Log

Recipient: SMC Shift members

Frequency-. Daily

Function: Summary of support activities undertaken by the previous shift. T assist in the smooth transfer of responsibilities between shifts an ensure all current support issues are dealt with in a co-ordinate manner.

Format: TBA

10.2.7 SMC Handover Log

Recipient: Horizon System Helpdesk Manager/SMC Technical Team Leader

Frequency: Daily

Function: Summary of still open PowerHelp calls and other current activities being handled by the SMC in their capacity as the out of normal hours Horizon System Helpdesk. To assist in the smooth transfer of responsibilities back to the Horizon System Helpdesk from the SMC acting in their capacity as the out of normal hours Horizon System Helpdesk

Format: TBA

10.2.8 SMC Statistics Report

Recipient: TBA

Frequency: TBA

Function: TBA

Format: As detailed in SMC LWI (Reference: TBA)

10.2.9 SMC Management Report

Recipient: SMC SERVICE MANAGER

Frequency: Monthly

Function: Summary of the Performance of the unit over the last reporting period.

F o,@ m,:a," Reports sl-iould follow the format as indicated at Appendix 1 of this manual.

10.2.10 SMC Summary Progress Report

Recipient: SMC MANAGER

Frequency'. Monthly

Function This report pulls together the salient points from the SMC Individual Progress reports and generates a list of action points to be completed.

Format: As indicated in Appendix 1 of this manual

10.2.11 SMC Individual Progress Report

Recipient: SMC TEAM LEADER

Frequency: Monthly

Function: Summary provided by each SMC Team member detailing work undertaken in the previous reporting period, progress on objecbves, issues requiring further action

Format: As indicated in Appendix 1 of this manual

10.3 Customer Acceptance Criteria

See SMC Customer Acceptance Criteria (Ref:SM\ACC\001)

10.4 Customer Complaints

1. All customer complaints must be notified to the SMC Manager within three hours of receipt and a written report produced, if necessary, within one day. This report should, if produced, be copied to the SMC Service Manager.
1. In the absence of the SMC Manager e.g. out of normal hours, customer complaints must be notified to the relevant Team Leader for immediate action.
1. The SMC Manager and SMC Service Manager must be notified of all formal customer complaints on the day they are made or, if out of normal office hours, the first working day afterwards.
1. Further actions to be taken in respect of customer complaints are as indicated in the ICL CFM DSD Pathway Operations Manual (Ref: ICL\CFM\DSD\Path\OM\2.0)

10.5 Recognition

1. The SMC will fully support the recognition scheme described in Section 8 of the DSD Operations Manual (Ref: ICLS\DSD\OM) .
1. Local Records of nominations for Excellence Awards will be maintained in personnel sub files by the SMC Manager.
1. "Thank You" letters and other plaudits from customers etc. will be filed locally, and copies both included in personnel sub files as appropriate and passed to the individual(s) subject of the plaudit.
1. Copies of the excellence nomination forms are held by the SMC Manager for use by any staff wishing to make a nomination, together with guidance'on their completion.

10.6 Skills

The SMC Manager will ensure that skill level charts for SMC staff are created and maintained:

1. to demonstrate that the type of services which are on offer to customers can be provided from more then one source

1. to enable training and development plans for both individuals and the unit to be optimised

10.7 Skills Grade Criteria

Grade 0	Not applicable.
Grade 1	Training but still consolidating training.
Grade 2	At least 6 months application of skill.
Grade 3	12 Months or more application of skill.

Example of a skills chart for SMC is included as Appendix 2 of this Operations Manual

10.8 Contingency, Security And Risk

10.8.1 Contingency Plans

See SMC Contingency Plan (Ref:SM\CGY\001)

10.8.2 Security And Risk Analysis Plans

See SMC Security and Risk Analysis Plan (Ref:SM\S&R\001)

10.9 Escalation

See SMC Escalation Management (Ref- SM\ESC\001)

10.10 Training Plan

1. TheSMCManagerwillensurethatatrainingplaniscreatedandmaintained for each individual member of SMC staff.
1. The plan will support the requirements of the SMC and underpin the findings of the skills register.
1. All training requirements will be registered with the SMC Manager who will also create electronic records of training booked and completed.
1. The provisional training plans will be held in the Staff Appraisal folders held by the SMC Manager.

10.11 Audit Reports And Corrective Actions

1. The Pathway Services Division Quality Manager schedules all Internal Audits within the Division. Responsibilities of the Internal Audit processes are defined by the Quality Manager.
1. The responsibilities detailed in the Quality Systems Audit Process [Ref Path\QM\OI] will be fully supported by the SMC.
1. Corrective actions will be assessed and planned within the Systems Management Centre review mechanisms (See Section 3).

1. Non conformance as a result of internal or external audits will be reviewed until closure in the SMC Meeting under the Quality agenda heading.
1. Master copies of Audit Reports and Corrective Action Plans appertaining to the SMC will be filed in folders held in the Pathway Services Division Central Library FEL01. An additional reference (not under document control) copy will also be lodged in the local Horizon System Helpdesk/SMC documentation facility.

10.12 Staff Appraisals

10.12.1 SMC Manager's Responsibilities

The SMC Manager will prepare an appraisal plan for SMC members together with a scheduled appraisal review date.

Records of appraisal completion will be maintained by the SMC Manager and copies forwarded to the Personnel Group for central filing.

Each individuals completed appraisal will be held in their Staff Appraisal File held by the SMC Manager. A copy will also be given to the individual subject of the appraisal

10.13 Documentation

10.13.1 Key Documents

1. The SMC Manager is responsible for ensuring that the latest versions of all controlled documents are available at the points of need and that the obsolete versions are withdrawn.
1. Copies of all SMC key documents are held in the Horizon System
1. Helpdesk\SMC local documentation facility. Copies will also be lodged with the PSD Central Library FEL01.
1. SMC Controlled Documents from other Pathway Project Service Providers Index
1. The master copy of all controlled documents from other Pathway Project
1. Service Providers relating to the SMC will be held in the Pathway Services Division Central Library FEL01. Any additional copies required for local use will be kept in the local Horizon System Helpdesk/SMC documentation facility.

10.13.2 ICL CFM Pathway Services Division Operations Manual

The master reference copy of the Pathway Services Division Operations Manual (Ref: ICL\CFM\DSD\Path\OM\2.0) will be held in the Pathway Services Division Central Library FEL01. A local reference copy will be held in the Horizon System Helpdesk/SMC Documentation facility at each Horizon System Helpdesk/SMC site and will be marked as follows:

REFERENCE COPY ONLY-NOT UNDER CHANGE CONTROL, and dated.

The copy should not he retained beyond 6 months of dating.

10.13.3 SMC Binder Library

1. The SMC Binder library (physically held within the Horizon System Helpdesk/SMC documentation facility) consists of all the SMC Quality Documentation (Operations Manual(s), Work Instructions, and other additional

POL00393875

internal and external reference documentation) required for local access.

1. Binders must not be removed from the SMC and must remain available to all unit members.

11

Card and PUN production

De La Rue Card Systems (DLR) provide a card and PUN production service for ICL Pathway.

A card request is received by the CMS database from CAPs and is routed into DLR. A card request batch which is sent to DLR contains the cardholder details in a card file and also a PUN file which contains details to activate the card. Cards are produced and despatched to a customer's nominated post office. PUNs are produced only after the associated card has left the DLR premises and are despatched directly to a customer's home address.

The interface between CMS and DLR is defined in the DLR High Level Design document (SU/DES/0006 v3.0).

<information needed>

12

Rollout: Cards/PUNS and Temporary Tokens

<information needed>

13

POCL Card Receipt Service

<information needed>

14

Operational Business Change

ICL Pathway provides services to implement standard changes, as defined in the contractual change service matrix. Standard changes are those that can be identified and prepared for in advance, and that do not require software code changes. Many of these changes are supported by changes to reference data. Standard changes are either related to POCL Outlets, for example, relocating an office, or to the Products sold at POCL Outlets, for example, changing the price of stamps.

14.1 Operational Business Change - Outlets

A Change Proposal/Request is raised to include the change service matrix as a contractual document, together with the mechanism for using these processes to by-pass the Change Request process for standard steady state changes.

The volume of change covered by the contract is declared in the Authorities Schedule A06 [8]. Thereafter, all outlet changes are chargeable.

14.1.1 Change types

Outlet changes are categorised into the following types.

14.1.1.1 Delayed opening

Closed for less than one day and Pathway are not informed.

Note: The postmaster MUST complete the End of Day procedures.

14.1.1.2 Emergency closure

Minimal notice is given of closure and it can only be temporary arrangement.

The closure may last from less than one day, up to the point that an alternative Nominated Post Office is available or the office re-opens or permanently closes.

14.1.1.3 Simple re-opening

It only applies following an emergency closure when no site visit or data change is needed before re-opening.

14.1.1.4 Standard closure

All non-emergency closures. Notice is given. All permanent closures are standard.

14.1.1.5 Refurbishment (same counter configuration)

Office closes, Pathway remove & relocate same equipment.

14.1.1.6 Open/Relocation/ Refurbishment (new counter configuration)

Re-opening where site visit (including refurbishment) or data change required.

New opening.

Relocation: move equipment etc from one site to another, with same FAD code.

14.1.1.7 Office Details

Details about the office change and Pathway need notice to implement the change successfully (not FAD code).

14.1.1.8 Planned Outlet Reference Data

Data that supports changes to the information about the PO retail network.

14.1.1.9 Outlet data only

Data that supports changes to the information about the PO retail network and does not impact Pathway, can be implemented with no manual intervention by Pathway.

14.1.2 Card & payment management

Emergency and standard closures, refurbishment and relocation all require processes for managing benefit cards and payments during outlet closures. The closure types are as follows.

14.1.2.1 Temporary closures:

1. Short term	Any duration when there is no alternative NPO notified to Pathway
2. Medium Term - no card re-issue	Requires 1 days notice & expected for a closure of at least 3 days
3. Medium Term - with card re-issue	Requires 3 days notice & expected for a closure of 7 days or more.

14.1.2.2 Permanent closures require 2 weeks notice.

The result of a permanent closure is the permanent transfer of all beneficiaries from the closing office to the alternative one and the removal of all equipment from site. If a temporary closure lasts for a significant period of time, POCL may initiate permanent closure procedures, or a subset of those procedures, for example, transfer the beneficiaries and remove the counter terminal but do not remove the ISDN connection.

These timescales are not restrictive, the availability of other information, for example, alternative NPO is the defining factor. The times are indicative and POCL may select whichever closure type is appropriate and in line with their agreement with DSS. Pathway will implement the change as requested. (see ref 5 for further details of payment methods during office closure).

14.1.3

POL00393875

Top Level Processes - Outlet

The table below gives the top level view of the processes for outlet change. The four elements of each change are as follows::

1. Management
1. Notification
1. Implementation
1. Acceptance.

The services that make up each element are given, for the different change types.

The last column gives the assumptions that have been made during the creation of these processes. Pathway can manage changes that do not meet these assumptions as exceptions to the process. They are managed by the OBC Service Manager as part of the service so-ordination task and may require different notice periods.

POL00393875

	Management			Assumptions:
	Notification	Implementation	Acceptance	(NB deviation from these assumptions will be managed through the Service Co-ordination activity)
Emergency Closures	Helpdesk call	Service co-ordination Card & Payment mgt Equipment change	Call closure	* CANs and Authenticated helpdesk calls remove the need for explicit purchase orders * Pathway are not notified of closures lasting < 1 day * Pathway are told of closures and openings immediately, therefore, do not monitor closures * Estimates are based on offices having 2 counter positions * All offices are closed during refurbishment * A day is 8hrs of a working day * POCL provide a compliant counter where possible - including provision of electical circuitry * Only Pathway equipment is moved - e.g. not scales, APPU or fixtures & fittings
& Simple Re-opening	Helpdesk call	Service co-ordination Card & Payment mgt	Call closure	
Standard Closures	Change Advice Form	Service co-ordination Card & Payment mgt Equipment change Infrastructure change Ref Data management	Sign off	
Refurbishment - no change in counter configuration	Change Advice Form	Service co-ordination Card & Payment mgt Infrastructure change Equipment change	Sign off	
Open/ Relocation /Refurbishment - for change in counter configuration	Change Advise Form	Service co-ordination Card & Payment mgt Infrastructure change Equipment change Ref Data management Training	Sign off	
Office details	Change Advise Form	Service co-ordination Ref Data management Details Change	Acceptance	* tba
Planned Outlet Reference Data	Change Advise Form	Service co-ordination Transfer data Change Control Error management	Acceptance Release to live	
Outlet Data only		Transfer data Change Control	Release to live	

14.1.4

Change Advice Note (CAN) details

The Change Advice Note from POCL to ICL Pathway that requests the implementation of change should contain the following information. If the information is not provided in the CAN, the assumptions made will be given in the CAN Response Form (ICL Pathway's acceptance of the request for change).

All	FAD Reason for change Contact name & numbers / addresses Due date & time of completion Automated office Authorised signature
Closures	Duration Payment instructions e.g. short term Suspend FE or medium term Alternative NPO & card re-order (medium term) Security of equipment / Equipment removal Confirmation of cards' status i.e. secured, destroyed, transferred
For all site visits	PO Name PO Address Outlet phone number Number of counters Date and Time of access to site
- opening only	New PO Name New PO Address New PO phone number Staff to be trained ISDN line install/move/removal Configuration changes
Data	Unique CAN Number (to be copied onto ref data file) Contact details for data queries Data start date

14.1.5

POL00393875

Release 1c

These processes supersede the release 1c processes for outlet change [ref 7].

However the following points must be noted:

1. There is no medium term temporary closure process for card & payment management at Release 1c.
1. Pathway can only install equipment for new openings or relocations if there is a compliant counter, at Release 1c.
1. Reference data is sent manually from POCL to Pathway at Release 1c, only for details about those offices involved in Release 1c, and is updated manually by Pathway.

14.1.6

POL00393875

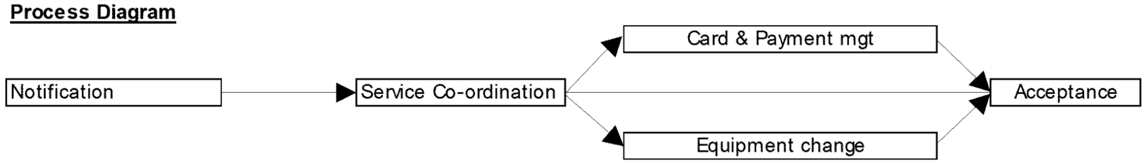
Second Level Processes - Outlet

14.1.6.1 Emergency Outlet closure & simple re-opening processes

Note: It is assumed that POCL to not amend Reference Data with details of emergency closures.

Emergency closure

Process Diagram



Process Step	**Actors**	**Activities**
Notification	POCL	Inform beneficiaries of actions to be taken
	POCL	Inform Alternative Post Office about closure & expected increase in business volumes
	POCL	Notifiy DSS of emergency closure
	DSS	Prepare regional offices for increase in workload
	POCL	RHL call HSH to inform Pathway of emergency closure & its duration
		(NB all other callers reporting closures are directed to the RHL)
	HSH	Carry out caller authentication [method tba see ref 2]
Service co-ordination	HSH	Raise Powerhelp call, confirm POCL contacts & give RHL call reference number
	(HSH	If office is non-automated, notify Rollout of closure)
	RHL	Phone HSH weekly with status report, if duration of closure is not initially known
		(NB closure status may go from short term to medium term)
	RHL	If medium term, provide Alternative NPO and state whether cards should be re-ordered
	RHL	Confirm PM has secured benefit, PMMC cards & PIN at office until re-opening
	RHL	Confirm security of Horizon equipment with HSH, or request its removal
	RHL	Confirm access times if equipment removal required
	HSH	Arrange for engineer to visit site, if equipment is at risk
	HSH	Inform PCHL of short term/ medium term emergency closure & details
	HSH	Cancel other, pre-arranged visits to site, if necessary
	HSH	Notify SMC
	SMC	Disable counters [method tba]
	TBA	Manage notification of TPS, APS, MIS [method tba]
	HSH	Escalate, if necessary [see ref 9]
	HSH	Report number & type of incidents to CS OBC [method tba]
	CS OBC	Manage commercial aspects of closures
Card & Payment Mgt		
(short term)	PCHL	Suspend Foreign Encashment count
(medium term)	PCHL	Re-direct payments to Alternative NPO & re-order cards if requested (not RPOIs)
		(if a card re-order has been requested, the unissued cards in the original NPO will be stopped by PCHL)
(both)	POCL	PM/RNM secure un-issued benefit cards until office re-opens
	RML	Secure undelivered cards until collected, or return to PCHL after 14 days
	PCHL	If cards are returned by RML, [JW to confirm action]
	HSH/PCHL	Direct all office opening queries to POCL Helpline
	HSH/PCHL	Direct all customer payment queries to DSS (e.g. for RPOIs)

cont/…

cont/….

Equipment change		
(if equipment is at risk)	POCL	PM/ RNM complete system shutdown [method tba] & secure PMMC card & PIN
	UKSS	Following system shutdown: remove Pathway equipment
	UKSS	Obtain PM sign off on engineer site visit form
	UKSS	Conduct basic check/clean & secure equipment for re-installation
	UKSS	Manage inventory changes of Pathway equipment
	UKSS	Notify HSH that the job is complete
Acceptance	HSH	Confirm all actions complete & close call

(NB If this closure becomes permanent, POCL will invoke the Standard Closure Process)

Simple re-opening

(NB this can only follow an emergency closure and if no site visit is required)

Notification	POCL	Inform beneficiaries of re-opening
	POCL	Inform Alternative NPO of re-opening
	POCL	Inform DSS temporarily closed office has re-opened
	POCL	RHL call HSH, provide HSH call ref number & request re-opening activities
	HSH	Carry out caller authentication [method tba see ref 2]
Service co-ordination	(HSH	If office is non-automated, raise call & notify Rollout)
	HSH	Otherwise, confirm no site visit is required (else, invoke Standard Opening Process) & raise call
	HSH	Inform PCHL of re-opening
	HSH	Notify SMC
	SMC	Run s/w catch up and prepare system for use & confirm with HSH
	TBA	Manage notification of TPS, APS, MIS [method tba]
	HSH	Escalate, if necessary [see ref 9]
	HSH	Report number & type of incidents [method tba]
Card & Payment Mgt		
(short term)	PCHL	Unsuspend FE count (there is one-day's grace for beneficiaries who do not know the office has re-opened)
(medium term)	PCHL	Re-direct payments back to original NPO and re-order cards if required (if a card re-order has been requested, the unissued cards in the Alternative NPO will be stopped by PCHL)
	POCL	PM/RNM collect undelivered benefit cards (if less than 14 days) for issue as normal
	POCL	Direct all customer payment queries to DSS
	DSS	Call PCHL to issue new cards when required
Acceptance	HSH	Confirm all activities are complete & close call

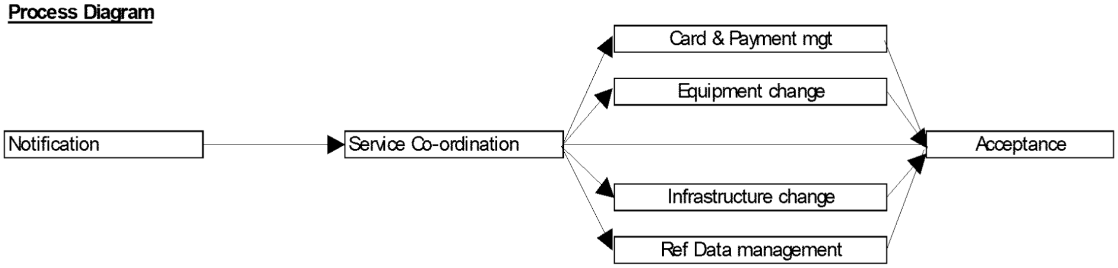
14.1.6.2

Standard Outlet closure process

Standard closure

(includes permanent closure)

Process Diagram



Process Step	Actor	Activities
Notification	POCL	Inform beneficiaries of actions to be taken
	POCL	Inform Alternative Post Office about closure & expected increase in business volumes
	POCL	Inform DSS of temporary closures
	DSS	Prepare regional offices for increase in workload
	POCL	POCL Authoriser sends Pathway a Change Advice Note (CAN)
	CS OBC	Impact change & send CAN Response form detailing Pathway services & assumptions
Service co-ordination	CS OBC	Schedule changes
	CS OBC	Ensure all parties are aware of closure [method tba]
		(PCHL, HSH, UKSS, SMC, SSC, CFM Networks, CFM N.I., CSRD and Rollout)
	POCL	RHL to contact HSH if agreed time of visit to be changed [tba]
	CS OBC	Manage delivery of change, including variations to standard services
	TBA	Manage notification of APS [method tba]
	CS OBC	Escalate, if necessary [see ref 9]
	CS OBC	Report number & type of changes for invoicing [method tba]
	CS OBC	Manage update of Dispatch One, Auto config tool, 'Live Notification Report' & Active Outlets Table
Card & Payment Mgt		
(temporary closure):		
- (short term)	PCHL	Suspend Foreign Encashment count
- (medium term)	PCHL	Re-direct payments to Alternative NPO & re-order cards if requested
		(if a card re-order has been requested, the unissued cards in the original NPO will be stopped by PCHL)
- (both)	POCL	RM/RNM secure un-issued benefit cards until office re-opens
	RML	Secure undelivered cards until collected, or return to PCHL after 14 days
	PCHL	If cards are returned by RML, [JV to confirm action]
	HSH/PCHL	Direct all office opening queries to POCL Helpline
	HSH/PCHL	Direct all customer payment queries to DSS
(permanent / long term closures *)		
* requires 2 weeks notice		
	(NB may have started as temporary closure)	
	POCL	Send closure & alternative office details to DSS CAPS
	DSS	Update payment records & send to PAS/CMS
	PAS/CMS	Update beneficiary records & to order new cards & payments for Alt NPO
	PAS/CMS	Update PCHL & DLR
	POCL	RM/RNM destroy old benefit cards from permanently closed office

cont/…

cont/…

Equipment change (site visit required)		
	POCL	PM/RNM to complete system shutdown [method tba]
	HSH	Schedule engineer to site, if permanent closure or kit at risk during temp closure
	UKSS	Remove Pathway equipment, once shutdown is complete (i.e. not scales/APPU etc)
	UKSS	Manage inventory changes of Pathway equipement
- (temp closure only)	POCL	PM/RNM secure PMMC card & PIN
	UKSS	Conduct basic clean/check & secure equipment waiting for re-installation
	SMC	Disable counters [method tba]
- (permanent only)	UKSS (tba)	Retain PMMC cards, or instruct postmaster to send them to Pathway FREEPOST address
	UKSS	Remove re-useable LAN components
	UKSS	Return equipment for rework/refurbishment [method tba]
	CFM Networks	Manage cessation of ISDN
	CS CBC	Manage system and data purging [method tba]
- (both)	UKSS	Obtain PM/RNM sign off on engineer site visit form
	UKSS	Notify HSH when job is complete, to close call
	HSH	Escalate, if necessary [see ref 9]
Infrastructure Change	POCL/Owner	Manage removal of Pathway electric circuitry & other fittings (permanent closure only)
Ref Data Management*		
* for futher details see ref data change processes		
(temp & perm closures)	POCL	RDP send closure details to Pathway, via POCL Authoriser (with CAN Number)
	CS RDRM	Raise Ref Data Release Note
	CS RDT	Manage update of data in RDMC & feeds to MIS & counters
	CS RDRM	Escalate, as necessary [see ref 9]
(permanent only)	POCL	RDP send closure data to DSS CAPS
	DSS	Send closure details to Pathway to update PAS/CMS
Acceptance	CS CBC	Confirms POCL have signed off engineer's site visit form
	CS RDRM	Ref Data Release Manager signs off Ref Data Release Note
	CS CBC	Manages submission of 'invoice' for call-off against blanket purchase order (method tba)

14.1.6.3

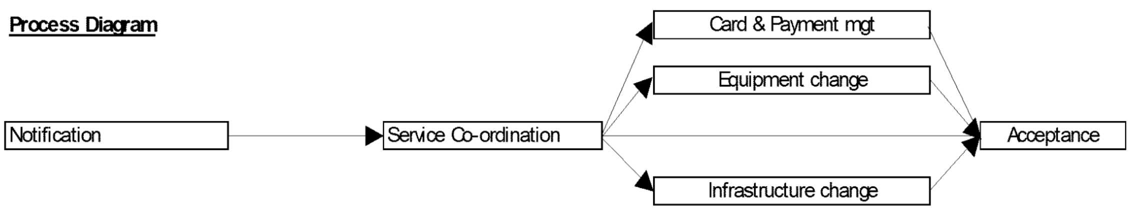
POL00393875

Outlet Refurbishment process (same counter configuration)

Refurbishment

(no change in counter configuration - assumes office closure)

Process Diagram



Process Step	Actor	Activities
Notification	POCL	Inform beneficiaries of actions to be taken
	POCL	Inform Alternative Post Office of closure/ re-opening during refurbishments & relocations
	POCL	Inform DSS of closure/ re-opening during refurbishments & relocations
	DSS	Prepare regional offices for temporary increase in workload
	POCL	POCL Authoriser sends Pathway CS a Change Advice Note
	CS CBC	Impact change & send CAN Response form detailing Pathway services & assumptions
Service co-ordination	CS CBC	Schedule Changes
	CS CBC	Ensure all parties are aware of closure (method tba) (POHL, HSH, UKSS, WTL, SMC, SSC, CFM Networks, CFM N.I., CSRD and Rollout)
	POCL	RHL to contact HSH if agreed time of visit to be changed (tba)
	CS CBC	Manage delivery of change, including variations to standard services
	SMC	Disable counters during temporary closure (method tba)
	TBA	Manage notification of TPS, APS, MIS (method tba)
	CS CBC	Escalate, if necessary (see CS/PRD/021)
	CS CBC	Report number & type of changes for invoicing (method tba)
Card & Payment Mgt		
Temporary closure		
- (short term)	POHL	Suspend Foreign Encashment count
- (medium term)	POHL	Re-direct payments to Alternative NPO & re-order cards if requested (if a card re-order has been requested, the unissued cards in the original NPO will be stopped by POHL)
- (both)	POCL	PM/RNM secure un-issued benefit cards until office re-opens
	RML	Secure undelivered cards until collected, or return to POHL after 14 days
	POHL	If cards are returned by RML, [JW to confirm action]
	HSH/POHL	Direct all office opening queries to POCL Helpline
	HSH/POHL	Direct all customer payment queries to DSS
Re-opening		
- (short term)	POHL	Unsuspend FE count (there is one-day's grace for beneficiaries who do not know the office has re-opened)
- (medium term)	POHL	Re-direct payments back to original NPO and re-order cards if required (if a card re-order has been requested, the unissued cards in the Alternative NPO will be stopped by POHL)
- (both)	POCL	PM/RNM collect undelivered benefit cards (if less than 14 days) for issue as normal
	POCL	Direct all customer payment queries to DSS
	DSS	Call POHL to issue new cards when required

cont/…

cont/…

Infrastructure Change	POCL	Provide compliant counter
	Refurbisher	Conduct survey & provide basic modifications for compliant counter
	CS CBC	If non-compliant counter, manage re-survey and quote [CP required]
	Refurbisher	Maintain site survey plans [method tba]
Equipment change		
(closure)	HSH	Raise call & schedule engineer to site
	POCL	PM/RNM to complete system shutdown [method tba] & secure PMMC card & PIN
	UKSS	Once shutdown complete, remove Pathway equipment, including LAN components if required
	UKSS	Conduct basic check/clean & secure equipment waiting for re-installation
	CFM Networks	Manage changes to ISDN, as required
	UKSS	Manage Pathway inventory changes, as required
(opening)	POCL	Confirm site is ready for re-installation (method tba)
	UKSS	Install equipment & LAN components
	UKSS	Request (via HSH) SMC to prepare counter software
	SMC	Run urgent s/w catch up and prepare system for use
	SMC	Confirm system is ready for use
	POCL	Swipe PMMC card with PIN, under engineer instruction
	UKSS	Test re-installation
	UKSS	Obtain PM/RNM sign off on engineer site visit form & inform HSH install complete
	HSH	Inform PCHL of re-opening
	HSH	Escalate, as necessary [see ref 9]
	HSH	Confirm all opening actions are complete & close call
	SMC	Run non-urgent s/w catch up
Acceptance	HSH	Confirm POCL have signed off engineer's site visit form to CS CBC [method tba]
	CS CBC	Manages submission of 'invoice' for call-off against blanket purchase order [method tba]

14.1.6.4

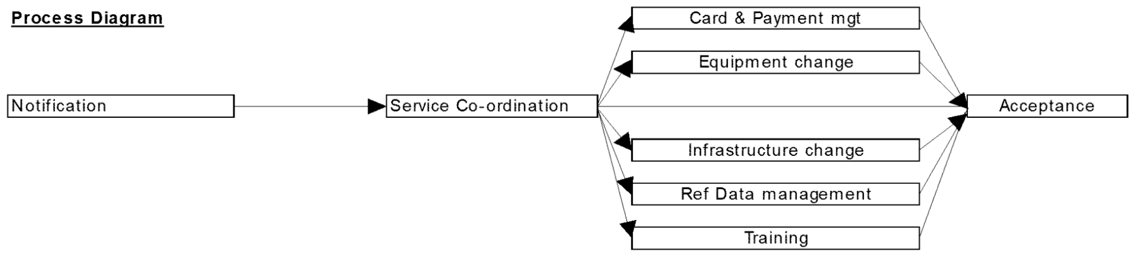
POL00393875

Outlet Open/ Relocation / Refurbishment processes

Open/Relocation*/Refurbishment^

* (if FAD code changes, relocation is standard closure & new opening)
^ (when refurbishment requires change in counter configuration - assumes office closes)

Process Diagram



Process Step	Actor	Activities
Notification	POCL	Inform beneficiaries of actions to be taken during closure/ re-opening
	POCL	Inform Alternative Post Office of closure/ re-opening during refurbishments
	POCL	Inform DSS of closure/ re-opening during refurbishments
	DSS	Notify regional offices of temporary increase in workload during closures
	POCL	POCL Authoriser sends Pathway CS a Change Advice Note
	CS OBC	Impact change & send CAN Response form detailing Pathway services & assumptions
Service co-ordination	CS OBC	Schedule Changes
	CS OBC	Ensure all parties are aware of closure & co-ordinate tasks [method tba] (PCHL, HSH, UKSS, WTL, SMC, SSC, CFM Networks, CFM N.I., CSRD and Rollout)
	POCL	RHL to contact HSH if agreed time of visit to be changes [tba]
	CS OBC	Manage delivery of change, including variations to standard services
	CS OBC	Co-ordinate card & payment and ref data management tasks with the physical opening (if office not ready to open on expected date, temporary closure card & payment processes should be initiated)
	CS OBC	Identify whether Relocation moves outlet from 'Local' to 'Remote' categorisation
	TBA	If change of category, amend look-up table in MIS system.
	TBA	Manage notification of TPS [method tba]
	CS OBC	Escalate, if necessary [see ref 9]
	CS OBC	Report number & type of changes for invoicing [method tba]
	TBA	Confirm ISDN availability at new site
	CS OBC	Manage update of Dispatch One, Auto config tool, 'Live Notification Report' & Active Outlets Table
Card & Payment Mgt		
Relocation	POCL	PM/RNM securely transfer benefit cards to new office (If neither the old nor the new office is open during relocation, temporary closure is initiated - see refurbishment)
Closure during refurbishment		
- (short term)	PCHL	Suspend Foreign Encashment count
- (medium term)	PCHL	Re-direct payments to Alternative NPO & re-order cards if requested (if a card re-order has been requested, the unissued cards in the original NPO will be stopped by PCHL)
- (both)	POCL	PM/RNM secure un-issued benefit cards until office re-opens
	RML	Secure undelivered cards until collected, or return to PCHL after 14 days
	PCHL	If cards are returned by RML, [JW to confirm action]
	HSH/PCHL	Direct all office opening queries to POCL Helpline
	HSH/PCHL	Direct all customer payment queries to DSS
Re-opening after closure for refurbishment		
- (short term)	PCHL	Unsuspend FE count (there is one-day's grace for beneficiaries who do not know the office has re-opened)
- (medium term)	PCHL	Re-direct payments back to original NPO and re-order cards if required (if a card re-order has been requested, the unissued cards in the Alternative NPO will be stopped by PCHL)
- (both)	POCL	PM/RNM collect undelivered benefit cards (if less than 14 days) for issue as normal
	POCL	Direct all customer payment queries to DSS
	DSS	Call PCHL to issue new cards when required
New opening	POCL	Send new office details to DSS CAPS
	DSS	Update records & send to PAS/CMS
	PAS/CMS	Change record to show office as open. Awaiting payments from DSS
	Beneficiary	May request to change NPO to new office

cont/…

cont/…

Infrastructure Change	POCL	Provide compliant counter
	Refurbisher	Conduct survey & provide basic modifications for installation, if compliant counter
	CS CBC	If non-compliant counter, manage re-survey & quotation [requires a CP]
	Refurbisher	Configuration/network design
	Refurbisher	Capacity management
	Refurbisher	Installation planning
	Refurbisher	Management & co-ordination
	Refurbisher	Maintain site survey plans [method tba]
Equipment change	HSH	Raise call & schedule engineer to site
	UKSS	Manage inventory changes of Pathway equipment
Refurb/ Relocat (closure)	POCL	PM/RNM to complete system shutdown [method tba]
	UKSS	Once shutdown complete, remove Pathway equipment, including LAN as required
	UKSS	Conduct basic check/clean & secure equipment waiting for re-installation
Refurb (temp closure)	POCL	PM/RNM secure PMMC card & PIN
Relocat - old office (perm closure)	POCL	PM/RNM securely transfer PMMC & PIn to new site
	UKSS	Remove re-useable LAN components
	CFM Networks	Manage cessation of ISDN
	CS CBC	Manage system and data purging [method tba]
Refurb & Relocat - new office (opening) & New Openings	POCL	Confirm site is ready for re-installation (method tba)
	CFM Networks	Manage installation/ move of ISDN
	UKSS	Order & receive new equipment, if required
	UKSS	Install equipment & LAN components
	UKSS	Request (via HSH) SMC to prepare counter software
	SMC	Run urgent s/w catch up and prepare system for use
	SMC	Confirm system is ready for use
	POCL	Swipe PMMC card with PIN, under engineer instruction
	UKSS	Test re-installation
	UKSS	Obtain PMRNM sign off on engineer site visit form
	UKSS	Notify HSH when job is complete
	HSH	Escalate, if necessary [see ref 9]
	SMC	Run non-urgent s/w catch up
Ref Data Management*	* for futher details see ref data change processes	
Refurb (temp closure) & New openings	POCL	RDP send closure details to Pathway, via POCL Authoriser (with CAN Number)
	CS RDRM	Raise Ref Data Release Note
	CS RDT	Manage update of data in RDMC & feeds to MIS & counters
New opening only	POCL	RDP send new details to DSS CAPS
	DSS	Send new details to Pathway to update PAS/CMS
Training	POCL	Provide (or transfer between offices) counter operations manuals and training guides
New opening	POCL	Complete postmaster training in time for installation, if required
	POCL	Confirm postmaster training to Pathway [method tba]
	HSH	Mark office as using new staff, for information
Acceptance	CS CBC	Confirms POCL have signed off engineer's site visit form
	CS RD	Ref Data Release Manager signs off Ref Data Release Note
	CS CBC	Manages submission of 'invoice' for call-off against blanket purchase order [method tba]

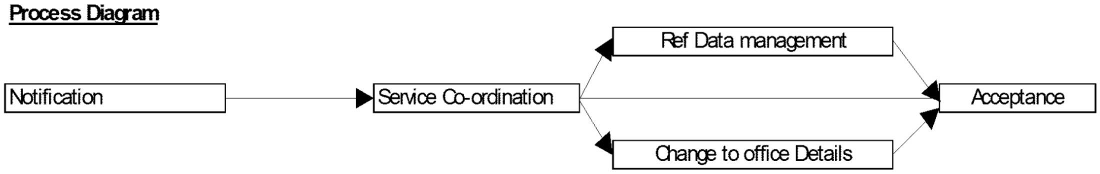
14.1.6.5

POL00393875

Office Details Change

Details of Postcode (no relocation) / Telephone numbers / Opening times changes

Process Diagram



Process Step	Actor	Activities
Notification	POCL	POCL Authoriser sends Pathway CS a Change Advice Note
	CS CBC	Impact change & send CAN Response form detailing Pathway services & assumptions
Service co-ordination	CS CBC	Manage delivery of change, including variations to standard services
	CS CBC	Escalate, if necessary [see ref 9]
	CS CBC	Report number & type of changes [method tba]
Change to Office Details		
Postcode	TBA	Identify if change affects contract
	TBA	If yes, update MIS look-up table for local / remote identifiers
	TBA	And update contractual documentation
Opening times	TBA	Update Distpatch One
Telephone number	TBA	Update PAS/CMS for PCHL
Ref Data Management*	* for further details see ref data change processes	
	POCL	RDP send details to Pathway, via POCL Authoriser (with CAN Number)
	CS RD	Raise Ref Data Release Note
	CS RD	Manage update of data in RDMC & feeds
Acceptance	CS RD	Ref Data Release Manager signs off Ref Data Release Note

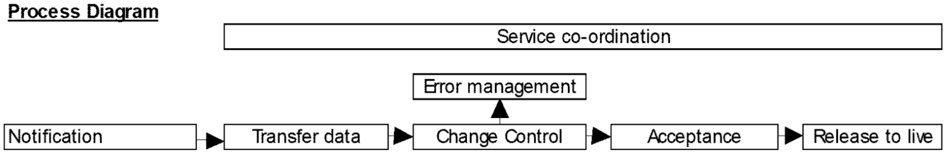
14.1.6.6

Planned Outlet Reference Data Change

Planned Outlet Reference Data Change

- This process supports other outlet change processes that require amendments to reference data

Process Diagram



Process Step	Actors	Activities
Notification	POCL Authoriser	Submit CAN to CS OBC (with unique CAN No., contact details, & start dates)
	(see outlet process for details of other activities)	
Service co-ordination	CS OBC	Notify CS RDT of requirement for ref data change
	CS RDT	Notify CS RDRM of requirement for ref data change
	CS RDRM	Raise Ref Data Release Note with all CAN details
	CS RDRM / RMF	Schedule activities
	CS RDRM	Monitor activities against schedule, start date of data & escalate as necessary [see ref 9]
Transfer data	POCL RD	Send Type A data over AIS
	RDMC	Load Type A data & return format errors over AIS to POCL RD [incident]
	POCL RD	Resolve Pathway & TIP errors, send correction file & inform Authoriser
	POCL Authoriser	Confirm to CS RDT all data has been successfully sent to Pathway & TIP
	RDMC	Archive all input files & transform data
Change Control	CS RDT	Create "System Label" from CAN, with unique CAN Number
	CS RDT	Identify all files required for each CAN change
	CS RDT	Check all files & raise queries with POCL Authoriser [Incident] - [requirements tba]
	CS RDT	Associate data and error files to correct "System Label" & sign off Ref Data Release Note that data is ready for release
Error management	POCL	Resolve error & submit correction file with new CAN & Number to CS RDT
	CS RDT	Associate correction file with "System Label" for original CAN Number
Acceptance	CS RDRM	Release successful changes for POCL Authoriser to review, if required [requirements tba]
	CS RDT	Either notify POCL Authoriser change is available for review, or certify success to them [method tba]
	POCL Authoriser	Receive notification or certification from CS RDT
	POCL Authoriser	Review change, if required [requirements tba]
	POCL Authoriser	Sign off change & confirm to CS RDT
	POCL Authoriser	Reject change & report errors to CS RDT [incident]
	CS RDT	Sign Ref Data Rel Note to confirm POCL acceptance of change
	CS RDT	Raise PinICL for errors [incident]
Release to live	CS RDRM	Confirm change is complete & free from error & sign off Ref Data Release Note
	CS RDRM	Inform CS OBC & wait for confirmation to release
	CS RDRM	Release change to live counters, MIS, other
	TBA	Non- delivery reports [method tba if possible] - [incident]
	CS RDRM	Inform Support of release [tba]
	SMC	Monitor calls for problems with release [incident] (problems may arise from counter staff, MIS reports, POCL TP, Accounting, other)
	POCL PM	Report address errors to RHL [incident] - [method of resolution tba]

14.1.6.7

POL00393875

Outlet Data Only Change

Outlet Data Only change

- The use of this process has not been agreed in principle, but would support changes to POCL organisational information that required no Pathway intervention, other than to process the data

Process Diagram

Transfer data → Change Control → Release to live

Process Step	Actors	Activities
Transfer data	POCL RD	Send Type A data over AIS
	RDMC	Load Type A data & return format errors over AIS to POCL RD [incident]
	POCL RD	Resolve Pathway & TIP errors, send correction file
	RDMC	Archive all input files & transform data
Change Control	CS RDT/ software	Check all files & raise queries with POCL RD [Incident] - [requirements tba]
	CS RDT	Notify CS RDRM of change
Release to live	CS RDRM	Release change to live counters, MIS, other
	CS RDRM	Record release & notify CS CBC [method tba]
	CS RDRM	Notify support
	TBA	Non- delivery reports [method tba if possible] - [incident]

14.2

Operational Business Change - Product

14.2.1 Change Types

Product changes are categorised into the following types.

14.2.1.1 Product

Introduction of a new EPOSS product.

Changes to an existing EPOSS product, or changes to the way EPOSS works using reference data, are subsets of this process. That is, the same process will be followed to make changes, as are followed for introducing a new product, but not all of the activities will apply.

14.2.1.2 AP Client Service

Introduction of a new Automated Payment Client Service (i.e. new AP product).

Changes to an existing AP product, or other AP information, are subsets of this process. That is, the same process will be followed to make changes, as are followed for introducing a new AP product, but not all of the activities will apply.

14.2.1.3 Data Only

These changes are a subset of the two above, but are singled out as they have no impact on Pathway and can be implemented by changing the data with no manual intervention by Pathway.

14.2.2 Top Level Processes - Product

The table below gives the top level view of the processes for product change.

The four elements of each changes are:

1. Management
1. Notification
1. Implementation
1. Acceptance

The services that make up each element are given, for the different change types.

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	Management			Assumptions:
	Notification	Implementation	Acceptance	
New Product	Change Advice Note	Service co-ordination Transfer Data Change Control Enrichment Documentation Testing Error Management	Verification Release to live	tba
AP Client Service	Change Advice Note	Service Co-ordination Transfer data Change Control Enrichment Error Management Testing - End-to-end Testing - internal	Acctepance Release to live	
Data Only	Change Advice Note	Service Co-ordination Transfer data Change control Testing Error management	Acctepance Release to live	

Subsets of these categories will be added in future releases of this document.

14.2.3 Change Advise Note (CAN) Details

The Change Advise Note from PCOL to Pathway that requests the implementation of change should contain the following information. If the information is not provided in the CAN, the assumptions made will be given in the CAN Response Form (Pathway's acceptance of the request for change).

All	Reason for change Unique CAN Number (to be copied onto ref data file) Contact details for data queries Data start date Change start date
Product	Primary data <u>To be attached:</u> Type B data Menu Hierarchy / Icon change details [ref 6]
AP Client Service	Primary data <u>To be attached:</u> Type B data Client Take on Pack Contractual list of Client Service supported by Pathway Client Requirements Interface specification

For further details of Primary data and Type B data requirements see [ref 8].

14.2.4

Second Level Processes- Product

14.2.4.1 Error Management

Throughout these processes are references to [incident]. This indicates that that action may raise an incident as part of the Reference Data Error Management/ Reconciliation process. This process is yet to be defined.

14.2.4.2 Terminology

The following processes include the term 'system label', this refers to the mechanism of labelling all the files that belong to a change (CAN Number) in the RDMC, so they can be realised as a single unit.

14.2.4.3

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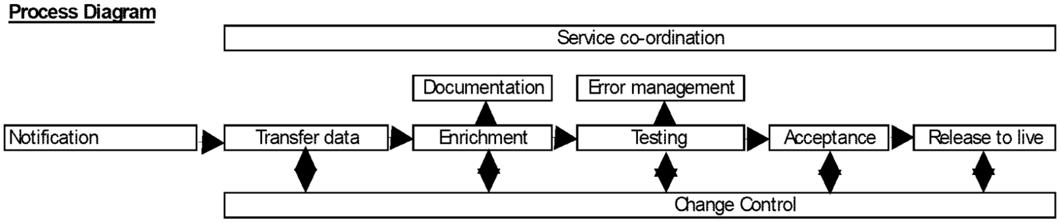
New Product Process

New Product

Process Diagram



Process Step	Actors	Activities
Notification	POCL Authoriser	Informal communication with CS RDT to discuss possible issues
	POCL Authoriser	Submit CAN to CS RDT
		(with unique CAN No., contact details, primary data, menu hierarchy / icon change details [see ref 6] & start dates)
	CS RDT	Impact CAN (incl: risk assessment) & return response to POCL Authoriser
Service co-ordination	CS RDT	Notify CS RDRM of requirement for change
	CS RDRM	Raise Ref Data Release Note with all CAN details and Primary Data
	CS RDRM / RMF	Schedule activities
	CS RDRM	Monitor activities against schedule, start date of data & escalate as necessary [see ref 9]
Transfer data	POCL RD	Send Type A data over AIS
	RDMC	Load Type A data & return format errors over AIS to POCL RD [incident]
	POCL RD	Send Type B data via agreed means to CS RDT
	CS RDT	Load Type B data & return format errors to POCL RD [incident]
	POCL RD	Resolve Pathway & TIP errors, send correction file & inform Authoriser
	POCL Authoriser	Confirm to CS RDT all data has been successfully sent to Pathway & TIP & ECCO
	RDMC	Archive all input files & transform data
Change Control	CS RDT	Create "System Label" from CAN, with unique CAN Number
	CS RDT	Identify all files required for each CAN change
	CS RDT	Check all files & raise queries with POCL Authoriser [Incident] - [requirements tba]
	CS RDT	Associate Type A, B, C and error files to correct "System Label" & sign off Ref Data Release Note that data is ready for release
Enrichment	CS RDRM	Send Ref Data Release Note with CAN details & primary data to Enrichment team
	Enrich Team (RDT)	Generate Type C data from primary data [method tba]
		(e.g. icons, menus, cash account, other reports, internal messaging)
	CS RDRM	When POCL data set complete: Release Type A & B data to Enrich team
	Enrich Team (RDT)	Complete Type C data using Type A & B data
	Enrich Team (RDT)	Sign off Ref Data Rel Note & give Type C data file to CS RDT
	CS RDT	Load Type C data & return format errors to Enrichment Team [incident]
	Enrich Team (RDT)	Resolve data errors, create correction file, sign off & resubmit to CS RDT
	RDMC	Archive all input files & transform data
Documentation	CS RDT	Manage updates to PPDs for Counter & Training documentation etc. if needed [method tba]
	CS RDT	Inform POCL Authoriser of any changes to PPDs
	CS RDT	Manage updates to Menu Hierarchy / Icon documents [see ref 6]
	CS RDT	Sign off Ref Data Release Note to confirm documentation changes are complete

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Testing	CS RDRM	When enriched: release data and send Ref Data Rel Note to Testing
	CS OTT	Set up environment (e.g. set counter clock) & test/check change [requirements tba]
	TBA	Benchmark change to check transaction times, if required [requirements tba]
	CS OTT	Raise PinICL for errors [incident]
	CS OTT	Notify of success & sign off Ref Data Rel Note
Error management	4th Line Suprt (RDT)	Identify source of errors & return to creator
	POCL/Enrich Team	Resolve error & submit correction file with new CAN & Number to RDT
	CS RDT	Associate correction file with "System Label" for original CAN Number
Acceptance	CS RDRM	Release successful changes for POCL Authoriser to review, if required [requirements tba] (with any available supporting test documentation)
	CS RDT	Either notify POCL Authoriser change is available for review, or certify success to them [method tba]
	POCL Authoriser	Receive notification or certification from CS RDT
	POCL Authoriser	Review change, if required [requirements tba]
	POCL Authoriser	Sign off change & confirm to CS RDT
	POCL Authoriser	Reject change & report errors to CS RDT [incident]
	CS RDT	Sign Ref Data Rel Note to confirm POCL acceptance of change
	CS RDT	Raise PinICL for errors [incident]
Release to live	CS RDRM	Confirm change is complete & free from error & sign off Ref Data Release Note
	CS RDRM	Release change to live counters, MIS, other
	TBA	Non- delivery reports [method tba if possible] - [incident]
	CS RDRM	Inform Support of release [tba]
	SMC	Monitor calls for problems with release [incident] (problems may arise from counter staff, MIS reports, POCL TP, Accounting, other)

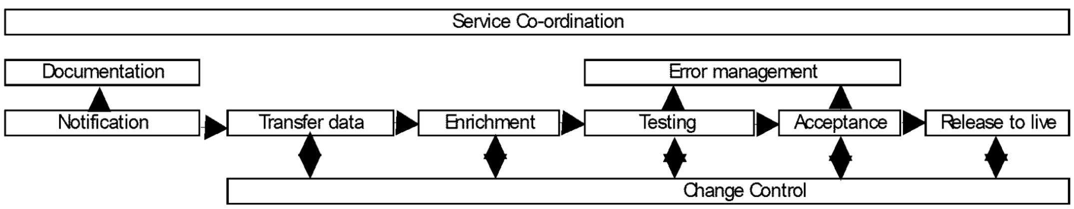
14.2.4.4

POL00393875

AP Client Service Take-On Process

AP Client Service Take on process

Process Diagram



Process Step	**Actors**	**Activities**
Notification	POCL Authoriser	Informal communication with CS RDT to discuss possible issues
	POCL Authoriser	Submit CAN to CS RDT with CTO Pack, Contractual listing, Reqts & Interface Spec (with unique CAN No., contact details & start dates)
	CS RDT	Confirm token/ bar codes are standard, identify non-standard connection services [method tba]
	CS RDT	Accept CAN & sign of Contractual list of supported Client Services
	CS RDT	Return response to POCL Authoriser
	POCL Authoriser	Resolve any business issues
Service co-ordination	CS RDT	Notify CS RDRM of requirement for change
	CS RDRM	Raise Ref Data Release Note with all CAN details and Primary Data
	CS RDRM / RMF	Schedule activities
	CS RDRM	Monitor activities against schedule, start date of data & escalate as necessary [see ref 9]
Transfer data	POCL RD	Send Type A data over AIS
	RDMC	Load Type A data & return format errors over AIS to POCL RD [incident]
	POCL RD	Send Type B data via agreed means to CS RDT
	CS RDT	Load Type B data & return format errors to POCL RD [incident]
	POCL RD	Resolve Pathway & TIP errors, send correction file & inform Authoriser
	POCL Authoriser	Confirm to CS RDT all data has been successfully sent to Pathway & TIP & ECCO
	RDMC	Archive all input files & transform data
Change Control	CS RDT	Create "System Label" from CAN, with unique CAN Number
	CS RDT	Identify all files required for each CAN change
	CS RDT	Check all files & raise queries with POCL Authoriser [Incident] - [requirements tba]
	CS RDT	Associate Type A, B, C and error files to correct "System Label" & sign off Ref Data Release Note that data is ready for release
Enrichment	CS RDRM	Send Ref Data Release Note with CAN details & primary data to Enrichment team
	Enrich Team (RDT)	Generate Type C data from primary data [method tba] (e.g. cash account, other reports, internal messaging)
	CS RDRM	When POCL data set complete: Release Type A & B data to Enrich team
	Enrich Team (RDT)	Complete Type C data using Type A & B data
	POCL Authoriser	Send Client's Test Tokens to CS RDT [method tba]
	Enrich Team (RDT)	Test the Tokens with complete reference data
	Enrich Team (RDT)	Raise PinICL for errors [incident]
	CS RDT	Raise problems with POCL Authoriser [Incident]
	Enrich Team (RDT)	Sign off Ref Data Rel Note & give Type C data file to CS RDT
	CS RDT	Load Type C data & return format errors to Enrichment Team [incident]
	Enrich Team (RDT)	Resolve data errors, create correction file, sign off & resubmit to CS RDT
	RDMC	Archive all input files & transform data

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Error management	4th Line Suprt (RDT)	Identify source of errors & return to creator
	POCL/Enrich T/Client	Resolve error & submit correction file with new CAN & Number to RDT
	CS RDT	Associate correction file with "System Label" for original CAN Number
Testing	POCL Authoriser	Send plans to CS RDT for end-to-end testing
	CS RDT	Agree test plans with POCL Authoriser
Internal	CS RDRM	When enriched: release data and send Ref Data Rel Note to Testing
	CS OTT	Set up environment (e.g. set counter clock) & test/check change [requirements tba]
	TBA	Benchmark change to check transaction times, if required [requirements tba]
	CS OTT	Raise PinICL for errors [incident]
	CS OTT	Notify of success & sign off Ref Data Rel Note
End-to-end	CS RDT / OTT	Prepare for end-to-end testing
	POCL Authoriser	Manage end-to-end testing with POCL, Pathway & the Client
	CS RDT / OTT	Send files for End-to-end test
	CS RDT/POCL/Client	Raise & resolve errors [incident]
Acceptance	POCL Authoriser	Sign off change & confirm to CS RDT
	CS RDT	Sign Ref Data Rel Note to confirm POCL acceptance of change
Release to live	CS RDRM	Confirm change is complete & free from error & sign off Ref Data Release Note
	CS RDRM	Release change to live counters, MIS, other
	TBA	Non- delivery reports [method tba if possible] - [incident]
	CS RDRM	Inform Support of release [tba]
	SMC	Monitor calls for problems with release [incident]
		(problems may arise from counter staff, MIS reports, POCL TP, Accounting, other)

14.2.4.5

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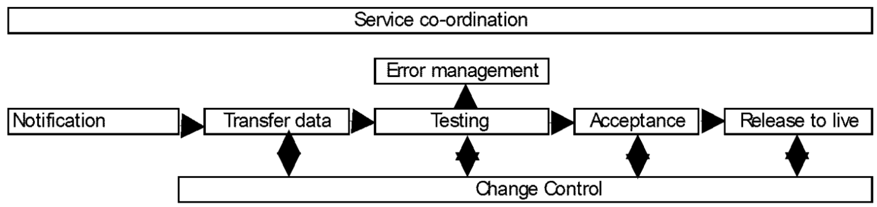
Data Only Product Change Process

Data Only Product Change

- Data changes that use only Type A Data, where Pathway do not require advance notice of the change to implement successfully

Process Diagram



Process Step	**Actors**	**Activities**
Notification	POCL Authoriser	Submit CAN to CS RDT (with unique CAN No., contact details & start dates)
	CS RDT	Impact CAN (incl: risk assessment) & return response to POCL Authoriser
Service co-ordination	CS RDT	Notify CS RDRM of requirement for change
	CS RDRM	Raise Ref Data Release Note with all CAN details
	CS RDRM / RMF	Schedule activities
	CS RDRM	Monitor activities against schedule, start date of data & escalate as necessary [see ref 9]
Transfer data	POCL RD	Send Type A data over AIS
	RDMC	Load Type A data & return format errors over AIS to POCL RD [incident]
	POCL RD	Resolve Pathway & TIP errors, send correction file & inform Authoriser
	POCL Authoriser	Confirm to CS RDT all data has been successfully sent to Pathway & TIP & ECCO
	RDMC	Archive all input files & transform data
Change Control	CS RDT	Create "System Label" from CAN, with unique CAN Number
	CS RDT	Identify all files required for each CAN change
	CS RDT	Check all files & raise queries with POCL Authoriser [Incident] - [requirements tba]
	CS RDT	Associate Type A, and error files to correct "System Label" & sign off Ref Data Release Note that data is ready for release
Testing	CS RDRM	Release data and send Ref Data Rel Note to Testing, if required
	CS OTT	Set up environment (e.g. set counter clock) & test/check change [requirements tba]
	CS OTT	Raise PinICL for errors [incident]
	CS OTT	Notify of success & sign off Ref Data Rel Note
Error management	POCL	Resolve error & submit correction file with new CAN & Number to CS RDT
	CS RDT	Associate correction file with "System Label" for original CAN Number
Acceptance	CS RDT	Certify success to POCL Authoriser
	POCL Authoriser	Receive certification from CS RDT
	POCL Authoriser	Sign off change & confirm to CS RDT
	POCL Authoriser	Reject change & report errors to CS RDT [incident]
	CS RDT	Sign Ref Data Rel Note to confirm POCL acceptance of change
	CS RDT	Raise PinICL for errors [incident]
Release to live	CS RDRM	Confirm change is complete & free from error & sign off Ref Data Release Note
	CS RDRM	Release change to live counters, MIS, other
	TBA	Non- delivery reports [method tba if possible] - [incident]
	CS RDRM	Inform Support of release [tba]
	SMC	Monitor calls for problems with release [incident] (problems may arise from counter staff, MIS reports, POCL TP, Accounting, other)