

SCHEDULE A15 - REQUIREMENTS

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1. REQUIREMENTS

1.1. Requirement 463 - POCL Service Infrastructure - OPS: Additional Requirements for OPS Equipment

1.1.1. The Contractor shall supply samples of all elements of the POCL Service Infrastructure used to provide OPS for purposes other than (i) Roll Out and (ii) live use in POCL Premises as part of the Operational Services. Examples of these purposes include:

a) testing by POCL;

b) training;

c) demonstrations and marketing.

1.1.2. The Contractor shall provide specimens of all elements and proposed elements of the POCL Service Infrastructure used to provide OPS from time to time to undergo destructive safety testing.

1.1.3. POCL shall notify the Contractor from time to time of how many samples are required for the purposes of testing such elements of the POCL Service Infrastructure at Operational Trial. They shall not in total exceed the equivalent of 8 post offices with a total of 50 Counter Positions. Any requirements thereafter for samples of equipment for testing purposes (beyond the initial 50 Counter Positions) shall be subject to a process approved by a date consistent with the Project Plan.

1.1.4. Unless testing demonstrates a breach of the relevant standards in Schedule A02, the number of specimens for destructive testing purposes shall not exceed one example of each component of Hardware within the elements of the POCL Service Infrastructure that are proposed for the OPS.

1.1.5. The quantity of samples for training purposes depends on the training methodology employed.

**1.2. Requirement 464 - POCL Service Infrastructure - OPS:
POCL's Agreement to Offer Services Using OPS and TMS**

1.2.1. Services which utilise OPS or TMS shall only be provided subject to the agreement of POCL.

**1.3. Requirement 465 - POCL Service Infrastructure - OPS:
Appearance of the OPS Equipment**

1.3.1. The livery of the elements of the POCL Service Infrastructure to be used for OPS shall be agreed with POCL before Roll Out. A single livery shall be approved for all Outlets that is consistent with the POCL Style Guide for Post Offices.

1.3.2. The effort required to maintain the appearance of the Equipment to a level reasonably acceptable to POCL shall be minimal.

**1.4. Requirement 466 - POCL Service Infrastructure - OPS:
Consumables**

1.4.1. The Contractor shall supply detailed specifications of all the consumables used by the OPS. The Contractor shall provide estimates of the likely consumption of

each consumable and, as part of an impact assessment, the impact on consumption of any changes, including new Services.

- 1.4.2. The Contractor shall be capable of supplying all consumables, but POCL shall have the option to source consumables from another supplier.

1.5. Requirement 467 - POCL Service Infrastructure - OPS: Links from OPS to TMS

- 1.5.1. Each instance of OPS within Outlets shall interface with TMS to allow the transfer, in both directions, of authorised data files and messages.
- 1.5.2. The transfer of data between OPS and TMS shall be secure, complete, accurate and robust.
- 1.5.3. Within OPS it shall be possible to identify whether data from OPS have been received by TMS or not.

1.6. Requirement 468 - POCL Service Infrastructure - OPS: engineering visits

- 1.6.1. Maintenance and repair of the elements of the POCL Service Infrastructure used to provide OPS involving on-site attendance at POCL Premises by the Contractor's engineers shall not interfere unduly with the ability of an Outlet to serve Customers, even where Outlets have a single Counter Position and/or extremely limited physical space.

1.7. Requirement 469 - POCL Service Infrastructure - OPS: Technical Documentation

- 1.7.1. The Contractor shall provide technical documentation concerning OPS and the elements of the POCL Service Infrastructure used to provide OPS. This documentation shall be suitable to allow POCL to procure applications which utilise OPS or hardware which interfaces with OPS. These procurements shall not necessarily be from the Contractor.
- 1.7.2. All changes to such documentation shall be subject to the Change Control Procedure.

1.8. Requirement 470 - POCL Service Infrastructure - OPS: TMS Technical Documentation

- 1.8.1. The Contractor shall provide technical documentation concerning TMS and the elements of the POCL Service Infrastructure used to provide TMS. This documentation shall be suitable to allow POCL to procure applications

which utilise TMS. These procurements shall not necessarily be from the Contractor.

1.8.2. All changes to such documentation shall be subject to the Change Control Procedure.

1.9. Requirement 471 - POCL Service Infrastructure - OPS: Messaging facilities

1.9.1. Using TMS and OPS it shall be possible to broadcast short messages to all or a subset of Outlets. As a guide, a message length of approximately 2000 bytes is likely to be acceptable.

1.9.2. Such messages shall be brought to the attention of staff working at automated Counter Positions in the Outlet at the earliest practical opportunity. OPS shall enable staff at the Outlet to produce a hard copy of the message within the Outlet.

1.9.3. TMS and OPS shall have the capability to be developed to allow, subject to change control, staff working in the Outlets to gain access to information held electronically on the POCL Service Infrastructure such as is currently published in 'Counter News' and the operations manuals provided hereunder by the Contractor.

1.10. Requirement 472 - POCL Service Infrastructure - OPS: Security of Data and Audit Trail

1.10.1. Data capture within OPS shall be accurate and robust.

1.10.2. The integrity and security of data held within the OPS shall be protected at all times. Full logs of Events within OPS shall be maintained and an audit trail of interactions with, and actions within, OPS shall be maintained.

1.10.3. The integrity and security of data held within OPS shall not be compromised by any Incident nor when OPS is re-established following any Incident.

1.11. Requirement 473 - POCL Service Infrastructure - OPS: User Access

1.11.1. Any remote access to OPS shall be restricted to Users specifically authorised by POCL and shall only take place via TMS.

1.11.2. Access to OPS and POCL Services offered via OPS to staff working in the Outlets shall be controlled by a mechanism, conforming to the POCL Style Guide, offering multiple access levels and providing specific identification of each User.

- 1.11.3. It shall be possible to restrict the functionality available at an Outlet, to permit (inter alia) some POCL Services not to be offered at all Outlets.
- 1.11.4. There shall be support available to Users who have forgotten their passwords. A large proportion of the Outlets have only a single Counter Position. The support mechanism used shall not unduly reduce the effectiveness of access control.
- 1.11.5. There shall be a secure and reliable mechanism for Users to suspend and resume access to OPS and POCL Services offered via OPS. This shall not be unduly onerous or time consuming for Users.
- 1.12. Requirement 474 - POCL Service Infrastructure - OPS: Health, Safety, and Legal Obligations**
- 1.12.1. The Contractor shall ensure that all Equipment used in the provision of OPS is rated for continuous operation, and capable of functioning safely and reliably for an unlimited period, attended or unattended, in Outlets.
- 1.12.2. Each installation of such Equipment shall be physically and electrically safe and in compliance with relevant legislation and recognised best practice. Such installation shall not cause interference with other devices. Such Equipment may be required to be installed in residential premises.
- a) "Relevant legislation" includes all relevant UK Regulations and, from the due date of UK implementation, EC Directives. Such Equipment shall be maintained to be compliant with any subsequent legislation.
- b) "Relevant legislation and recognised best practice" includes mandatory standards, including all relevant UK Regulations and, from the due date of UK implementation, EC Directives. Such Equipment shall be maintained to be compliant with any subsequent legislation or mandatory standards.
- c) All Equipment used in the provision of OPS shall comply with BS EN60950 : 1992 (BS7002 :1992) and any subsequent amendments.
- d) All Equipment used in the provision of OPS comprising AC power adaptors shall comply with BS EN60065 : 1993 (BS7002 :1992).

- e) The workstation aspects of all Equipment used in the provision of OPS shall comply with the Health and Safety (Display Screen Equipment) Regulations 1992, which implement Council Directive 90/270/EEC on working with display screen equipment.
- f) Any Equipment used in the provision of OPS containing laser emitters (including, without limitation, laser printers and laser barcode scanners) shall comply with BS EN 60825:1992.
- g) Any telecommunications Equipment used in the provision of OPS shall comply with Council Directive 91/263/EEC (the Telecommunication Terminal Equipment Directive) and have a current BABT certificate or equivalent for connection to the public telephone network.
- h) All Equipment used in the provision of OPS which is defined as machinery shall comply with the Supply of Machinery (Safety) Regulations 1992, which implement the Machine Directive 89/392/EEC as amended by 91/368/EEC.
- i) All Equipment used in the provision of OPS shall comply with the Electrical Equipment (Safety) Regulations 1994, which implement the Low Voltage Directive 73/23/EEC as amended by 93/68/EEC.
- j) All Equipment used in the provision of OPS and connected, or intended for connection, to weighing devices shall meet the requirements of the Non-automatic Weighing Instruments (EEC Requirements) Regulations 1992 Schedule 3 Applications.
- k) All visual display terminal Equipment (including, without limitation, keyboards) used in the provision of OPS shall comply with the relevant requirements of either BS 7179:1990 or ISO 9241:1992.
- l) All Equipment used in the provision of OPS which falls within the scope of The Electromagnetic Compatibility (EMC) Regulations 1992, which implement Council Directive 89/336/EEC (as amended by 92/31/EEC), shall comply with such Regulations.
- m) All Equipment used in the provision of OPS shall meet the minimum EMC requirements of both residential and commercial installations, including compliance with BS EN 50081 and BS EN 50082 with the following amended test severity levels and with no degradation of performance:
- IEC 801 part 2 class 3, 6kV contact discharge;
 - IEC 801 part 3 3V/m;

- IEC 801 part 4 +/- 1kV injected onto mains AC supply;
- IEC 801 part 5 +/- 2kV.

n) All Equipment used in the provision of OPS and covered by EN45501:1992 shall comply with clause A4.5 (voltage variations) and Annex B of that standard.

o) All items of Equipment used in the provision of OPS shall have an Index of Protection rating of IP3X as defined in BS EN 60529:1992.

1.12.3. The Equipment used in the provision of OPS and its installation shall not constrain POCL or the Agents from meeting their legal safety responsibilities as employers.

1.12.4. It shall be possible to prove compliance with legislation or mandatory standards as and when necessary.

1.13. Requirement 475 - POCL Service Infrastructure - OPS: Style Guide

1.13.1. The Contractor shall draw up the Horizon OPS Style Guide and agree this with POCL by a date consistent with the Project Plan. Any POCL Services to be offered via the OPS shall be provided in accordance with the Horizon OPS Style Guide.

1.13.2. The Horizon OPS Style Guide shall set out, inter alia, general guidelines for the Human Computer Interface, including screen layouts, system navigation routes and help and manual entry facilities.

1.13.3. The Human Computer Interface shall be intuitive and easy to use, to minimise errors and delays. The Human Computer Interface shall provide a consistent look and feel across all Applications and be easy to adapt to facilitate the introduction of new Applications.

1.14. Requirement 476 - POCL Service Infrastructure - OPS: Release control

1.14.1. The following requirements shall be met in connection with the distribution and subsequent activation of each Release.

1.14.2. The following shall be approved by POCL before any Release, this approval not being unreasonably withheld:-

- a) the contents of any Release;
- b) the upgrade path for any Release;

c)the timing of the distribution of any Release;

d)the timing of the activation of any Release.

1.14.3. The Contractor shall provide proof of sufficient and satisfactory pre-testing of each Release, including the following aspects:-

a)at individual component (unit test) level;

b)of all components of the Release, both changed and unchanged, working together (system test);

c)of all components in combination with different hardware and software combinations which may be encountered when the Release is in live, non-training, use hereunder.

1.14.4. The Contractor shall provide proof of sufficient and satisfactory preparation for the implementation of a Release. This shall include testing the implementation, reversion and regression from the Release.

1.14.5. The implementation of any Release shall not cause any significant disruption to Users, shall not disrupt the normal working environment of Users and shall not require significant involvement from Users.

1.14.6. The implementation of any Release shall not cause any corruption to data held by or on behalf of POCL.

1.14.7. The Contractor shall maintain a detailed record of all Releases and where they are deployed.

**1.15. Requirement 477 - POCL Service Infrastructure - OPS:
Asset register**

1.15.1. The Contractor shall maintain a detailed list of all physical components installed at POCL Premises (an OPS asset register) and make it available to POCL on request. From the list it shall be possible to identify all elements of the POCL Service Infrastructure installed at any location.

**1.16. Requirement 478 - POCL Service Infrastructure - OPS:
Basic TMS Facilities**

1.16.1. TMS shall link into each instance of OPS that is to be used for live work.

1.16.2. TMS shall provide links into other computer systems as required to support POCL. These systems include:-

a)Client systems operated on behalf of Clients; and

b) other POCL systems, including without limitation TIP.

1.16.3. TMS shall provide Data File collection and Data File delivery Services.

a) It shall be possible to collect Data Files from or deliver Data Files to any computer system attached to TMS.

b) The collection or delivery of Data Files shall be triggerable by any of:

- User action;
- time;
- in response to a message from an attached computer system or generated within TMS.

c) The collection or delivery of Data Files shall be retried automatically, under parameter control, in the event of any failure.

d) It shall be possible for POCL to specify a pre-defined list of computer systems to which a Data File is to be delivered or from which a Data File is to be collected.

1.16.4. TMS shall provide a message switching capability, where a message consists of electronic data which shall be passed from one computer system to another ("switched") with minimal delay.

a) It shall be possible to switch messages between any two attached computer systems (including without limitation between elements of the POCL Service Infrastructure in individual Outlets).

b) Where TMS is unable to deliver a message it shall notify the originating computer system.

c) TMS shall include the following processing capabilities:

- validation of Data Files;
- consolidation of many Data Files into one Data File;
- generating many Data Files from one Data File;
- reformatting the contents of Data Files;
- generating control totals through access to the contents of Data Files;
- reconciliation of control totals;

- produce reports summarising financial transactions.
- 1.16.5. The Contractor shall maintain a full audit trail of all TMS activity.
- 1.16.6. The Contractor shall ensure that any transfer of Data Files or messages to or from TMS is, and can be shown to be, secure, complete accurate and robust.
- 1.17. Requirement 479 - POCL Service Infrastructure - OPS: Control and Monitoring of TMS links**
- 1.17.1. No computer system shall be connected to the elements of the POCL Service Infrastructure on which TMS is provided without the approval of POCL.
- 1.17.2. TMS shall only allow connections to such elements of the POCL Service Infrastructure to be established with computer systems which are approved by POCL to be connected. The Contractor shall maintain a register of computer systems with which such connections are allowed.
- 1.17.3. TMS shall authenticate the identity of any computer system with which a link is to be established.
- 1.17.4. TMS shall produce reports detailing any attempt to establish a link which is rejected. The Contractor shall provide these reports to POCL on request.
- 1.18. Requirement 480 - POCL Service Infrastructure - OPS: Logical Discreteness of TMS**
- 1.18.1. TMS shall be logically discrete from other POCL Services such that other services can be separately procured that make use of TMS and such that, in extremis, a replacement service for TMS could be separately procured.
- 1.19. Requirement 481 - POCL Implementation - Documentation: Process and Procedures Documentation**
- 1.19.1. The Contractor shall provide, before training commences, a comprehensive set of PPDs for completing Transactions undertaken in Outlets. The PPDs shall also include the definitive procedural instructions for Transaction support processes at Outlets e.g. accounting, balancing, Value Stock taking, and details of what to do in emergency situations e.g. failure of the POCL Service Infrastructure.
- 1.19.2. In essence the PPDs shall provide full details of completing all automated procedures in all Outlets.

**1.20. Requirement 482 - POCL Implementation - Documentation:
Documentation Standards for PPDs**

1.20.1. The documentation standards applicable to PPDs shall be agreed, from time to time.

**1.21. Requirement 484 - POCL Implementation - Documentation:
Availability of PPDs**

1.21.1. The Contractor shall provide POCL one paper copy and one electronic copy of each PPD and subsequent updates.

**1.22. Requirement 485 - POCL Implementation - Documentation:
Updating PPD Information**

1.22.1. The PPDs shall be updatable and updated, in line with any Service Levels agreed between the parties from time to time, (or if not agreed, then within a reasonable time), to ensure information is always current.

**1.23. Requirement 486 - POCL Implementation - Documentation:
POCL's Approval**

1.23.1. All documentation provided hereunder by the Contractor shall be subject to final approval by POCL.

**1.24. Requirement 487 - POCL Implementation - Installation:
Survey of Outlets by the Contractor**

1.24.1. The Contractor shall carry out the survey of Outlets to ascertain what modifications are needed to install the POCL Service Infrastructure.

**1.25. Requirement 488 - POCL Implementation - Installation:
Installation and Acceptance of the Office Platform**

1.25.1. The installation and acceptance of the elements of the POCL Service Infrastructure used to provide the OPS shall be undertaken in one day at each location in the POCL Premises.

**1.26. Requirement 489 - POCL Implementation - Installation:
Removal of Existing Equipment**

1.26.1. The Contractor shall, on completion of implementation at an Outlet and using an agreed process, disconnect and move existing automated equipment as specified by POCL, and identified during the relevant site survey, to a single location in mainland UK agreed with POCL from time to time.

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1.26.2. Such existing automated equipment shall be limited to the PC configurations that support ECCO and / or ESNS at 15th May, 1996.

**1.27. Requirement 490 - POCL Implementation - Installation:
Installation within Normal Business Hours**

1.27.1. Installation at an Outlet shall be carried out at times in accordance with the CCD entitled "Installation Strategy".

**1.28. Requirement 491 - POCL Implementation - Installation:
Completion of Internal Modifications**

1.28.1. The Contractor shall carry out internal office modification work at all POCL Premises in accordance with Clause 406 of the Codified Agreement.

**1.29. Requirement 492 - POCL Implementation - Installation:
Modifications - Compliance with Legislation**

1.29.1. The Contractor shall ensure that all staff and sub-contractors carrying out modification work shall conform to all legislative requirements.

**1.30. Requirement 493 - POCL Implementation - Installation:
Removal / Fitting of Equipment at Relocated / Refurbished
Outlet**

1.30.1. Subject to limitations defined in Annex 5 to Schedule A12, the Contractor shall, as an Optional POCL Service,:

a) be responsible for the removal / fitting of the Equipment when Outlets are either relocated or refurbished. The Contractor shall move equipment within Outlets if needed for refitment / refurbishment reasons (including refitment / refurbishment to make such Outlets open plan), and shall if necessary provide extra Equipment; and

b) if requested by POCL, equip new sites / relocated sites in line with POCL's evolving network strategy from time to time.

**1.31. Requirement 494 - POCL Implementation - Installation:
Response to Network Change Requests**

1.31.1. The Contractor shall respond within a timescale (which shall be agreed between POCL and the Contractor before commencement of Roll Out of the POCL Services), to network change requests supplied by POCL, in accordance with Service Levels. This requirement covers

provision and installation of equipment in new and relocated POCL Premises as well as the movement / reconfiguration of equipment within existing POCL Premises.

1.32. Requirement 495 - POCL Implementation - Installation: Provision of Equipment at Counter Positions

1.32.1. Subject to the limit in Annex 5 to Schedule A12, the Contractor shall provide the Equipment at Counter Positions. These shall include modified parcel positions and some non-modified positions.

1.33. Requirement 496 - POCL Implementation - Installation: Installation of Equipment at Any Site Designated by POCL

1.33.1. The Contractor shall install the Equipment at any site designated by POCL which may include training centres.

1.34. Requirement 497 - POCL Implementation - Installation: Installation by the Contractor in Outlets

1.34.1. The Contractor shall install the POCL Service Infrastructure necessary for OPS in Outlets.

1.35. Requirement 498 - POCL Implementation - Integration: Migration of Existing Products and Systems

1.35.1. The Contractor shall migrate existing POCL Products and POCL systems from current POCL platforms - APT, ECCO+, ALPS, manual - to the POCL Service Infrastructure with no discontinuity of service to Customers and Clients. The Contractor shall work closely with POCL to plan how best to achieve effective migration. At Outlets, data transfer and associated tasks shall be expedited as efficiently as possible with minimum staff / subpostmaster involvement.

1.35.2. In office data migration shall be carried out in accordance with the Migration Specification. To the extent that the first paragraph of this requirement 498 is inconsistent or in conflict with the Migration Specification, the Migration Specification prevails.

1.36. Requirement 499 - POCL Implementation - Integration: Timing of Installation

1.36.1. Installation of the POCL Service Infrastructure shall not take place until the support services are available.

**1.37. Requirement 500 - POCL Implementation - Roll Out:
Confirmation of Permissions for Modifications**

1.37.1. The Contractor shall obtain in each case certification from the appropriate Authorising Officer that relevant permissions have been granted before modifications to each POCL Premises are carried out.

**1.38. Requirement 501 - POCL Implementation - Roll Out:
Planning and Agreement of Site Visits**

1.38.1. The Contractor shall ensure there is a process in place to ensure all Outlets and Horizon Implementation Managers are aware of and agree the times and dates of all site visits. The relevant Horizon Implementation Manager shall be the final arbiter in case of disagreements between the Contractor and the Outlet Manager.

**1.39. Requirement 502 - POCL Implementation - Roll Out: Survey
Activities to Avoid Disruption to Service**

1.39.1. The Contractor shall carry out all survey activities with minimum degradation of post office and retail operations - including any existing computer, telecommunications and other systems at the Outlet.

**1.40. Requirement 503 - POCL Implementation - Roll Out:
Modifications to Avoid Disruption to Services**

1.40.1. The Contractor shall carry out all modification activities with minimum degradation of Post Office and retail operations - including any existing computer, telecommunications and other systems at the Outlet.

**1.41. Requirement 504 - POCL Implementation - Roll Out: Use of
Existing Equipment**

1.41.1. The Contractor shall utilise existing POCL equipment as specified in Schedule A09.

**1.42. Requirement 507 - POCL Implementation - Roll Out:
Installation to Avoid Pressure Periods**

1.42.1. Unless otherwise agreed with the Horizon Implementation Manager and / or Outlet Manager, the Contractor shall minimise installation activity of the Equipment on POCL Premises during particular business periods, namely Christmas and New Year pressure periods, and other post office specific dates agreed by the Contractor and POCL on an annual basis (such agreement not to be unreasonably withheld or delayed).

1.43. Requirement 508 - POCL Implementation - Roll Out: Suspension

1.43.1. POCL may suspend the Roll Out programme if the Contractor fails to meet any of the Service Levels.

1.44. Requirement 509 - POCL Implementation - Roll Out: Siting of Equipment in Outlets

1.44.1. Within a specification to be agreed with POCL by a date consistent with the Project Plan, the siting of the elements of the POCL Service Infrastructure in each Outlet shall be agreed by the Outlet manager.

1.45. Requirement 510 - POCL Implementation - Roll Out: Common Planning Base for All Types of Outlet

1.45.1. For the purpose of Roll Out planning the Contractor shall make no particular distinction between types of "main" post office (e.g. branch offices, modified sub post offices and franchised post offices).

1.46. Requirement 511 - POCL Implementation - Roll Out: Installation to avoid disruption to services

1.46.1. The Contractor shall carry out all installation activities with minimum degradation of post office and retail operations - including any existing computer, telecommunications and other systems at the Outlet.

1.47. Requirement 512 - POCL Implementation - Roll Out: Overriding Constraints to Speed of Roll Out

1.47.1. Roll Out of the POCL Service Infrastructure and POCL Services shall be undertaken as quickly as possible subject to the over-riding requirement to:

- a) maintain service and Client continuity;
- b) maintain the quality of service delivery to Clients and Customers;
- c) appropriate support systems - including training - being in place;
- d) avoidance of damage to POCL's brand, reputation and integrity;
- e) treat POCL's staff and Agents professionally and with respect;

but in any case shall be completed by a date consistent with the Project Plan.

1.48. Requirement 513 - POCL Implementation - Roll Out: POCL's Agreement to Equipment Upgrades

1.48.1. The Contractor shall only upgrade the Equipment at Outlets with the prior approval of POCL. This approval shall not be unreasonably withheld.

1.49. Requirement 514 - POCL Implementation - Roll Out: Mechanism for Determining that Outlets are Ready to Go Live

1.49.1. The Contractor shall provide a process for determining that individual POCL Premises are ready to go live i.e. that the new POCL Service Infrastructure functionality at such POCL Premises shall be activated for use. POCL may withhold agreement to such activation if, for any reason, it determines that in a particular set of circumstances such activation is detrimental to its Customers, Clients, staff, or Agents. If such activation is not sanctioned, POCL and the Contractor shall resolve outstanding issues as soon as possible.

1.50. Requirement 516 - POCL Implementation - Roll Out: POCL Rights to Amend Roll Out Programme

1.50.1. POCL reserves the right to request amendments to the Roll Out Programme, in accordance with the Change Control Procedure, as necessary to protect its Service Levels.

1.51. Requirement 517 - POCL Implementation - Roll Out: Outlet Modifications to be Completed in One Visit

1.51.1. The modifications will be completed in one visit to the Outlet. Telecommunication line installation may be carried out separately and with prior notification to the Horizon Implementation Manager and / or Outlet Manager (approval not required for telecommunication installation provided that it is carried out during normal working hours of the relevant Outlet). It is recognised that modification work in larger Outlets, i.e. those with more than six (6) counter positions, may need to span more than one day. In these, or other exceptional circumstances, arrangements to complete such work over more than one day will be subject to mutual agreement between the Contractor, the Horizon Implementation Managers and / or Outlet Managers, but such agreement shall not be unreasonably withheld.

1.52. Requirement 518 - POCL Implementation - Roll Out: Outlet Survey to be Completed in One Visit

1.52.1. Each Outlet survey shall be completed in one visit to the Outlet.

1.53. Requirement 519 - POCL Implementation - Operational Services: Installation at Previously Unequipped Counter Positions

1.53.1. Subject to the limits in Annex 5 to Schedule A12, the Contractor shall provide and install the POCL Service Infrastructure used for OPS at Counter Positions not previously so automated as directed by POCL.

1.54. Requirement 520 - POCL Implementation - Supporting Services: Availability from Day One

1.54.1. The Contractor shall ensure that all the support services shall be available before activation of the POCL Service Infrastructure in each POCL Premises in line with the Service Levels.

1.55. Requirement 521 - POCL Implementation - Supporting Services: Help Desk Services Single Point of Access

1.55.1. The Contractor shall provide one telephone number as a single point of access to all Help Desk Services.

1.56. Requirement 522 - POCL Implementation - Supporting Services: Help Desk Telephone Number

1.56.1. The Help Desk contact point for POCL Users shall be a local rate telephone number.

1.57. Requirement 523 - POCL Implementation - Supporting Services: Levels of Support Service

1.57.1. The Contractor shall provide appropriate levels of support services:

- a) to all Users who have access to the POCL Service Infrastructure;
- b) to cover the operation of interfaces with the POCL Service Environment;
- c) to provide support for all other help desks linked to the Help Desk facility provided by the Contractor.

1.58. Requirement 524 - POCL Implementation - Supporting Services: Help Desk Hardware Support

1.58.1. The Help Desk Service shall deal, without limitation, with calls relating to the Hardware. This shall include, but is not exclusive to:

- a) fault diagnosis;
- b) maintenance call out;
- c) caretaking advice;
- d) configuration management.

1.59. Requirement 525 - POCL Implementation - Supporting Services: Help Desk Additional support services

1.59.1. The Help Desk must be able to provide access for Users to additional support services (including training facilities, training materials, operational support documentation, and consumables) by the commencement of Roll Out and shall provide such access thereafter when requested to do so by POCL.

1.60. Requirement 526 - POCL Implementation - Supporting Services: Help Desk Resolution of Reported Incidents

1.60.1. All reported Incidents shall be resolved in line with Service Levels.

1.61. Requirement 527 - POCL Implementation - Supporting Services: POCL Help Desk

1.61.1. A dedicated POCL Help Desk staffed by fully trained, qualified and experienced personnel shall be provided working to Service Levels.

1.62. Requirement 528 - POCL Implementation - Supporting Services: Help Desk Re-Routing of Calls

1.62.1. Calls made to the POCL Help Desk that are not pertinent to it shall be re-routed to the appropriate point as per Service Levels.

1.63. Requirement 529 - POCL Implementation - Supporting Services: Help Desk Compliance with POCL Help Service Behavioural Standards

1.63.1. The Help Desk Service shall comply with POCL help service behavioural standards in accordance with Service Levels.

**1.64. Requirement 530 - POCL Implementation - EPOSS
Functionality Availability of Services**

1.64.1. If for any reason it is not possible to - or it is decided by POCL not to - make EPOSS functionality immediately available on commencement of Roll Out of the POCL Service Infrastructure, APT functionality shall be available and operational with no adverse system or operational impacts. In effect it shall be a requirement to isolate EPOSS functionality so that it cannot inadvertently be used/misused to the detriment of Customer service and POCL accounting needs.

**1.65. Requirement 531 - POCL Implementation - Training:
Acceptable Standards in Key Competencies**

1.65.1. Training shall be provided to enable POCL's target audience to achieve acceptable standards in key competencies as defined by POCL by a date consistent with the Project Plan. These competencies shall be reviewed from time to time. For some groups this may mean familiarisation training only. The target audience shall include Users, managers, trainers, auditors and certain non User groups i.e. retail network managers, regional helpline staff, and account teams in business centres. The Contractor shall deliver the training in the manner specified in the solution to this Requirement.

1.65.2. Competence shall be measured by a method agreed between POCL and the Contractor by a date consistent with the Project Plan.

**1.66. Requirement 532 - POCL Implementation - Training: new
Products and Product Changes**

1.66.1. The Contractor shall train all appropriate staff in the handling of new Products or Product changes, when such staff are trained in the five POCL Core Days before live usage of the POCL Service Infrastructure at their Outlet, as provided for by Requirement 915.

**1.67. Requirement 533 - POCL Implementation - Training: Non
Interference with Data Transfer or Integrity**

1.67.1. If the POCL Service Infrastructure has a facility to operate in dummy training mode, it shall not interfere with the transfer or integrity of POCL Data.

**1.68. Requirement 534 - POCL Implementation - Training:
Suitability for Different User Groups**

1.68.1. The Contractor's training solution shall take account of Users' experiences in term of automated products and platforms (ECCO+, APT, ALPS) and their differing abilities to learn. The Contractor shall agree with POCL (such agreement not to be unreasonably withheld or delayed) the training requirements for the different target audiences identified including training required when individuals move between these target audiences. This may include change of Outlet, promotion, new recruits etc.

**1.69. Requirement 536 - POCL Service Infrastructure - OPS:
Equipment General Requirements**

1.69.1. Peripheral and input devices supplied as part of the elements of the POCL Service Infrastructure on which OPS is provided shall be reliable, robust and easy to use.

1.69.2. Peripheral and input devices supplied as part of the elements of the POCL Service Infrastructure on which OPS is provided shall be capable of detecting contention, premature removal/swapping of Tokens etc. as appropriate.

**1.70. Requirement 537 - POCL Service Infrastructure - SMS:
System Management**

1.70.1. The Contractor shall carry out system management of all the POCL Services in a consistent and coherent manner to ensure the following:

a)activities within the POCL Services, including TMS, OPS, OBSCS, APS and EPOSS, are co-ordinated such that, for example, changes and faults can be tracked across Service boundaries;

b)changes to the POCL Services can be made speedily and accurately.

**1.71. Requirement 538 - POCL Service Infrastructure - SMS:
Synchronisation of Time**

1.71.1. SMS shall provide a facility for synchronising the date and time across the POCL Services and the POCL Service Infrastructure. This shall cater for the handling of clock changes (e.g. at the beginning and end of British Summer Time).

1.71.2. SMS shall permit Transactions to be processed using local time and/or GMT, and all the relevant elements of

the POCL Service Infrastructure shall be able to derive both local time and GMT.

1.72. Requirement 539 - POCL Service Infrastructure - SMS: Reference Data Handling

1.72.1. SMS shall maintain Reference Data necessary to the operation of the POCL Service Infrastructure and the POCL Services.

1.72.2. SMS shall receive store and utilise Reference Data from sources outside the control of the Contractor (e.g. the POCL Reference Data System and Client systems).

1.72.3. It shall be possible to implement changes to Reference Data to tight timescales. As an example of such timescales, it shall be possible to implement Reference Data changes consequent on a Budget by start of business on the following day.

1.73. Requirement 540 - POCL Service Infrastructure - OPS: Equipment Environmental Considerations

1.73.1. The Contractor shall give due attention to the effects of the Equipment used in the provision of OPS on the environment during manufacture, installation and use. This includes:

- a) use of CFCs;
- b) energy consumption;
- c) recyclability of components;
- d) recyclability of consumables;
- e) waste minimisation;
- f) use of sustainable resources;
- g) disposal of displaced equipment and waste;
- h) making appropriate use of recycled materials.

1.73.2. The Contractor shall adhere to relevant environmental legislation such as the Environmental Protection Act 1990 and publication 'Waste Management: The Duty of Care - A Code of Practice'.

1.74. Requirement 541 - POCL Service Infrastructure - TMS: Scaleability

1.74.1. TMS shall be scaleable to meet POCL's business needs from time to time.

1.74.2. This capability shall include the ability to support any Client Transactions re-engineered by POCL, new capabilities developed by POCL and considerable volumes of Transactions needing authorisation from a Client system or a central point in POCL.

1.75. Requirement 542 - POCL Service Infrastructure - OPS: Continued Support of Operating Systems, Middleware and Applications Software

1.75.1. The Contractor shall fully support the Software in the POCL Service Infrastructure during the life of the elements of the POCL Service Infrastructure on which such Software is utilised in providing the POCL Services.

1.76. Requirement 543 - POCL Applications - APS: Tokens

1.76.1. The APS shall support the following range of Tokens:

- a) Landis & Gyr PISCES Smart Token;
- b) GEC Meters WATERCARD Smart Token;
- c) Schlumberger Smart Key for the water industry;
- d) Schlumberger Smart Key for the electrical industry;
- e) magnetic stripe card;
- f) British Gas Quantum Smart Token;
- g) bar coded documents.

1.77. Requirement 544 - POCL Applications - APS: Clients/Client Service Types

1.77.1. The Contractor shall provide the APS to POCL in respect of all its APS Clients as at 15th May, 1996.

1.77.2. The Contractor shall provide the APS such that Clients or APS Client Service Types (which conform to generic APS) may be added to, modified or removed from, the APS on a regular basis.

1.77.3. The Contractor shall provide assistance to implement an interface to additional third party applications/Tokens if so required by POCL.

1.77.4. The Contractor shall provide technical assistance to support POCL's relationship with Clients and potential Clients.

1.77.5. The Contractor shall develop and maintain the APS in a generic way that enables additional APS Client Service Types to be added with minimum cost and disruption.

1.78. Requirement 545 - POCL Applications - APS: Documentation

1.78.1. The Contractor shall provide technical and overview documentation describing the APS by a date consistent with the Project Plan. The technical and overview documentation shall be in sufficient detail to allow POCL to market the APS to Clients and potential Clients and to consider the suitability of additional services.

1.78.2. The Contractor shall agree the content of the technical and overview documentation with POCL.

1.78.3. The Contractor shall develop and maintain an AP Client Specification which specifies the details of each Client/Client Service Type of the APS, including but not limited to the Client interface specification, the presentation of information on OPS, the data involved and any necessary timings.

1.78.4. AP Client Specification contents shall include:

1. Client identity and overview

This section identifies the Client for whom a specific instance of the APS is to be provided and provides an overview of the Client's business objectives in relation to the APS.

2. Tokens and Methods of Payment

A description of the Token(s) that the Client requires its customers to use and the Method(s) of Payment that are acceptable to the Client.

3. Transaction data

- Contents;
- Validation;
- Sort/Substitution/Customisation;
- Batching;
- Transfer.

4. Other data

- Contents;
- Validation;

- Availability.
- 5. Client service levels
- 1.78.5. The Contractor shall agree the content of the AP Client Specification with POCL before the activation of APS for that Client.
- 1.79. Requirement 546 - POCL Applications - APS: General Constraints
- 1.79.1. The Contractor shall deliver the APS using the POCL Service Infrastructure.
- 1.79.2. The Contractor shall make the APS available at all Counter Positions, subject to the limits contained in Annex 5 of Schedule A12, and at such other places where the POCL Service Infrastructure exists.
- 1.79.3. The Contractor shall ensure that the availability of each APS Client Service Type at each Outlet is individually controllable on authority from POCL.
- 1.80. Requirement 547 - POCL Applications - APS: Data Capture and Validation
- 1.80.1. The Contractor shall ensure that data are captured correctly, robustly, accurately, securely and as agreed with POCL.
- 1.80.2. The APS shall, as a minimum, validate data, whether read from Tokens or entered by the User, in accordance with a set of rules identified in:
 - a) POCL APS Generic Rules;
 - b) Token Technology Specifications;
 - c) the AP Client Specification.
- 1.80.3. The APS shall check data, whether read from Tokens or entered by the User, against any valid Client data or Reference Data for the Client Service Type (e.g. stop lists) and take the action prescribed in the relevant AP Client Specification or Token Technology Specification.
- 1.80.4. The APS shall display User instructions specific to a Client Service Type as identified in the relevant AP Client Specification.
- 1.81. Requirement 548 - POCL Applications - APS: Transaction Committal
- 1.81.1. The APS shall commit the Transaction when:

- a) monies have been accepted; or
- b) a Transaction has been reversed; or
- c) a Token has been issued; or
- d) a Smart Token has been accessed (including an abandoned or enquiry Transaction).

1.82. Requirement 549 - POCL Applications - APS: Transaction Reversal

1.82.1. The APS shall enable the Reversal of committed Transactions if eligible for Reversal as defined in:

- a) POCL APS Generic Rules;
- b) Token Technology Specifications;
- c) AP Client Specification.

1.82.2. The Contractor shall provide a secure and auditable process for dealing with such Reversals.

1.83. Requirement 550 - POCL Applications - APS: Update of APS Tokens

1.83.1. The APS shall write data to APS Tokens in accordance with the rules identified in the appropriate Token Technology Specification, AP Client Specification and POCL APS Generic Rules.

1.84. Requirement 551 - POCL Applications - APS: Receipting

1.84.1. The APS shall produce a Transaction receipt for each committed Transaction.

1.84.2. The Transaction receipt shall include, as a minimum, information sufficient to provide a Transaction audit, plus any other information identified in the appropriate AP Client Specification and Token Technology Specification.

1.84.3. The receipt produced for a Reversal Transaction shall identify it as a Reversal and identify the original (reversed) Transaction.

1.84.4. In the event of printer failure the APS shall provide information to enable a manually completed receipt to be produced.

1.84.5. The APS shall enable individual Outlets to produce bilingual receipts (Welsh/English).

1.84.6. The APS shall support retrieval of Transaction information for the purpose of resolving Customer queries in the Outlets and this may be by retention of a duplicate receipt or by other means.

1.85. Requirement 552 - POCL Applications - APS: Transaction Collection / Delivery

1.85.1. The APS shall maintain and deliver committed Transactions to POCL and Clients in accordance with the following:

- a) POCL APS Generic Rules;
- b) the appropriate AP Client Specification;
- c) Token Technology Specification.

1.86. Requirement 553 - POCL Applications - APS: Client Data Collection and Distribution

1.86.1. The Contractor shall ensure that Data Files from POCL and Clients are collected/received and validated in accordance with the relevant AP Client Specification, Token Technology Specification and POCL APS Generic Rules.

1.86.2. The Contractor shall ensure that Data Files from POCL and Clients are available to all, groups of, or specific Outlets in accordance with the appropriate AP Client Specification, Token Technology Specification and POCL APS Generic Rules.

1.87. Requirement 554 - POCL Applications - APS: Fallback and Recovery

1.87.1. The Contractor shall provide fallback facilities for the APS in situations when a User is unable to use part or all of the POCL Service Infrastructure (for whatever reason) and this provision shall maintain the integrity, auditability, security and levels of Customer service.

1.87.2. The Contractor shall ensure that following an Incident that adversely affects the integrity of APS data, the APS is automatically recovered to a known position and each User is able to identify what Transaction data have to be re-entered.

1.87.3. The Contractor shall ensure that following an Incident any previously recorded APS data which may have been corrupted are discarded.

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- 1.87.4. The APS shall provide facilities for the re-input (Recovery) of previously captured Transaction data which have been lost following an Incident.
- 1.87.5. The APS shall provide facilities for the input (Recovery) of the details of Customer Transactions performed whilst the OPS was unavailable.
- 1.87.6. The APS shall provide facilities to enable data Recovery to be achieved swiftly and in an auditable way.
- 1.87.7. The APS shall enable data Recovery to be achieved with minimal impact to Customer service.
- 1.87.8. The APS is not required to produce a receipt for recovered Transactions (a receipt would have been produced, either manually or automatically produced, at the time of the counter Transaction).
- 1.87.9. The APS shall facilitate the over-riding of certain validation rules for recovery Transactions, as specified in the POCL APS Generic Rules.
- 1.88. Requirement 555 - POCL Service Infrastructure - OPS: Capabilities on Initial Implementation**
- 1.88.1. In each Outlet, at each automated Counter Positions, from Roll Out at such Outlet, OPS shall:
- a) support the reading of track 2 from magnetic stripe cards complying with ISO 7811 parts 1-4;
 - b) support the reading from and writing to Smart Tokens complying with:
 - ISO 7816 parts 1 and 2;
 - and /or ISO 7816 parts 1, 2 and 3;and be capable of supporting future applications complying with:
 - ISO 7816 part 4.
 - c) support magnetic stripe cards and Smart Tokens that do not match the above standards in all respects (e.g. where embossing is not in the correct position, or the magnetic stripe does not adhere fully to the standards set out in paragraph 1.1) save to the extent specified in the Solution to this Requirement;
 - d) support the reading of one dimensional bar-codes. The maximum bar-code width to be read shall be 10.9 cm at a resolution of 9 mils. OPS shall support, at minimum code 128, EAN 8, EAN 13, code 39.

1.88.2. In each Outlet from Roll Out at such Outlet EPOSS shall:

- a) support printing on manually fed pre-printed forms at the counter, for example Girobank summary forms G4631, G4632 and G4633;
- b) support printing on cheques and other forms at the counter;
- c) support printing of existing Client reports at the counter. This shall include printing in large fonts and printing with 90 degree rotation;
- d) support the connection of electronic weighing scales (which shall not be supplied under the Codified Agreement) to the POCL Service Infrastructure. As a minimum, connections shall include Avery Berkel type D104 and A702. It shall be possible to share a set of weighing scales between two or more Counter Positions at which the POCL Service Infrastructure has been installed;
- e) support the printing of reports necessary to meet existing Client commitments;
- f) support the printing of cash accounts and plain paper summaries;
- g) support the printing of PDF417 two dimensional bar-codes on forms generated through back office processing. Typically the two dimensional bar-code shall be used to contain cash account information;
- h) support the printing of one dimensional bar-codes at the counter on forms as well as tally roll print, if such support is provided for in the Solution to this Requirement. As a minimum, code 128, EAN 8, EAN 13 and code 39 shall be printable;
- i) support the printing of one dimensional bar-codes at the back office, if such support is provided for in the Solution to this Requirement. As a minimum, code 128, EAN 8, EAN 13 and code 39 shall be printable.

1.89. Requirement 557 - POCL Service Infrastructure - OPS: Flexibility

1.89.1. OPS and the elements of the POCL Service Infrastructure on which OPS is provided shall have the flexibility for additional peripheral equipment to be added in the future, including input devices and printers.

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- 1.89.2. POCL shall have the option to add up to three types of additional peripheral equipment.
- 1.89.3. POCL shall have the option to require OPS to support the reading of OCR to interpret code lines on bills etc. If such option is exercised, the Charges for such Service shall be as set out in the Solution to this Requirement.
- 1.89.4. POCL shall have the option to require OPS to support the reading of two dimensional bar-codes. If such option is exercised, the Charges for such Service shall be as set out in the Solution to this Requirement.
- 1.89.5. POCL may, as an Additional POCL Service, require OPS and the elements of the POCL Service Infrastructure on which OPS is provided to be linked to teller cash dispensers. Such Additional POCL Service shall be subject to agreement with the Contractor.
- 1.90. Requirement 558 - POCL Service Infrastructure - OPS: Equipment Capacity**
- 1.90.1. The OPS shall support the POCL imperative of keeping Transaction times to a minimum.
- 1.90.2. The OPS shall be capable of supporting the entire range of business transacted at Outlets for current volumes of business and volumes of business as projected by POCL.
- 1.91. Requirement 559 - POCL Service Infrastructure - OPS: Extent**
- 1.91.1. OPS shall be provided in each Outlet.
- 1.91.2. OPS shall have the ability to support the automation of all Transactions performed at Counters Positions.
- 1.91.3. From Roll Out in each Outlet OPS shall be capable of supporting APS, OBCS and EPOSS in that Outlet.
- 1.92. Requirement 560 - POCL Service Infrastructure - OPS: Technology Refresh**
- 1.92.1. POCL wishes to take advantage of changes in technology during the term of the Codified Agreement.
- 1.92.2. No change shall be made to the specification of equipment to be used within the POCL Service Infrastructure, without approval by POCL.
- 1.92.3. The specification of the equipment being used and installed within the POCL Service Infrastructure shall

be reviewed by the parties at times reasonably agreed by them, to ensure that the most appropriate technology is deployed.

1.93. Requirement 561 - POCL Service Infrastructure - OPS: Licence Indemnities

1.93.1. The Contractor shall indemnify POCL against any dispute of the Contractor's or POCL's right to utilise the Hardware, Software or any information used for any of the POCL Services (e.g. third party challenges with reference to licensing or Intellectual Property Rights). In the event of any such dispute, the Contractor shall ensure that there is no impact on the level of the POCL Services.

1.94. Requirement 691 - POCL Applications - EPOSS: Inventory Management

1.94.1. EPOSS shall support cash management by denomination and Stock management by Stock Item.

1.94.2. EPOSS shall support the recording of Transfers of cash and Stock into and out of the Outlet.

1.94.3. EPOSS shall provide a facility to allow the authorised update of cash and Stock held in an Outlet via the OPS.

1.95. Requirement 692 - POCL Applications - EPOSS: Methods of Payment

1.95.1. EPOSS shall accept single or multiple Methods of Payment as settlement.

1.95.2. EPOSS shall allow the implementation of new types of Methods of Payment, including without limitation debit cards and EFTPOS.

1.95.3. The Contractor shall indicate their proposals to implement an EFTPOS Service.

1.95.4. The Contractor shall be aware that:

a) POCL may require an EFTPOS facility as Method of Payment on EPOSS, probably just debit cards initially (e.g. Switch, Connect) but perhaps extending to credit cards later, (e.g. Visa and Mastercard). The capability to handle both debit and credit cards from commencement of such a facility;

b) indicative volumes for EFTPOS at 15th May 1996 were:

- between 30 and 50 million EFTPOS payments per annum;

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- 70% above the floor limit (£15 working assumption) and so needing authorisation;

c) the main Transactions for which EFTPOS will be used are expected to be:

- motor vehicle licence renewals (34%), bill payments (38%, about half BT and half others);
- television licence payments (11%) and payment for purchases from PostShops (5%), all estimates;
- other likely Transactions leading to EFTPOS are expected to include travel insurance and bureau de change and cash withdrawals;
- there would be no Cash-Back option initially;

d) business arrangements have not yet been finalised but the current assumptions are for:

- a single Merchant Acquirer;
- on-line authorisation and batch Transaction submission to be via TMS;
- reconciliation of EFTPOS payments on the EPOSS Transaction log with an electronic data stream version of the daily bank account updates;
- signed receipts may be stored in the Outlets, remitted to Distribution Centres or dispatched to a central facility (which the Contractor may wish to offer);
- POCL expects to need to retrieve receipts in order to prove Transactions at 0.2% or between 60,000 and 100,000 per annum at above volumes.

1.95.5. POCL requires guidance from the Contractor as to the options for EFTPOS on the particular facilities being proposed and the relative costs and benefits of each.

1.96. Requirement 693 - POCL Applications - EPOSS: Receipting

1.96.1. EPOSS shall allow production of a VAT receipt for Customers at the end of each Customer Session, but before the next Transaction is entered.

1.96.2. EPOSS shall allow automatic production of a non VAT receipt for Customers to support a specific POCL Service e.g. APS.

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- 1.96.3. The Contractor shall agree the format of all styles of receipts with POCL by a date consistent with the Project Plan.
- 1.96.4. A bilingual Welsh/English receipt header and footer is required in designated Outlets.
- 1.96.5. EPOSS shall allow production of additional (duplicate) receipts and they shall be marked as such.
- 1.97. Requirement 694 - POCL Applications - EPOSS: Data Capture**
- 1.97.1. The Contractor shall provide a point of sale / "Till" function to record all sales.
- 1.97.2. Data shall be automatically recorded in EPOSS if captured during another POCL Service at the point of sale.
- 1.97.3. EPOSS shall allow the manual input by the User of weight values where scales are not linked.
- 1.97.4. EPOSS shall be event driven so that both data capture and the recording of POCL Services are dynamic (e.g. the swiping of a magnetic stripe card initiates the Transaction).
- 1.97.5. EPOSS shall have the facility to read data from any input device supplied as part of the POCL Service Infrastructure used in providing OPS.
- 1.98. Requirement 695 - POCL Applications - EPOSS: Stock Unit Control**
- 1.98.1. EPOSS shall provide the facility to adjust cash and Stock levels within a Stock Unit to reflect the actual levels on hand.
- 1.98.2. EPOSS shall provide each Outlet with the flexibility to set up Stock Unit(s) according to the local working practice requirement.
- 1.98.3. Within EPOSS there shall be a Stock Unit management facility at Outlet level to change Stock Unit options and assignments.
- 1.98.4. The Contractor shall be aware that Stock Units are individual units of accountability which contain Stock (fixed price Stock Items, Customer and Client specific Tokens, retail Stock Items, cash and Transaction Vouchers for a POCL Outlet Accounting Period.
- 1.98.5. EPOSS shall allow a User or group of Users to be accountable for a Stock Unit, so that each Outlet has at

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least one Stock Unit, but there can be other Stock Units, effectively operating independently.

- 1.98.6. Each Stock Unit can in turn be tied to both a User or group of Users or a single Till or group of Tills.
- 1.98.7. EPOSS shall allow each Stock Unit to be Balanced individually. The Stock Unit may be Balanced more than once within a POCL Outlet Accounting Period. Cash and Stock Items shall be entered by denomination or Stock Item level. This applies whether or not multiple Tills are linked to a single Stock Unit.
- 1.98.8. At the end of the POCL Outlet Accounting Period an Outlet Balance is struck with the details provided by the Balanced Stock Units.
- 1.98.9. An Outlet brings to account manual voucher Transactions including Transaction Vouchers, automated voucher Transactions including Transaction Vouchers, reports the Suspense Account position and the Stock and cash totals within the approved Cash Account format.
- 1.98.10. The cycle is repeated in the new POCL Outlet Accounting Period with an Outlet Balance brought forward value that includes the Stock and cash in hand, Suspense Account and loss and gain position from the previous POCL Outlet Accounting Period.
- 1.98.11. EPOSS shall provide a secure mechanism for controlling access to a Stock Unit.

1.99. Requirement 696 - POCL Applications - EPOSS: Reporting

- 1.99.1. EPOSS shall allow production of a daily Report that shows, at Outlet level, the cash holdings by individual denomination of bank note and coin. The format of the report shall be agreed by POCL and the Contractor by a date consistent with the Project Plan.
- 1.99.2. EPOSS shall support the summarisation of daily and weekly Transaction Vouchers at Stock Unit level.
- 1.99.3. EPOSS shall support a reporting facility to print on Client cut sheet stationery where the Client requires it (including without limitation Girobank daily summaries).
- 1.99.4. The Contractor shall be aware that Girobank is only an example - POCL needs to keep the flexibility to print on other cut sheets e.g. tax discs/cheques in due course.
- 1.99.5. The format of all styles of receipts shall be agreed by POCL and the Contractor by a date consistent with the

Project Plan. A bilingual Welsh/English version is required in designated Outlets.

1.99.6. EPOSS shall allow production of duplicate receipts and they shall be marked as such.

1.99.7. EPOSS shall support a reporting facility to print on Client cut sheet stationery to support Girobank and the Postmaster's Daily Record (PDR) summarisation.

1.99.8. EPOSS shall support reporting by journal/tally roll and on A4 sheets to Client requirements at both Stock Unit and Outlet levels, with the format to be agreed by a date consistent with the Project Plan.

1.99.9. EPOSS shall allow reporting to be previewed on screen.

1.100. Requirement 697 - General - Audit: Access

1.100.1. The Contractor and his sub-contractors shall keep or cause to be kept Records (including financial records) of all Services, covering materials and POCL Services provided, timesheet records, contracts let to sub-contractors and Charges levied to POCL. These Records shall not be more detailed than those held by the Contractor for its own audit purposes.

1.100.2. The Contractor shall permit POCL or POCL'S representatives (including those bodies listed in paragraph 2.1 of Schedule A03) unrestricted access to the Records for the purpose of auditing and reporting on the performance, including charging and accounting aspects, of the POCL Services.

1.100.3. Such access shall be provided on request and shall include access to premises, facilities, Services, documentation, information (magnetic or otherwise), staff, procedures, timesheets and other data used directly as a basis for charging belonging to the Contractor which relate to the provision of the POCL Services.

1.100.4. The Contractor shall implement audit recommendations in accordance with provisions of the change control procedures.

1.100.5. The Contractor shall provide within reasonable timescales either documentary or demonstrable evidence of such changes and shall if required provide access to the POCL'S representatives to monitor and confirm the implementation of such changes.

1.101. Requirement 698 - General - Security: Policy

1.101.1. The Contractor shall minimise and control liabilities to itself and POCL.

1.101.2. The Contractor shall, by a date consistent with the Project Plan, set up an organised security infrastructure covering:

- a) the agreement of a security policy;
- b) allocation of security responsibilities;
- c) security education and training;
- d) reporting security incidents;
- e) physical security control;
- f) virus control;
- g) business continuity;
- h) control of Software;
- i) safeguarding POCL records;
- j) information classification;
- k) compliance with data protection and other legislation;
- l) information exchange control;
- m) Contractor's sub-contractors and suppliers;
- n) compliance with security policy;
- o) the management of fraud and risk during service operation.

1.101.3. The Contractor shall be compliant with BS7799.

1.102. Requirement 699 - General - Audit: Trail

1.102.1. An audit trail shall be maintained during periods of POCL Service operation including fallback and Recovery.

1.102.2. The audit trail shall record all Data File transfer, messaging and processing, whether as a result of manual or automated action.

1.102.3. The information recorded shall be sufficient to identify the action, by whom it was undertaken, when it was undertaken, why it was undertaken, where it was undertaken and the resulting outcome.

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- 1.102.4. The audit trail shall allow activities that utilise more than one of the POCL Services to be traced across the POCL Services from start to finish, or from an intermediate POCL Service in any direction, with certainty.
- 1.102.5. The audit trail shall provide information to allow the original Transaction to be recreated.
- 1.102.6. The content of the audit trail shall be agreed with POCL by a date consistent with the Project Plan.
- 1.102.7. Subject to Clause 801, audit trail records shall be retained for a period consistent with Companies Act requirements, or for a period of eighteen (18) months, whichever is longer.
- 1.102.8. The audit trail shall be available for inspection by POCL or their representatives as listed in paragraph 2.1 of Schedule A03.
- 1.102.9. The audit trail shall have a level of security such that it cannot be altered or deleted.
- 1.102.10. The integrity of the audit trail shall be continued during periods of partial or complete service loss or failure.
- 1.102.11. The audit trail shall comply with Requirement 829.
- 1.102.12. Technological changes to the POCL Services or the POCL Service Infrastructure shall not render the audit trail unusable.
- 1.103. Requirement 799 - POCL Applications - APS: Token Issue**
- 1.103.1. The Contractor shall provide a facility that permits the issue at Outlets of replacement APS Tokens and APS Tokens for new Customers, as directed by POCL.
- 1.104. Requirement 800 - POCL Applications - EPOSS: Serve Customers (A)**
- 1.104.1. EPOSS shall support the recording of all Transactions between the Customer and the User.
- 1.104.2. EPOSS shall allow the selection of Customer Sessions to allow for:
- a) normal Customer service; or
 - b) a Refund; or

c)a Reversal.

1.104.3. EPOSS shall uniquely identify a Customer Session and each Transaction within the Balancing Period.

1.104.4. EPOSS shall allow Customer Session completion to be implemented in a way to encourage a 'one Customer one session' rule.

1.104.5. EPOSS shall provide a cash tendered facility to calculate change due to the Customer. Use of this feature shall be at the discretion of the User and not forced by EPOSS.

1.105. Requirement 801 - POCL Applications - EPOSS: Product Styles

1.105.1. EPOSS shall support the current range of business performed within Outlets e.g.

a)Value Stock;

b)Method of Payment;

c)a counter shortage known as a "loss";

d)a counter overage known as a "gain";

e)a POCL Product;

f)an inpay supported by a Client voucher (receipt);

g)an outpay supported by a Client voucher (payment).

1.105.2. EPOSS shall support the Customer Transaction by price type as follows:

a)fixed price - where the price is held by EPOSS; or

b)variable price (open) - where the User enters the actual price. If the valid range excludes zero the User is forced to enter a non zero price; or

c)variable price (default) - where the default price is non zero. The User can either accept this price or oertype to change it within the valid range.

1.105.3. Where necessary Composite Products shall be declared at individual denomination or item level by the User as part of the Balancing activity.

1.106. Requirement 802 - POCL Applications - EPOSS: Value Stock Management

1.106.1. EPOSS shall maintain the current Stock record for Value Stock items and Methods of Payment to reflect the Transactions completed, e.g. if a postal order and the Associated Fee are sold for cash the Stock of the former is decreased and that of the cash is increased.

1.106.2. EPOSS shall allow compensatory corrections of errors to be made without the need to perform a Reversal or a sale.

1.107. Requirement 803 - POCL Applications - EPOSS: Data Resilience

1.107.1. EPOSS shall accurately maintain data and record all Transaction Sessions as double entries.

1.107.2. If EPOSS is interrupted or fails during a Customer Session the POCL Service Infrastructure shall ensure that data capture is resilient and consistent with the need to retain a balanced status.

1.108. Requirement 804 - POCL Applications - EPOSS: Transaction Log / Inspection

1.108.1. A journal of all Transaction data shall be available to allow the User to refer back to a previous Transaction.

1.108.2. EPOSS shall provide a Transaction log for any Balancing Period in the POCL Outlet Accounting Period to allow the User to refer back to a previous Transaction.

1.108.3. The Transaction log may be used in conjunction with a Transaction Reversal by the User to identify the unique Transaction Id.

1.108.4. The Transaction log shall be easily accessible to the User for the resolution of enquiries.

1.109. Requirement 805 - POCL Applications - EPOSS: Audit / Event Log and Inspection

1.109.1. EPOSS shall maintain a log of Transactions attempted and actioned at Stock Unit level.

1.109.2. EPOSS shall provide an audit/Event log for any Balancing Period in the current POCL Outlet Accounting Period by Stock Unit.

1.109.3. EPOSS shall provide a facility to allow the User to inspect activities on the Stock Unit within the POCL

Outlet Accounting Period so that, without limitation all attempts to access a Stock Unit can be detected.

1.109.4. The audit/Event log shall be readily available to the User for the resolution of enquiries.

1.110. Requirement 806 - POCL Applications - EPOSS: Set Date and Time

1.110.1. The date and time within EPOSS shall be accurately maintained and remain in step with Greenwich Mean Time and/or British Summer Time as appropriate.

1.111. Requirement 807 - POCL Applications - EPOSS: Transfers between Stock Units

1.111.1. EPOSS shall allow the movements of Value Stock Items and Methods of Payment into and out of Stock Units within the same Outlet to be recorded.

1.111.2. The data recording a movement shall be entered in a Transaction Session similar to a Customer Session except that the session total comes to the Transfer total rather than to zero. However, EPOSS shall adjust overall item Stock levels when the data entry session is complete so that the "balance" of the Stock Unit is maintained.

1.111.3. Each movement is entered to the current Balancing Period for the Stock Unit.

1.112. Requirement 808 - POCL Applications - EPOSS: Outlet Balance

1.112.1. EPOSS shall provide a facility to reconcile Non-value Stock Stock Items with unique serial numbers.

1.112.2. Reconciliation shall be by volume and by Stock Unit as:

a) number on hand at the start of the POCL Outlet Accounting Period (plus);

b) number received (equals);

c) number on hand at close of POCL Outlet Accounting Period (plus);

d) number issued/spoilt/returned.

1.112.3. EPOSS shall provide a Suspense Account facility where items that cannot be cleared operationally during one POCL Outlet Accounting Period can be identified and carried forward to the next.

1.112.4. EPOSS shall provide an on demand Outlet Balance Report to a POCL agreed format, this format shall be agreed by a date consistent with the Project Plan. This Report shall provide a "snap shot" of the Outlet position within the current POCL Outlet Accounting Period.

1.113. Requirement 809 - POCL Applications - EPOSS: Customer Session

1.113.1. Within a Customer Session EPOSS shall maintain:

- a) a running record of all Transactions performed;
- b) the current balance;
- c) the accounting sense (pay out/take in);
- d) settlement details.

1.113.2. Multiple Transactions for the same Customer shall be logically grouped into a single Customer Session.

1.114. Requirement 810 - POCL Applications - EPOSS: Transaction Rules

1.114.1. EPOSS shall allow the Refund or Reversal of a Transaction according to Client and POCL accounting and business rules as agreed between the parties from time to time. EPOSS shall enable certain Transactions not to be refundable or reversible to comply with any changes to the Client and POCL accounting and business rules as agreed with POCL from time to time.

1.114.2. EPOSS shall be able to validate Transaction details against Reference Data.

1.114.3. EPOSS shall provide the ability to Rate Shop against a value input for a fixed price POCL Product.

1.115. Requirement 811 - POCL Applications - EPOSS: Data Transmission

1.115.1. EPOSS shall allow TMS to pass all recorded information to authorised remote locations (e.g. TIP).

1.115.2. EPOSS shall be flexible enough to support the introduction of new POCL Services for Clients in an integrated manner and ensure that any new POCL Product can be added, and that EPOSS is automatically updated.

**1.116. Requirement 812 - POCL Applications - EPOSS:
Transaction Reversal**

- 1.116.1. EPOSS shall allow Reversals for Customer Transactions and Transfers either within the Outlet or to a remote location.
- 1.116.2. EPOSS shall allow Reversals to be entered for normal Transactions (but not for Reversals) as follows:
- 1.116.3. only for Customer Transactions which are not part of other POCL Services (e.g. APS) or disallowed in Reference Data supplied by POCL to the Contractor from time to time.
- 1.116.4. EPOSS shall permit Users to enter a Reversal which needs not correspond to a particular Transaction on the Transaction log identified by the User according to Client and POCL accounting and business rules as agreed between the parties from time to time.

**1.117. Requirement 813 - POCL Applications - EPOSS:
Revaluation of Value Stock**

- 1.117.1. EPOSS shall allow revaluation of fixed price Value Stock Stock Items and Methods of Payment when the price changes.
- 1.117.2. (Note: While price changes would not normally apply to Methods of Payment, it is a desirable feature in case of future alternative currencies, e.g. the "Euro". However, the remainder of this requirement is written in terms of Value Stock.)
- 1.117.3. When a price changes for a fixed price Value Stock Stock Item, the Stock value must change to maintain the relationship $\text{Stock value} = \text{Stock quantity} \times \text{price}$. The change in Stock value must be "balanced" by one or more Transactions for designated POCL Products (and thence reported on designated Cash Account lines). Thus the requirement for maintaining an equal and opposite effect on the Stock Unit is maintained.
- 1.117.4. EPOSS shall allow efficient revaluation of multiple Value Stock Stock Items of the same generic type e.g. postal order fees.
- 1.117.5. EPOSS shall ensure that only Value Stock Stock Items allowed in Reference Data provided by POCL to the Contractor from time to time can be accessed.

1.118. Requirement 814 - POCL Applications - EPOSS: Enter Cash on Hand

1.118.1. EPOSS shall provide a function to record the value of cash held in the Stock Unit by denomination for two distinct purposes:

a) as part of the Cash Flow Reporting process;

b) as part of the Stock Unit Balancing process.

1.118.2. The dialogue to record the information screen may be common for both activities to avoid unnecessary duplication when Balancing.

1.118.3. The Cash Flow/Balancing reporting process aspect of EPOSS may be used at any time but is normally used daily as part of the end of day activity.

1.118.4. The EPOSS shall allow entry by cash value for each denomination and total value declared (EPOSS validating each field entry as numeric). The total entered is used in the Stock Unit Balance Report and the difference between this total and the EPOSS maintained figure for the cash Method of Payment Stock value generates a loss or gain.

1.118.5. The EPOSS maintained Stock value for the cash Method of Payment is not altered during the process. The User is advised of any discrepancy to warn of potential errors and (in Balancing) the implied balancing loss or gain.

1.118.6. A zero cash holding is declared by using the function in the normal way and confirming zero entries.

1.118.7. EPOSS shall allow the last known declaration to be carried forward for Cash Flow reporting purposes where no activity has occurred to change the last known cash position. This is required to cater for rest days including Outlets that shut on Saturdays etc.

1.118.8. In Outlets that Team Work EPOSS shall allow cash declaration across all the Tills that contribute to the Stock Unit position.

1.119. Requirement 815 - POCL Applications - EPOSS: Process Dormant Stock Units

1.119.1. EPOSS shall allow a facility to bring unused Stock Units (and their Stock Unit information) forward into the next POCL Outlet Accounting Period.

1.119.2. An unused Stock Unit is one for which no activity has taken place since its most recent final Balance.

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1.119.3. This facility may be used at any time to ensure that all Stock Units registered in an Outlet are recorded as fully up to date, prior to producing the Cash Account for that POCL Outlet Accounting Period.

1.119.4. The co-ordination of this activity is under the control of the Outlet Manager.

1.120. Requirement 816 - POCL Applications - EPOSS: Audit

1.120.1. A complete set of Outlet Records, for a rolling period of 18 months, shall be maintained as available for retrieval and review (but not amendment).

1.120.2. On retrieval all Records shall be packaged in weekly batches as a complete POCL Outlet Accounting Period cycle.

1.120.3. Outlets require record retrieval on demand for the previous two (2) complete POCL Outlet Accounting Periods. Older records shall be made available at 24 hours notice.

1.120.4. EPOSS shall support the recording of all Events and data entries including fallback and Recovery actions.

1.120.5. EPOSS requires entry of User identity and password to access the Service.

1.120.6. Each facility within EPOSS shall have an associated User authority level (clerk, supervisor, manager). EPOSS shall also provide reasonable safeguards against accidental or deliberate access by other than the normal means to Software or data.

1.120.7. Within an Outlet there shall be a facility to maintain and allocate a User access and privilege level log.

1.121. Requirement 817 - POCL Applications - EPOSS: Discounting

1.121.1. EPOSS shall allow discounting for all discountable POCL Products. A list of discountable POCL Products shall be maintained in Reference Data supplied by POCL.

1.121.2. EPOSS shall allow discount by an entered percentage for the last Transaction or for all discountable POCL Product Transactions in the Customer Session.

1.121.3. EPOSS shall allow discount by an entered value for the last Transaction or for all discountable POCL Product Transactions in the Customer Session.

1.122. Requirement 818 - POCL Applications - EPOSS: Reference Data

- 1.122.1. EPOSS shall provide a facility to update Reference Data files with Reference Data supplied from the POCL Reference Data System. It shall be possible for a date and time stamp to be applied to Reference Data identifying when the change is to be activated, to facilitate timely price changing.
- 1.122.2. EPOSS shall allow the Reference Data content to be presented as a locally produced Report, with changes made in Reference Data by the most recent update clearly identified. When an update to Reference Data is made, each affected local Outlet shall be warned by EPOSS at the start of the next POCL Core Day that a change has been made.
- 1.122.3. EPOSS shall maintain other locally controlled Reference Data. These shall include parameters for POCL Products, POCL Product groups and subgroups, external Transfer sources and destinations.
- 1.122.4. EPOSS shall allow each Outlet to produce various formatted outputs including but not limited to the Cash Account and the Cash Flow Report. Other reporting shall be agreed between the parties during the Operational Trial.
- 1.122.5. Changes to the product range and the internal reporting structure within current principles shall be possible by Reference Data rather than by Software update.
- 1.122.6. EPOSS shall be a robust Service, including features to:
- a) check internal consistency, reporting errors, warning of non critical errors and preventing critical errors;
 - b) refuse deletions if there is dependent business data which would lead to inconsistency of data within the POCL Service Infrastructure;
 - c) make Reference Data available at the counter terminals;
 - d) check Reference Data consistency and report exceptions.

1.123. Requirement 819 - POCL Applications - EPOSS: The Outlet Trial/Final Cash Account

- 1.123.1. EPOSS shall sustain a dynamic set of Cash Account tables that allows Outlets to introduce additional reporting lines as new products are introduced within POCL. More than one Cash Account format shall be

supported and currently there are two in use (which shall both be supported) - standard Outlet format and CRU format. Validation rules could be applied to individual line entries.

1.123.2. A Report shall be available in each Outlet that maps Reference Data of POCL Products to the appropriate line(s) of the Cash Account table(s).

1.123.3. EPOSS shall provide a facility to input Cash Account details including week end date and week number. Under certain authorised circumstances an authorised Outlet may produce one Cash Account to span a 2 or 3 week period and this must be managed by EPOSS. Within this variation there is a requirement to correctly associate the week number with a specific Transaction according to a Client's requirements. This is one of either:

a) the week in which the Transaction took place or;

b) the final week in which the Cash Account is produced.

1.123.4. EPOSS shall support the production of the Cash Account in printed and electronic formats. The printed Cash Accounts shall include a 2D bar code.

1.123.5. EPOSS shall allow Users to produce trial Outlet Cash Accounts.

1.123.6. EPOSS shall provide a facility to move forward into the next POCL Outlet Accounting Period once a final Cash Account has been produced.

1.124. Requirement 820 - POCL Applications - EPOSS: Fallback and Recovery

1.124.1. EPOSS shall provide a means of controlling User access to its data, processes, and functions (see also requirement 816).

1.124.2. EPOSS shall include fallback procedures for situations where the User cannot use the POCL Service Infrastructure for any reason. These facilities shall maintain the integrity, security and levels of Customer Service consistent with the need to maintain trading.

1.124.3. EPOSS shall ensure that, following an Incident, or if operationally desirable for any other reason:

a) the User can return to a complete and recent position;

b) no corruption of secured data has occurred; and

c) a full Recovery can be effected swiftly and in an auditable manner.

- 1.124.4. EPOSS shall back up Stock Unit and Outlet data in order to support the ability to return to a recent known position for fallback and Recovery. Depending on the specific solution, there may be times within the Cash Account cycle (pre/post Cash Account roll over) when local control of back up is required.
- 1.124.5. EPOSS shall allow Recovery of data to a known recent position. This includes both the Outlet and individual Stock Unit data where necessary to maintain integrity of the EPOSS. Recovery should not itself constitute a risk e.g. a one shot only option. Thus in the event of a power down / power interruption during a Recovery activity further Recovery attempts can be made later.
- 1.124.6. EPOSS shall ensure that the committal process for a Transaction is robust and consistent across all Transaction types so that an interruption does not result in an unrecoverable error.
- 1.124.7. EPOSS shall ensure that in the event of a failure of any part of the POCL Service Infrastructure, Recovery can be performed to a known position and with the minimum of disruption to the User. Data re-entry shall be minimal where previously committed Transactions have to be re-entered.
- 1.124.8. EPOSS shall warn the User where there is the possibility that data are corrupt.
- 1.125. Requirement 821 - POCL Applications - EPOSS: Business Rules**
- 1.125.1. EPOSS shall be flexible enough to provide the ability to define the Transaction range available at specific Outlets, including:
- a) preventing specific Transactions from being available locally (by Outlet);
 - b) declining to use specific non-mandatory Transactions locally (by Outlet);
 - c) modifying specific POCL Products, where allowed in Reference Data provided from time to time to the Contractor by POCL, for specific Outlets.
- 1.125.2. EPOSS shall be flexible enough to introduce new functionality as agreed with POCL.
- 1.125.3. EPOSS shall provide facilities to:
- a) prepare EPOSS Transaction data and EPOSS processed data for export to; and

b)import data from other systems outside the POCL Service Infrastructure.

1.126. Requirement 822 - POCL Applications - EPOSS: Interface with Inventory Management

1.126.1. The POCL Service Infrastructure shall be designed such that it can interface into any POCL inventory management systems, and shall have sufficient capacity not to preclude such interfacing.

1.127. Requirement 823 - POCL Applications - EPOSS: Data Management

1.127.1. EPOSS shall make Transaction and process data captured through EPOSS available to any POCL Service delivered through the medium of the OPS and specified by POCL as requiring access to data.

1.127.2. EPOSS shall ensure that, in the event of an Incident, data integrity is maintained and that no corruption of data is introduced arising from the interruption of any uncompleted activity.

1.128. Requirement 824 - POCL Applications - EPOSS: Weighing Scales

1.128.1. Where an Outlet has electronic scales connected to the OPS, EPOSS shall provide the price for a particular weight of package (provided by the scales), with the contention being handled by the scales accepting or denying a connection by a counter terminal.

1.128.2. The OPS shall request the scales only when needed and can only proceed with the scales associated POCL Service if the scales accepts its request. The OPS shall release the scales as soon as it has finished with them.

1.129. Requirement 825 - POCL Applications - EPOSS: Serve Customer (B)

1.129.1. EPOSS shall provide a function to record all sales.

1.129.2. EPOSS shall be event driven so that both data capture and the recording of POCL Services such as APS are dynamic.

1.129.3. All counter Transactions shall be associated with a Customer Session. Multiple Transactions for the same Customer shall be logically grouped into a single Customer Session.

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- 1.129.4. Data shall be automatically recorded in EPOSS if captured during another POCL Service e.g. APS or OBCS.
- 1.129.5. Within a Customer Session EPOSS shall maintain:
- a) a running record of all Transactions performed;
 - b) the current balance;
 - c) the accounting sense (pay out/take in);
 - d) settlement details.
- 1.129.6. EPOSS shall accept single or multiple Methods of Payment as settlement.
- 1.129.7. EPOSS shall provide the flexibility to allow the implementation of new Methods of Payment including EFTPOSS and debit cards.
- 1.129.8. EPOSS shall allow a Customer Session to be suspended and then recalled for completion later. In between the User shall be able to continue to enter and complete further sessions as required.
- 1.129.9. EPOSS shall provide a Void Transaction facility. EPOSS shall enable the use of this facility for certain Transactions to be prohibited according to defined Client and POCL accounting and business rules.
- 1.129.10. EPOSS shall allow the Refund or Reversal of a Transaction with access maintained at User level. Note that certain Transactions shall not be refundable or reversible to comply with Client and POCL accounting and business rules.
- 1.129.11. Some POCL Products are linked and shall remain so within a Transaction, including for Refund/Reversal or voiding purposes, for example a postal order of £1.00 has, currently, an Associated Fee of 25 pence. As part of this linkage, certain Stock Items with no current price shall be re-classified as Value Stock Stock Items e.g. tax discs.
- 1.129.12. EPOSS shall have the facility to accept data, via the POCL Service Infrastructure, from a variety of media such as, Tokens, keyboard, electronic scales, bar codes and to add functionality to accept data from other approved peripheral devices.
- 1.129.13. EPOSS shall allow the input of weight values where scales are not linked.
- 1.129.14. EPOSS shall be flexible enough to support the introduction of new POCL Services for Clients in an integrated manner and thereby ensure that any new POCL

Product is event driven and that EPOSS is automatically updated.

**1.130. Requirement 826 - POCL Service Infrastructure - OPS:
Future Flexibility for Sharing of Specialist Peripherals**

1.130.1. OPS, and the elements of the POCL Service Infrastructure on which OPS is provided, shall be able to be connected, and shall support such connection, to specialist peripherals in such a way that the specialist peripherals may be accessed by one, two or more terminals.

1.130.2. In such a case it shall be possible to restrict access to a subset of the terminals in each Outlet.

**1.131. Requirement 827 - POCL Service Infrastructure - OPS:
Ability to Maintain Authorisation Data**

1.131.1. It is likely that, in due course, re-engineered POCL Products shall require specific authorisation, either through access to a computer system external to the POCL Services or within the POCL Services.

1.131.2. The POCL Services and the POCL Service Infrastructure shall be able to be developed to support the maintenance and use of:

a) stop lists;

b) go lists;

c) other authorisation types;

in relation to such POCL Products.

1.131.3. The POCL Services and the POCL Service Infrastructure shall support such authorisations through access to external computer systems.

1.132. Requirement 828 - General - Security: Data Security

1.132.1. The confidentiality, integrity, validity and completeness of data shall be maintained throughout all storage, processes and transmissions, including during periods of Service Failure and recovery from Service Failure.

1.133. Requirement 829 - General - Security: Prosecution support

1.133.1. The Contractor shall ensure that all relevant information produced by the POCL Service Infrastructure

at the request of POCL shall be evidentially admissible and capable of certification in accordance with the Police and Criminal Evidence Act (PACE) 1984, the Police and Criminal Evidence (Northern Ireland) Order 1989 and equivalent legislation covering Scotland.

1.133.2. At the direction of POCL, audit trail and other information necessary to support live investigations and prosecutions shall be retained for the duration of the investigation and prosecution irrespective of the normal retention period of that information.

1.134. Requirement 830 - General - Security: Contingency Plans

1.134.1. The Contractor shall ensure that all POCL Services are supported by contingency plans including fallback Transactions that minimise or negate the impact of failure in any of the POCL Services.

1.134.2. The Contractor shall ensure that the contingency plans for each POCL Service are compatible with an overall service continuity framework.

1.134.3. The contingency plans shall be based on impact and risk assessments and agreed between the Contractor and POCL by a date consistent with the Project Plan.

1.134.4. Ownership of all contingency actions shall be identified in the contingency plans.

1.134.5. The contingency plans shall include activation procedures and time periods within which the contingency measures shall be activated.

1.134.6. The contingency plans shall include a testing strategy with two distinct parts:

a) Initial testing before commencement of Roll Out of POCL Services;

b) Regular testing.

1.134.7. The contingency plans shall include without limitation the following:

a) prevention measures;

b) preparedness measures;

c) contingency measures;

d) Recovery of normal service;

e) contact lists.

1.134.8. The contingency plans shall be subject to joint periodic review by the Contractor and POCL by a process to be agreed by a date consistent with the Project Plan, to ensure that they meet POCL'S aims.

1.134.9. When contingency operation is invoked as a result of a fault of the POCL Services provided by the Contractor, then the provisions of Schedules E08, F08, G10, H08, K08 shall continue to apply.

1.135. Requirement 831 - End to End Service - POCL Interfaces

1.135.1. The Contractor shall support the interfaces between (i) the services that run POCL systems and (ii) the POCL Services and the POCL Service Infrastructure Service, as such interfaces are defined in the POCL Interfaces documentation maintained by POCL. These shall include:

a) interfaces from TMS and Outlets to Transaction Information Processing (TIP);

b) interfaces between the POCL operated service that runs the POCL Reference Data System and the POCL Services;

c) interfaces between Outlets, TMS and Clients;

d) TIP / TMS interface for authorisation data:

- provide the capability for reconciliation between POCL and its Clients by ensuring TIP receives a copy of all original authorisation data via TMS as specified on an individual Client basis by POCL;

e) interface between POCL SAPADS and TMS.

1.135.2. The POCL Interfaces documentation shall cover: data content in logical groupings, physical layouts, controls (including security), timings, volumes, technical interface specifications (initially options and constraints), configuration management, and contingency arrangements. Versions of the POCL Interfaces documentation containing the then existing interfaces shall be made available to the Contractor within three (3) months after 15th May, 1996.

1.135.3. The POCL Interfaces documentation shall not initially cover further potential interfaces in respect of:

a) EFTPOS;

b) reconciliation and exception reporting;

c) operational management information;

- d)performance monitoring;
- e)inspection of Transaction and Event logs for audit and security purposes;
- f)[not used];
- g)transitional arrangements in relation to 'cash account processing'.

1.135.4. The detailed format of all interfaces shall be agreed by POCL.

1.136. Requirement 832 - POCL Applications - EPOSS: Business Processes

1.136.1. The Contractor shall agree with POCL, before commencement of Roll Out of EPOSS, the overall business processes at the counter such that:

- a)the capture of data at the Outlet is complete, accurate and robust e.g. a unique Transaction reference;
- b)any transfer of data is secure, complete, accurate and robust;
- c)whether operating normally or in stand-alone mode the EPOSS shall be capable of validating Transactions by format and value;
- d)in the event of fraud it shall be possible to prove that the POCL Service was operating without defect (see Requirement 829); for appropriate Transactions receipts are automatically generated for Customers and a copy retained in the Outlet to allow recovery or problem resolution;
- e)accountability for cash, Stock and any supporting documentation is maintained by Outlet and User where appropriate;
- f)the Method of Payment is recorded at the point of sale;
- g)the access control system allows segregation of responsibilities. A log of Users and the functions to which they have access shall be available to Outlet managers;
- h)a back up of all Transactions shall be taken each day;
- i>User and device are uniquely identified within each Outlet;
- j)data shall undergo a balancing procedure to enable a final review and authorisation;

- k) Transaction data shall be made available to other services as agreed in each AP Client Specification and the "Pathway to TIP Application Interface Specification", and other POCL Services;
- l) Transaction data not delivered in accordance with the above shall be clearly identifiable;
- m) all Transactions can be reconciled to an appropriate supporting voucher and where necessary these vouchers are to be available for central validation of amounts collected;
- n) an up to date record of cash and Value Stock on hand shall be maintained and current balances can be reported;
- o) all transfers of Stock and cash to and from other Outlets and between Users within an Outlet shall be clearly recorded;
- p) all specified summaries shall be produced automatically when required and all Transactions shall be included since the last summary was completed;
- q) items posted to Suspense Accounts can be identified for future investigation;
- r) information to show compliance with the relevant legislation, including without limitation Health and Safety at Work Act, Data Protection Act, Companies Act is available;
- s) an Outlet shall be able to continue operating and to maintain an audit trail in the event of any failure of the POCL Service Infrastructure.

1.137. Requirement 833 - POCL Applications - EPOSS: Training Mode

- 1.137.1. EPOSS shall provide a training mode to allow familiarisation with the package and shall operate in such a way as to preclude any corruption of live data.

1.138. Requirement 834 - POCL Applications - EPOSS: Transitional / Contingency Arrangements

- 1.138.1. The Contractor shall ensure that contingency arrangements are available for all Outlets both during and after Roll Out of EPOSS to such Outlets.
- 1.138.2. The Contractor shall give due consideration to the implementation plan for Parent Outlets and Satellite Outlets.

1.138.3. To provide contingency cover during and after Roll Out, EPOSS shall enable each automated Outlet to produce plain paper summaries to a format which shall be agreed by a date consistent with the Project Plan.

1.138.4. The element of the POCL Service Infrastructure at every Outlet shall be capable of printing a 2 dimensional bar-code on any plain paper summary.

1.139. Requirement 835 - POCL Applications - EPOSS: EPOSS Related

1.139.1. Benefits encashment and other Automated Transactions shall be integrated with the Transaction recording elements of EPOSS such that:

a) there is no necessity to separately notify the EPOSS of the Transaction;

b) there is a single Transaction Record created and stored locally to provide the basis for Outlet summarisation and Balancing and Transaction level data transfer;

c) Transaction Records created and stored locally shall be entirely consistent with any data transferred at the time of the Transaction to other systems outside the POCL Service Infrastructure;

d) Transaction times are kept to a minimum.

1.139.2. EPOSS shall be capable of providing summaries of any type of Transaction for comparison with physical Records contained within the Outlet. For example EPOSS shall be able to:

a) summarise the quantity of tax discs on hand;

b) summarise the quantity of milk Tokens on hand;

c) list and total cheques accepted by value;

1.139.3. As Transactions become automated the relevant summaries shall be enhanced to include details of items issued/on hand, by individual serial number.

1.140. Requirement 836 - POCL Applications - EPOSS: Service Development

1.140.1. PostShops are currently equipped with an EPOS terminal - CRISP (Counters Retail Information Systems in PostShops) - which is a stand alone system. It is desirable, subject to offered solutions, that these be integrated into or replaced by the EPOSS.

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1.140.2. Where an Agent may in future use the OPS for his own business, all POCL Services using the OPS shall identify such Transactions separately from those relating to POCL Services under the Codified Agreement, in particular for financial accounting.

1.140.3. For each Transaction processed at a Counter Position through the POCL Service Infrastructure the following information shall be captured:

a) value of each Transaction;

b) volumes of Transactions;

c) a unique code for each POCL Product across all Clients (e.g. breakdown by denomination of Royal Mail stamps sold);

d) source (e.g. Outlet, User and Till identification);

e) Client reference and Client scheme or product reference for each Transaction;

f) Customer identification and details (e.g. for Transactions involving cheques, passports, motor tax discs);

g) Method of Payment;

h) date and time of the Transaction.

1.140.4. The OPS shall be flexible to support further Services. The Contractor shall be willing to integrate and operate these under the Change Control Procedure, provided that there are no valid technical reasons that preclude their inclusion.

1.141. Requirement 837 - POCL Applications - EPOSS: Reporting

1.141.1. EPOSS shall support the production of a variety of Reports in pre-defined formats including:

a) Transaction level Reports by Stock Unit for Clients using pre-printed cut sheets (Client stationery);

b) Transaction level Reports by Stock Unit for Clients printed on plain paper;

c) Reports on the current level of Value Stock Stock Items at Stock Item level;

d) Reports on Transaction volumes and values;

e) Cash Account Reports;

f)reconciliation Reports for Non-value Stock Stock Items
e.g. milk Tokens, tax discs;

g)Reports on Transfers of cash and Value Stock;

h)ad hoc Reports for management information purposes.

1.141.2. EPOSS shall be able to deliver Reports at the User's discretion, subject to POCL and Client rules on frequency of despatch and POCL Outlet Accounting Periods. Client Reports shall be produced on a daily or weekly basis. Where operationally appropriate, several weekly Reports shall be produced during a POCL Outlet Accounting Period.

1.142. Requirement 838 - POCL Applications - EPOSS: General

1.142.1. EPOSS shall have the facility to allow input of Transaction related data after the event for items required for management information purposes (e.g. for Clients, Agents pay) which may not impact on the Outlet Balance e.g. non-Value Stock Stock Items, value recorded for information only.

1.142.2. EPOSS shall also support the input of data for local schemes where the value is not recorded for accounting purposes but the volume is.

1.143. Requirement 839 - POCL Applications - EPOSS: Retail Functionality

1.143.1. EPOSS shall provide the point of sale retail functionality in use in PostShops. This includes, but is not restricted to:

a)Till functionality;

b)discounting;

c)coupon management;

d)multibuys;

e)promotions;

f)marketing;

g)reporting.

1.144. Requirement 869 - POCL Service Infrastructure - Service Levels: Transaction Monitoring System (TMS)

1.144.1. POCL is not concerned with the performance of individual elements of the POCL Services per se. The

primary concern is with the overall performance of the POCL Services as they impact upon POCL'S own systems, Clients, staff, Agents and Customers. Therefore, targets for the level of internal performance between POCL Services shall not be set by POCL. However internal POCL Service performance shall be judged by POCL as it affects overall performance of the POCL Services.

1.144.2. By the end of the Operational Trial Period, the Contractor shall specify the boundary performance characteristics of TMS (which shall for these purposes include APS, EPOSS, OPS, SMS, and OBCS).

1.144.3. For the avoidance of doubt, POCL shall be entitled to test the ability of the Contractor to provide such boundary performance information as part of Acceptance Testing. The Contractor shall enable POCL to perform such testing by a date agreed between the parties, but in no event later than 9 (nine) months after commencement of national Rollout.

1.144.4. For the TMS the Contractor shall specify the performance requirements and tolerances by a date consistent with the Project Plan for:

a) hours of operation of TMS;

b) response time required between TMS and OPS;

c) the number of outages of TMS, identifying types of outages monitored;

d) the availability of TMS.

1.144.5. The Contractor shall report against all performance requirements identified in the paragraph above.

1.144.6. The Contractor shall maintain detailed technical documentation of the interfaces from TMS to OPS and all attachable elements of the POCL Service Infrastructure. Any proposed changes to any interface to TMS shall be subject to approval by POCL in accordance with Change Control Procedure, with updates to the technical documentation being provided within 10 POCL Core Days after the change has been implemented.

1.145. Requirement 870 - POCL Applications - EPOSS: Transaction Times

1.145.1. EPOSS shall not slow down the activity of serving Customers and as such EPOSS shall be designed to minimise the number of key depressions (or other interaction with peripheral devices) involved in each Transaction. In all cases the response of EPOSS to any peripheral input shall be instantaneous.

- 1.145.2. Summarisation and balancing activities, including processing and printing, shall be optimised and avoid re-processing when data are changed during accounting.
- 1.145.3. The Contractor shall conduct performance benchmark tests against each of the different transaction types and identify their performance characteristics. The performance benchmark process is defined in document CS/PRP/001, Counter Transaction Performance Measurement and Benchmarking.
- 1.145.4. Actual transaction performance will be reported each month in the document CS/PER/013, Service Review Performance Statistics, and shall be subject to joint review by the Contractor and POCL during the monthly and quarterly Service Management Review meetings.
- 1.145.5. For each Outlet where the overall Transaction times are more than 10% greater than the average, the Contractor shall discuss with POCL the root cause of the performance difference at the monthly and quarterly Service Management Review meetings. The meeting shall jointly determine what, if any, action shall be taken, and in what time-scales, in order to bring the Outlet's performance back into acceptable bounds.

1.146. Requirement 871 - POCL Applications - EPOSS: General Service Levels

- 1.146.1. EPOSS shall be implemented such that the version of any Reference Data being referenced from Outlets has been updated with the latest version of Reference Data. The version of the Reference Data is fully updated once all updates have been applied.

The Service Levels for these are defined in Schedule F08.

- 1.146.2. Transaction data shall be forwarded to POCL central systems (e.g. TIP) soon after the completion of the POCL Core Day on which the Transaction occurred as part of a batch transmission. Transaction data not available for the next batch transmission shall be included in a subsequent transmission.

Data which are included in the first batch transmission to take place after the time of the Transaction are deemed to be in the first batch transmission and so on.

The Service Levels for these are defined in schedule F08.

- 1.146.3. Batch transmission times shall be agreed for each POCL central system in Schedule F08.

1.147. Requirement 880 - POCL Applications: Specification of Transaction Data from Outlet to TIP

1.147.1. Transaction data from the Outlet to TIP (via TMS) shall be as specified by POCL. (See Requirement 831.)

1.148. Requirement 890 - POCL Applications - APS: Reconciliation

1.148.1. The APS shall ensure and demonstrate that all committed Transactions have successfully passed from the Outlets to POCL and/or Clients.

1.148.2. The APS shall ensure there is at least one point in the day when all Transactions to be sent to a Client are in step with those to be sent to POCL.

1.149. Requirement 891 - End to End Service - Reconciliation Requirements**1. GENERAL REQUIREMENTS**

1.149.1. The Contractor shall ensure that all captured data are complete and accurately reflected in the appropriate outward interfaces:

a) this applies to Transaction data of all types and modes (including normal working, fall-back and Recovery, and to normal usage, amendment, reversal, and so forth) and to Stock and cash levels; and

b) this applies to Reference Data changes, both local and as received from POCL as follows:

- from ESNCS for OBCS stop lists;
- otherwise from the POCL Reference Data System except for any specific transient arrangements;

c) this applies equally at all levels and across POCL Service components.

1.149.2. The Contractor shall synchronise data flows and storage, and shall:

a) monitor data transfers and account for data brought forward, received, passed on and carried forward;

b) monitor data transfers and account for data, across POCL Service interfaces and POCL Service components;

c) where a single datastream is "switched" to more than one recipient;

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- reconcile any timing differences between transfers;
 - account for any differences in processing or accounting cycles of the recipients of related flows; and
 - provide information to each recipient to enable them to reconcile with the other recipients of related data.
- 1.149.3. The Contractor shall ensure that data are consistent between the levels where Transaction or Stock and cash level data are held, maintained or transferred at more than one level.
- 1.149.4. The Contractor shall perform daily operational cut-over reconciliations for any on-line interfaces with external systems.
- 1.149.5. The Contractor shall report reconciliation results to POCL, including any discrepancies and any doubtful items, and report progress on resolution of outstanding items in relation to:
- a) interfaces between POCL Service components and POCL'S systems;
 - b) external interfaces between POCL and Clients (to enable them to maintain their commercial relationships);
 - c) interfaces between POCL Service components.
- 1.149.6. The Contractor shall apply appropriate integrity controls at all interfaces and provide information demonstrating integrity. For interfaces that are already in place integrity controls shall be as specified in the document titled POCL Interface Requirements For BA/POCL System, version 1.6, dated 16 April 1996. For new interfaces such integrity controls shall be agreed through the Change Control Procedure.
- 1.149.7. The Contractor shall control the implementation of configuration changes, including changes to Reference Data, including:
- a) checking and reporting the implementation of changes against instruction;
 - b) maintaining the integrity of other reconciliation processes across configuration changes;
- 1.149.8. The Contractor shall meet all reconciliation requirements in contingency situations as well as normal working.

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1.149.9. Service Levels for all reconciliation requirements are as follows:

- a) full reconciliation with 100% of items demonstrably accounted for;
- b) provision of the ability to reconcile by agreed processes at detailed level, including without limitation at Transaction level for Transaction data;
- c) any differences, doubtful items or errors to be resolved by the Contractor;
- d) reconciliation reports and identification of doubtful items and errors to be delivered to POCL by 9 a.m. of the following day;
- e) the Contractor shall make all reasonable endeavours to resolve any doubtful items and errors promptly.

2. POST OFFICE OUTLET RECONCILIATION REQUIREMENTS

1.149.10. Stock and cash levels shall be reconciled with Transaction data:

- a) by Customer Session, at Outlet level; and
- b) where Outlets are so organised, by Stock Unit.

1.149.11. Outlet accounting information shall reconcile, taking account of Stock and cash brought forward, carried forward, Transaction data and local suspense items (as defined in the EPOSS requirements). This shall also be sustained in fall-back and during Recovery after any Service Failure.

1.149.12. The requirements in this section (2) shall be satisfied instantly.

3. TMS RECONCILIATION REQUIREMENTS

1.149.13. The Contractor shall provide operational control reports on operations, including polling and any loss of communications with Outlets or with other POCL Service components.

1.149.14. The Contractor shall apply controls on file and data transfers at all technical levels and, using relevant counts and financial totals, at business levels.

1.149.15. The Contractor shall ensure that information provided to POCL via TIP makes explicit what Transaction data have been sent to Clients.

4. COMMERCIAL RECONCILIATION REQUIREMENTS

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1.149.16. The Contractor shall provide information to enable reconciliation of POCL Services with Charges.

1.149.17. The Contractor shall act, and be seen to be acting, on behalf of POCL in reconciliations with other parties, and provide the necessary information for POCL to exert appropriate management control over operations performed on their behalf. The Contractor shall ensure in so doing that the commercial relationships between POCL and third parties are not compromised.

1.150. Requirement 894 - General - Management Information Requirement

1.150.1. The Contractor shall provide management information to POCL to enable it to manage the Codified Agreement, and POCL Services as well as to support POCL's general business requirements.

1. The Contractor shall provide information POCL requires to manage the Codified Agreement and the POCL Services as agreed by POCL and the Contractor by a date consistent with the Project Plan.

2. POCL may request and if so, shall receive during the term of the Codified Agreement, and after, any information it believes it requires to manage its business, the Codified Agreement, any POCL Service, and also to facilitate re-letting and hand-over of such Agreement and POCL Services.

3. The Contractor shall provide data to enable resource, network, productivity and cash management. A process for reviewing the type of Management Information data to be provided shall be agreed by a date consistent with the Project Plan.

4. The Contractor shall provide data to enable marketing planning by POCL. A process for reviewing the type of Management Information data to be provided shall be agreed by a date consistent with the Project Plan.

1.150.2. These data shall include without limitation:

a)Outlet, User and Stock Unit registration / deletion and mutual association;

b)log-on / off;

c)completion of summaries and returns / reports, roll-over to new Balances and / or POCL Outlet Accounting Periods;

d)polling events;

- e) receipt / implementation of new issues of Software, Reference Data, local Reference Data updates;
- f) POCL Service Infrastructure failure / repair / replacement, down-time, Recovery time, file corruption etc.;
- g) information to enable POCL to monitor / manage Service Levels;
- h) exception reports.

1.150.3. The Contractor shall provide MIS captured by Outlet, Outlet type, region and any other organisational structure specified from time to time by POCL.

1.151. Requirement 895 - General - Security: Irregular Encashment Patterns

1.151.1. The POCL Service Architecture shall be capable of monitoring irregular encashments and reporting on them. Information shall be shared with POCL Audit / Security / Operations when it relates to a post office in relation to the following.

- Daily reports of Transactions at a non-live Outlet i.e. one reported to the Contractor as temporarily out of commission.

1.152. Requirement 896 - POCL Implementation- Documentation: Access to Documentation by Electronic Means

1.152.1. The POCL Service Infrastructure shall be able to support electronic communications for access to User documentation. The feature shall not be essential for initial implementation, and its later implementation shall be subject to the mutual agreement of POCL and the Contractor.

1.153. Requirement 898 - Order Book Control Service (OBCS) - General Requirements

1.153.1. [not used].

1.153.2. It shall be possible for POCL to obtain OBCS in nominated Outlets, at POCL's discretion, to be available when the POCL Service Infrastructure rolls out.

1.153.3. OBCS shall be implemented using TMS and OPS.

1.153.4. The implementation of OBCS shall comply with the Horizon OPS Style Guide.

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1.153.5. Help Desk support shall be available to all Users of OBCS.

1.153.6. OBCS shall be available at every Counter Position in any automated Outlet at which OBCS is required during the normal opening hours of that Outlet.

1.154. Requirement 899 - OBCS - Stop List Maintenance

1.154.1. [not used].

1.154.2. The Contractor shall maintain a stop list recording details of order books which have been stopped, and against which no further payments are to be made, and order books which have been recalled. In the case of recalled order books, orders may be paid for a number of days following receipt of the recall. OBCS shall calculate the recall date in accordance with the OBCS *Business Processing Rules*.

1.154.3. The Contractor shall initiate a communications link between the DSS computer and the TMS 7 nights each week and shall transfer a Data File containing stop list updates. The stop list updates shall include entries that are to be added and reference to those that are to be deleted. Notices not deleted by DSS shall be removed after an appropriate period.

1.154.4. Stop list update files shall be applied in the order defined in the stop list interface document.

1.154.5. The maximum size of the stop list shall be 1.5 million entries.

1.154.6. The maximum size of a stop list update shall normally be 100,000 entries. In the event that an update of greater size is needed special arrangements shall be made.

1.154.7. The minimum size of a stop list update shall be 0 (zero) entries; in this case a file with an appropriate header and footer shall be sent.

1.154.8. Details of the stop list update interface with DSS computer system shall be made available by POCL by a date consistent with the Project Plan.

1.155. Requirement 900 - OBCS - Order Book Processing: Bar-Coded Order Books

1.155.1. [not used].

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- 1.155.2. OBCS shall provide a facility for dealing with bar-coded order books presented for encashment of benefits at automated Outlets requiring OBCS.
- 1.155.3. The bar-code shall be scanned, validated and checked against the stop list:
- a) when the order book is received at the Outlet;
 - b) when the order book is handed over to an Authorised Person;
 - c) when the order book is presented for payment.
- 1.155.4. Whenever the bar-code on an order book is scanned OBCS shall provide both a visual and an audible indication of the result of the scan. There shall be a clear difference between the audible indication given for 'success or normal' and 'failure or exception'. There shall be a clear distinction between the instructions to 'impound' and 'cash and impound'.
- 1.155.5. When an order book is received at the Outlet from the Issuing Authority, OBCS shall prompt the Counter Clerk to scan the bar-code, and OBCS shall check it against the stop list. The electronic record of the Transaction shall be transmitted to the DSS computer system within a Data File.
- a) If the order book is on the stop list then OBCS shall instruct the Counter Clerk to impound, hole punch the order book and return it to DSS.
 - b) OBCS shall be capable of recording the re-direction of the order book to another Outlet or its return to DSS.
 - c) If there are three consecutive failures to read the bar-code OBCS shall prompt the Counter Clerk to enter the bar-code information via the keyboard. Subsequently OBCS shall instruct the Counter Clerk to hole punch the order book and return it to DSS. OBCS shall record the order book as unreadable.
 - d) The maximum number of order books received in an Outlet on a POCL Core Day is expected to be approximately 600.
- 1.155.6. When an order book is being issued to the Authorised Person, OBCS shall prompt the Counter Clerk to scan the bar-code and OBCS shall check it against the stop list. The electronic record of the Transaction shall be transmitted to the DSS computer system within a Data File. The rules for making payments and order book retention are as for encashments below.

- a) The maximum number of order books issued at any one Outlet in a POCL Core Day is expected to be approximately 100, but it should be borne in mind that there will be an uneven distribution across days, with peaks expected on Mondays, Tuesdays and Thursdays.

1.155.7. When an encashment is made against the order book OBCS shall prompt the Counter Clerk to scan the bar-code and OBCS shall check it against the stop list. Details of the Transaction shall be transmitted to the DSS computer system within a Data File.

- a) When OBCS identifies a bar-code as not conforming with the specification agreed with POCL, OBCS shall instruct the Counter Clerk to impound the order book without payment. The Transaction shall be recorded by OBCS. This transaction shall be recorded in the summary of non-bar-coded order books.

- b) If the order book is not on the stop list then OBCS shall instruct the Counter Clerk to pay normally and prompt for the number of vouchers encashed. A default number of one shall be presented with the Counter Clerk having the ability to override this.

- c) If the order book has been recalled then OBCS shall instruct the Counter Clerk to pay up to a specified date and prompt for the number of vouchers encashed. A default number of one should be presented with the Counter Clerk having the ability to override this with a valid number, including zero. OBCS shall instruct the Counter Clerk to retain the order book, hole punch it, and return it to DSS.

- d) If the order book has been stopped OBCS shall instruct the Counter Clerk to make no payment and impound the order book, hole punch it and return it to DSS. The Counter Clerk shall not be allowed to void or otherwise cancel such a Transaction.

- e) If there are three consecutive failures to read the bar-code, OBCS shall prompt the Counter Clerk to enter the bar-code information via the keyboard. If the order book is on the stop list for impounding then this takes precedence, otherwise OBCS shall instruct the Counter Clerk to pay one voucher and then hole punch the order book and return it to DSS. OBCS shall record the order book as unreadable. The Counter Clerk shall not be allowed to void or otherwise cancel such a Transaction.

1.155.8. Details of the interface with the DSS computer system for receiving Transaction records noted above shall be made available by the DSS by a date consistent with the Project Plan.

1.156. Requirement 901 - OBCS - Order Book Processing: Non-Bar-Coded Books

1.156.1. [not used].

1.156.2. When an order book with no bar-code is presented for encashment OBCS shall prompt the Counter Clerk to enter the number of vouchers to be encashed. A default number of one shall be presented with the Counter Clerk having the ability to override this.

1.156.3. For each Outlet for each POCL Core Day a single electronic record giving the total number of vouchers encashed shall be transmitted to the DSS computer system within a Data File.

1.156.4. Details of the interface with the DSS computer system for receiving voucher totals records noted above shall be made available by POCL.

1.157. Requirement 902 - OBCS - Transaction Times

1.157.1. [not used].

1.157.2. The following Transaction times shall be achieved using OBCS with a fully populated stop list:

a) logging the receipt of an order book, measured as the time from any point in the cycle for one order book to the same point in the cycle for the next order book , shall not take more than one (1) second longer than without OBCS;

b) in issuing an order book to an Authorised Person, the checking against the stop list using OBCS shall not add more than five (5) seconds to the time that would have been taken with no manual stop list;

in making an encashment OBCS Transactions shall not exceed transaction times as per Schedule H08.

1.158. Requirement 903 - OBCS - General Service Levels

1.158.1. The stop list functionality shall be implemented so that the version of the stop list being referenced from Outlets has been updated with the stop list updates from the DSS computer. The version of the stop list is fully updated once all updates received have been applied. If one day's worth of updates have not been applied then the version is deemed one day behind and so on.

On any POCL Core Day:

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- a) 97 % of Outlets shall be referencing a version which is fully updated;
- b) 99% of Outlets shall be referencing a stop list which is no more than one day behind;
- c) 100% of Outlets shall be referencing a stop list which is no more than two days behind.

1.158.2. Transaction data shall be forwarded to the DSS computer system soon after the completion of the POCL Core Day on which the Transaction occurred as part of a batch transmission. Transaction data not available for the next batch transmission shall be include in a subsequent transmission.

Data which are included in the first batch transmission to take place after the time of the Transaction are deemed to be in the first batch transmission and so on.

Transaction data from the Outlets shall reach the DSS computer system as follows:

- a) the data from 97% of Outlets shall reach DSS within the first batch transmission;
- b) the data from 99% of Outlets shall reach DSS within the second batch transmissions;
- c) the data from 100% of Outlets shall reach DSS within the third batch transmissions.

1.159. Requirement 905 - POCL Implementation - User Support for Transaction Accuracy

1.159.1. The POCL Service Infrastructure shall be designed in order to, and shall, give the User support in maintaining Transaction accuracy and in order to assist the transfer of accurate POCL Product information to Customers.

1.160. Requirement 906 - POCL Implementation - Roll Out:

1.160.1. Outlets shall be provided with new terminals on the day of installation of the POCL Service Infrastructure. Installation covers physical placement, connection to the POCL Service Infrastructure and testing.

1.161. Requirement 911 - End to End Service - Integrity Across Changes

1.161.1. The POCL Services shall maintain accounting and reporting integrity in the POCL Services and POCL

Service Infrastructure, including any changes under the Change Control Procedure.

- 1.161.2. Such integrity shall cover implementation of changes, reverting to previous states (should this prove necessary, for example in fall-back and Recovery), co-existing before and after states (e.g. if simultaneous implementation does not occur) and reporting across change boundaries (e.g. using appropriate Reference Data versions for each part of a report).

1.162. Requirement 912 - POCL Service Infrastructure - SMS: Portable Appliance Testing

- 1.162.1. The Contractor shall carry out any regular portable appliance testing of elements of the POCL Service Infrastructure installed as part of the POCL Services in Outlets and on any other POCL Premises as required by legislation.

1.163. Requirement 913 - Implementation - Service Level Agreement: POCL User Documentation

1. INTRODUCTION

- 1.163.1. The Contractor shall provide to POCL PPDs containing information necessary for the preparation by POCL of comprehensive User documentation for all Users of the POCL Service Infrastructure and others, as notified by POCL.

2. AVAILABILITY

2.1. Users of the POCL Service Infrastructure

- 1.163.2. User documentation shall be available to all Users of the POCL Service Infrastructure 100% of the time that the POCL Service Infrastructure is in use.

2.2. Other Users

- 1.163.3. User documentation shall also be available to others, (such as helpline operators, non serving staff in retail Outlets, Retail Network Managers etc.) 100% of the time that the POCL Service Infrastructure is in use.

2.3. Contingency/disaster Recovery arrangements

- 1.163.4. User documentation which contains information to Users on contingency / disaster Recovery arrangements, such as what to do during a Service Failure, shall be available to all Users during all hours of business.

3. CONTENT OF USER DOCUMENTATION

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1.163.5. User documentation shall contain all information which a User of the documentation requires to complete all business Transactions at POCL Premises. This includes topics such as:

- a) performing counter Transactions;
- b) accounting;
- c) balancing, including Value Stock taking;
- d) Stock ordering;
- e) Stock acceptance, disposal, destruction, remitting etc.;
- f) contingency arrangements e.g. for Service Failure;
- g) giving information to Customers e.g. how to obtain a duplicate Motor Vehicle Licence disc;
- h) information for specific POCL Products e.g. posting restrictions;
- i) performing business Transactions at Remittance Units e.g. Girobank deposits.

4. ACCURACY OF INFORMATION

1.163.6. All information in User documentation shall be accurate.

5. DESIGN OF USER DOCUMENTATION

5.1. Visual identity

1.163.7. All User documentation shall conform to POCL's 'Design Applications Guidelines', which is part of POCL's 'Visual Identity' policy.

5.2. Communications policy

1.163.8. All User documentation shall conform to POCL's communications policy, which is covered in the document 'A Guide to Head Office Communications Team'.

5.3. Environmental policy

1.163.9. All User documentation shall conform to POCL's Environmental policy.

6. USER DOCUMENTATION FOR A NEW PRODUCT/SERVICE

6.1. Notification of requirement by POCL

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- 1.163.10. POCL shall advise the Contractor of the requirement for User documentation for a new Product/Service a number of days before the implementation of that new Product/Service, such number of days to be agreed between POCL and the Contractor at the time of agreeing to implement such new Products/Services.

6.2. Drafting of User documentation

- 1.163.11. The final copy of User documentation for a new Product/Service shall be completed a number of days before the implementation of that particular Product/Service, such number of days to be agreed between POCL and the Contractor at the time of agreeing to implement such new Products/Services.

6.3. Final approval by POCL

- 1.163.12. All User documentation for a new Product/Service will be subject to final approval by POCL which shall, if appropriate, be given a number of days before the implementation of that particular Product/Service, such number of days to be agreed between POCL and the Contractor at the time of agreeing to implement such new Products/Services.

6.4. Availability

- 1.163.13. User documentation which contains the details of a new Product/Service shall be available to all Users of the documentation immediately prior to implementation of the new Product/Service.

7. UPDATING USER DOCUMENTATION

7.1. Planned changes

7.1.1 Notification of changes by POCL

- 1.163.14. POCL shall advise the Contractor of the requirement to update User documentation a number of days before the implementation of the change, such number of days to be agreed between POCL and the Contractor at the time of agreeing to implement such change.

7.1.2 Drafting of User documentation

- 1.163.15. The final copy of updated User documentation shall be completed a number of days before the implementation of that particular change, such number of days to be agreed between POCL and the Contractor at the time of agreeing to implement such change.

7.1.3 Final approval by POCL

- 1.163.16. All updated User documentation shall be subject to final approval by POCL a number of days before the implementation of that particular change, such number of days to be agreed between POCL and the Contractor at the time of agreeing to implement such change.

7.1.4 Availability

- 1.163.17. Updated User documentation shall be available to all Users of the documentation immediately prior to implementation of that particular change.

7.2. Emergency updates

- 1.163.18. Emergency updates to PPDs shall be made available to POCL within (24) hours of the changes being notified to the Contractor by POCL.

8. [NOT USED]

- 1.163.19. [not used].

9. USER SATISFACTION

9.1. Frequency of monitoring

- 1.163.20. The Contractor shall measure User satisfaction with User documentation annually.

9.2. Target for User satisfaction

- 1.163.21. User satisfaction with User documentation shall be no less than 90%.

9.3. Topics to be covered

- 1.163.22. Topics to be covered by the User satisfaction survey will include areas such as:

- a) overall use/effectiveness of User documentation;
- b) comprehensiveness of index/indices;
- c) accuracy of index/indices;
- d) relevance of any cross references;
- e) accuracy of any cross references;
- f) layout, style and language etc.;
- g) readability/size/usefulness of graphics;
- h) quality and clarity of text.

1.164. Requirement 914 - Implementation - Service Level Agreement: Operational Systems Help Desk**1. INTRODUCTION**

1.164.1. This requirement documents the key Help Desk Service requirements for the POCL Services and POCL Service Infrastructure.

2. HELP DESK SERVICE**2.1. General**

1.164.2. The Contractor shall provide a Help Desk Service which shall be the first point of contact for Help Desk Customers. Help Desk Customers include Users and POCL Clients having a direct interface with the POCL Services.

1.164.3. The Help Desk shall:

- a) act as a central point for information on the working state of the POCL Services;
- b) keep Help Desk Customers notified of any scheduled interruptions;
- c) assist in any negotiations between POCL and their customers where interruptions to the POCL Services provided are scheduled;
- d) keep Help Desk Customers informed of when the POCL Service will be restored.

1.164.4. The Contractor's Help Desk Service shall provide first, second and third level Services. The Help Desk shall respond to calls within ten (10) seconds. Help Desk contact shall be over the telephone.

1.164.5. The Contractor shall provide the facility to transfer calls which are received and are outside its area of responsibility. The Contractor shall also provide the facility to receive transferred calls from POCL help desks and helplines.

2.2. First Level Service

1.164.6. The first level Service shall provide an immediate problem solving service for all simple and straightforward problems, which can be resolved within five (5) minutes, and all general enquiries.

1.164.7. The first level member of staff who takes the call owns the problem from initial logging through to resolution to the Help Desk Customer's satisfaction.

The Contractor shall cater for first level members being off duty.

2.3. Second Level Service

1.164.8. The second level Service shall provide a diagnostics and fixing service for all problems which cannot be fixed within five (5) minutes by the first level Service, but which can be resolved within thirty (30) minutes.

1.164.9. Calls shall be referred electronically from the first level Service to the second level Service. Second level staff shall have access to a prioritised list of outstanding problems, and all the details on the problem entered by first level staff.

2.4. Third Level Service

1.164.10. If the Help Desk is unable to resolve a problem at the first or second level the Contractor shall categorise and prioritise the problem so that it can be actioned and completed within a standard timescale.

2.5. Hours of Service

1.164.11. A full Help Desk Service is required during the POCL Core Day. A skeleton Help Desk Service shall be provided between 05:00 and 08:00 and between 20:00 and 24:00, Monday to Saturday, and between 07:00 and 22:00 on Sundays.

1.164.12. The Contractor shall ensure that calls made to the Help Desk outside specified hours are accepted by Contractor.

1.164.13. The Contractor, given two (2) POCL Core Days notice, shall extend the level of Service to whatever is required. In emergency circumstances, the Contractor shall, given five (5) hours notice, provide a first and second level Service outside normal and extended working hours.

2.6. Problem Management

1.164.14. The Contractor shall provide a problem management system to record the problem details such as (but not exclusively):

a) unique problem serial reference, generated automatically by the problem management system;

b) Help Desk Customer contact, address, location and telephone number;

c) date and time problem occurred;

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- d)date and time problem was reported to Help Desk;
- e)Help Desk contact;
- f)description of the problem, including frequency of occurrence;
- g)serial references of similar faults and previous occurrences;
- h)Hardware Equipment involved; serial number etc.;
- i)Software product and release version;
- j)assessed impact on Help Desk Customers business;
- k)priority for solution;
- l)problem category;
- m)estimated elapsed time to solve problem;
- n)any change of referral point;
- o)date and time of referral.

1.164.15. The Contractor shall update the problem management system with the following information, as appropriate:

- a)date and time of update;
- b)Help Desk contact updating record;
- c)textual description of the work done, or the fact that the problem had to be referred elsewhere, and who has taken it on;
- d)date and time problem was cleared;
- e)date and time the solution was accepted by the Help Desk Customer;
- f)actual elapsed time to solve problem.

1.164.16. The Contractor shall also keep a record of all problems relating to the failure of uploading and downloading data.

1.164.17. The Contractor's first level Service staff shall assign a priority to the problem. Possible priorities could be:

Priority	Description
1	live working disrupted. Outlet cannot

continue normal working;

2 live working disrupted but work around possible;

3 minor inconvenience. Help Desk provide short term resolution.

1.164.18. Throughout the life of the problem the Contractor staff shall monitor the progress of the problem and inform the Help Desk Customer at regular intervals, to be agreed with POCL by a date consistent with the Project Plan. This shall also apply to second and third level Services.

1.164.19. The Contractor shall manage the resolution of any problem using documented procedures agreed with POCL by a date consistent with the Project Plan. These procedures shall be comprehensive in that they cover all aspects of problem resolution from initial logging through to closure. For example, in the event of a major POCL Service Failure at a post office, procedures shall exist to cover the possible closure of the post office and the re-allocation of its responsibilities to other post offices. Escalation procedures shall be included.

1.164.20. A problem can only be cleared when a Help Desk Customer has confirmed satisfaction with the resolution.

2.7. Systems and Services Supported

1.164.21. The Contractor shall maintain User, asset, problem and change management databases.

2.8. Resilience

1.164.22. The Contractor is responsible for ensuring that a contingency plan is in place to cater with any Help Desk Incident, e.g. loss of staff, loss of telephone system, loss of problem/configuration management system. The contingency plan is to be agreed with POCL by a date consistent with the Project Plan and shall state how quickly the POCL Service will be restored in the event of an Incident.

2.9. Training

1.164.23. The Contractor shall provide any necessary awareness training to ensure Users work effectively with the Help Desk. The Contractor shall develop and implement training plans for its own staff.

2.10. Personnel

1.164.24. The Contractor shall ensure that all staff, including back-up staff, employed on the Help Desk Service have suitable and appropriate skills and training. The Contractor shall ensure that sufficient skilled resources are available to cater for holidays, sickness and natural wastage within the Contractor's organisation.

2.11. Service Targets

1.164.25. The Contractor shall answer at least 80% of all calls to the Help Desk within twenty (20) seconds during first level Service hours. 99.9% of calls shall be answered within forty (40) seconds.

1.164.26. The percentage of 'calls not answered' shall be less than 1%. This includes calls where the line is busy as well as calls answered but put on the 'waiting queue'.

1.164.27. The Contractor shall resolve at least 95% of calls assigned to first level within five (5) minutes. The Contractor will resolve 100% of calls assigned to first level within ten (10) minutes.

1.164.28. The Contractor shall resolve at least 95% of calls assigned to second level within thirty (30) minutes. The Contractor shall resolve 100% of calls assigned to second level within forty-five (45) minutes.

3. SERVICE MONITORING

1.164.29. The Contractor shall produce Service information, in electronic form and/or paper, and shall deliver this information to POCL within two (2) POCL Core Days of the end of the period to which they relate. The following is an example of the information required:

- a) number of calls outgoing/received/number of calls not answered;
- b) percentage of calls answered within target times;
- c) number of problems/queries logged;
- d) number and percentage of problems/queries solved within target times;
- e) number of problems / queries assigned to first level that were not cleared within ten (10) minutes;
- f) number of problems/queries with secondary complications (e.g. repeat calls);
- g) number of problems/queries escalated;

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h)percentage of time full Help Desk Service was available;

i)supplier performance against Service Levels for response;

j)Service availability at each post office.

1.164.30. POCL may wish to analyse the information by:

a)category of operational problem/query;

b)level and solving group at which the problem/query was solved;

c)Help Desk Customer group and location;

d)mean time to closure.

1.164.31. The Contractor shall retain Help Desk records for a minimum of eighteen (18) months.

1.164.32. Each quarter a survey shall be conducted by POCL to determine User satisfaction with the Help Desk Service. POCL and Contractor shall agree the approach to be taken and the format/content of the questionnaire by a date consistent with the Project Plan.

1.164.33. The Contractor shall, on request, provide on-line access to the problem management system. POCL shall inform the Contractor of who is authorised to access the system. The Contractor shall provide ad hoc reports, as requested by POCL, within three (3) POCL Core Days.

1.165. Requirement 915 - Implementation - Service Level Agreement: Training Services

1. INTRODUCTION

1.165.1. This requirement documents the training requirements and key measurables that shall be used to assess the effectiveness of the training Service as a whole.

2. TRAINING SERVICES

2.1. General

1.165.2. The training provided shall enable POCL's staff or Agents to achieve acceptable standards in key competencies in the use of the POCL Services.

1.165.3. The Training Services shall incorporate the development design and delivery of agreed training events and support materials.

2.2. Specific Responsibilities

Contractor

- a) Design of training events;
- b) development of training materials (day to day and maintenance);
- c) delivery of training:
 - to delegates (as appropriate);
 - to trainers;
- d) communication of training activity:
 - to delegates;
 - to POCL;
 - to POCL Regions;
- e) management of training processes:
 - training plans;
 - call up notices;
 - site selection and preparation;
 - provision of appropriate Equipment;
- f) management information (training):
 - provide defined reports on training completed for agreed periods;
- g) Attend regular training review meetings;
- h) Identify improvement to training Services.

POCL

- a) Consider and once it has agreed sign off Contractor's training proposals and processes;
- b) monitor and review performance;
- c) attend regular training review meetings;
- d) identify improvements to training Services as part of the Contractor's quality review.

3. KEY MEASURABLES

3.1. Timeliness

- 1.165.4. Training courses shall be available within ten (10) POCL Core Days notice being provided by POCL in addition to the 4 week invitation notice period to Users.
- 1.165.5. Training shall not be delivered more than five (5) POCL Core Days before live usage of the POCL Service Infrastructure or the relevant POCL Service by delegates.

3.2. Quality

- 1.165.6. Trainees' satisfaction with the training venue shall be measured by a training satisfaction questionnaire and shall achieve not less than 85% satisfaction.
- 1.165.7. The training shall have received a positive rating of not less than 95% as a result of a training measurement questionnaire.

3.3. Cycle Time

- 1.165.8. Training shall take no longer than the timescale specified by the Contractor in their Solution to Requirements 531 and 534 to enable delegates to achieve the required standard of competence. Where minimum training compliance (MTC) is not affected remedial training can be delivered up to 2 days prior to individual site acceptance.

3.4. Contingency / Disaster Recovery

- 1.165.9. Notification of course cancellations shall be issued at the earliest possible time. A minimum of forty eight (48) hours notice must be provided for 98% of cases.
- 1.165.10. The Contractor shall cancel no more than 2% of courses.
- 1.165.11. When a designated training site becomes inoperative the Contractor shall make an alternative available and functioning within (approximately five days) to enable continuation of the training plan.

3.5. Data Accuracy and Integrity

- 1.165.12. There shall be no degradation to any Transaction data in the live POCL Service Architecture as a result of accessing localised training packages.
- 1.165.13. Training course content shall have no factual errors at the time of release.

3.6. Competence levels

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1.165.14. The training Services provided shall ensure that 95% of trainees on completion of the training shall be able to demonstrate achievement of the agreed level of competence, which shall reflect a score of 90% for knowledge related areas for transactions and the operating platform.

1.165.15. Competence levels shall be measured by the Contractor for delegates to second level of the Kirkpatrick model utilised by POCL.

4. COMMUNICATION

1.165.16. Delegate performance feedback shall be provided by the Contractor for each person attending a training course.

1.165.17. Regional offices shall be provided by the Contractor with a status report on delegates whose attainment level of the key competencies for their user group is below the agreed standard within five (5) days of training completion.

1.165.18. Trainees shall receive call up papers one (1) month prior to proposed date of training.

1.165.19. Call up notices shall provide options as to days and times of attendance for training.

5. MONITORING TRAINING SERVICES

1.165.20. The Contractor shall supply information to POCL in the agreed format which identifies actual performance against the key measurables stated.

6. TRAINING REVIEW MEETINGS

1.165.21. Review meetings shall be held on a regular basis.

Operational Trial	fortnightly
First 6 months live running	monthly
From 7 months to 18 months	quarterly
After 18 Months	ad hoc or emergency
	review meetings may be
	called by either party.

Note : Meetings timing shall be subject to agreement.
These are only indicators.

7. ESCALATION PROCEDURES

1.165.22. Failures in Service Levels shall be managed and rectified between the nominated SLA managers of POCL and the Contractor whenever possible.

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1.165.23. Issues which cannot be rectified shall follow the agreed escalation path as detailed in Clause 807.

8. CHANGE MANAGEMENT

1.165.24. Permanent variations to the agreed Service Levels and or the training Services provided shall be progressed through the standard Change Control Procedure.

9. TRAINING SERVICE SLA MANAGEMENT

1.165.25. [Not used]

1.165.26. The SLA shall be managed within the overall framework of Schedules A04 and G07 of the Codified Agreement.

1.166. Requirement 918 - General - Communications

1.166.1. POCL shall retain the right of veto on all communications, marketing and education for all Customers, POCL employees, Agents and their staff.

1.167. Requirement 921 - POCL Service Infrastructure - Security: OPS Secure Time-out

1.167.1. The OPS and the elements of the POCL Service Infrastructure on which OPS is provided shall provide a secure time-out facility for each counter terminal and back office terminal.

1.167.2. The facility shall allow the User to resume work with the minimum delay consistent with achieving security in accordance with the provisions hereof.

1.167.3. It shall be clear that the facility is in use to remove any confusion between a terminal with the facility activated and a terminal that is available for use by any User.

1.167.4. Under circumstances where the facility has been activated and the User is no longer able to cancel it, for whatever reason, it shall be possible with appropriate authority:

a) to complete User and Outlet balances; and

b) to make the terminal available to another User.

1.167.5. The circumstance where the facility has been overridden by an appropriate authority shall be expressly logged to the audit trail.

**1.168. Requirement 922 - POCL Service Infrastructure - OPS:
Noise Emissions**

1.168.1. The acoustic noise emission of any element of the POCL Service Infrastructure used in the provision of OPS shall not exceed 60dB(A) measured at a distance of one metre.

**1.169. Requirement 925 - Joint Implementation - Operational
Trial: Acceptance Testing Requirements**

1.169.1. The Operational Trial shall be carried out in accordance with Schedules L01, L02, L03, L04 and L05.

1.170. Requirement 926 - Roll Out: Generic Requirement

1.170.1. All Roll Out plans shall be agreed with POCL. Any changes to functionality of the POCL Services shall be implemented only with the prior approval of POCL.

1.170.2. POCL reserves the right to suspend the Roll Out programme if the Contractor fails to deliver POCL Services to the Service Levels.

1.171. Requirement 938 - Data Protection

1.171.1. The Contractor shall ensure that any information supplied under the Data Protection Act 1984 is accurate and that assurances can be given as to the integrity of that information.

1.171.2. The Contractor shall deliver any information requested under the Data Protection Act 1984 to the requesting body or person as appropriate.

1.171.3. The Data Protection Act 1984 became law from 11 November 1987. All subsequent alterations and reviews to this law after 15 May 1996 shall be integrated and adhered to.

1.171.4. The Contractor shall record all written requests for a data protection print from a Customer or representative within five (5) days of receipt of the request, and deal with queries raised within a timescale to be agreed with POCL by a date consistent with the Project Plan, such agreement not to be unreasonably withheld or delayed.

1.171.5. All information provided under the Data Protection Act 1984 shall be available to facilitate inspection.

Details of a request and response made under the Data Protection Act 1984 shall be retained consistent with the Data Protection Act 1984 requirements.

1.172. Requirement 941 - Implementation - Roll Out: Post Office Roll Out

1.172.1. The planned Roll Out of the POCL Service Infrastructure for each Outlet shall be agreed by the Contractor and POCL by a date consistent with the Project Plan.

1.172.2. Northern Ireland is a discrete area for such Roll Out purposes.

1.173. Requirement 945 - Implementation - Service Level Agreements: Installation of POCL Service Infrastructure

1.173.1. The installation of the POCL Service Infrastructure, the implementation of POCL Infrastructure Service and the Service Levels for the POCL Infrastructure Service shall be as set out in Schedule G06 and G10.

1.174. Requirement 949 - POCL Implementation - Training

1.174.1. The Contractor shall be capable of delivering POCL's total training requirement if required in due course.

1.175. Requirement 951 - General - Service Architecture Design Document

1.175.1. The Contractor shall develop and maintain the Service Architecture Design Document, a document describing the design of the POCL Service Architecture.

1.175.2. As a minimum the Service Architecture Design Document shall specify:

- a) the major components, provided directly or sub-contracted, used in providing the POCL Services;
- b) the functionality within the major components;
- c) the interfaces between the major components;
- d) the Service Levels required across the interfaces to meet the objectives of the overall POCL Services;
- e) all the interfaces with the POCL Service Environment and with other parties' computer systems.

1.175.3. The audience for the Service Architecture Design Document shall be technical staff within POCL. The Service Architecture Design Document shall be self contained, though it is expected that it references other documents to provide further levels of detail as appropriate. The level of detail within the Service Architecture Design Document shall be such that it gives

a thorough background to the construction of the POCL Services and the rationale for the approach. It is anticipated that the Service Architecture Design Document shall be between 200 and 400 pages in length.

1.176. Requirement 952 - POCL Service Infrastructure - OPS: APS Key Management

1.176.1. The OPS shall support a reliable, secure means for the transfer of encrypted data that may subsequently be used for cryptographic applications.

1.176.2. In order to use the encrypted data, a key management system shall be in place so the encrypted data can be deciphered without risk of the cryptographic key being exposed.

1.177. Requirement 953 - POCL Service Infrastructure - OPS: Concurrency

1.177.1. OPS shall support concurrent access to POCL Services provided via it.

1.177.2. OPS shall ensure data integrity, e.g. reports printed at the back office whilst serving at the front office shall be consistent with a clearly stated policy (to be approved by POCL) of what front office data are included in the report.

1.177.3. Performance of OPS shall not be significantly degraded by other office activity, e.g. front office, back office and communications activities shall not unduly impact each other.

1.178. Requirement 956 - OBCS - OPS Interface: ESNCS to OBCS

1. BUSINESS SUPPORTED ACROSS THE INTERFACE

1.178.1. The following business transactions shall be supported across this boundary:

1.1 Transactions initiated by ESNCS

1.178.2. Order book stops - ESNCS shall provide to OBCS amendments to the currently held list of order books that shall be stopped and impounded when they are presented at a post office (i.e. order books where no further payment on foils within the specified order book shall be made);

1.178.3. Order book recalls - ESNCS will provide to OBCS, and OBCS shall receive, amendments to the currently held list of recalled order books which are to be recalled. OBCS shall calculate the recall date in accordance with

OBCS Business Processing Rules. A recalled Order book shall be impounded upon presentation at a post office.

1.178.4. Purge order book notification - ESNCS shall provide a list of order books which OBCS may purge from its list of recalls or stops. OBCS shall not subsequently need to support any stop or recall action on such order books unless they are subsequently re-notified via either the stop or recall processes;

1.178.5. Restate full list - ESNCS can, on request, provide a full list of all stops and recalls that are currently in force. This is an ad hoc Transaction which requires agreement of both POCL, on behalf of DSS, and the Contractor (such agreement not to be unreasonably withheld or delayed) before it can be initiated.

1.2 Transactions initiated by the Contractor

1.178.6. Notification of outcome of order book receipt at post office - OBCS shall notify ESNCS of the outcome of the order book receipt process in the post office. The outcome shall be one of:

- a) the order book is acceptable;
- b) the order book is immediately impounded (due to a stop or recall request previously accepted from ESNCS);
- c) the order book bar-code is found to be unreadable and is to be sent by the post office to a DSS office for re-issue.

1.178.7. Notification of an order book redirection - the post office detects delivery of an order book to the wrong post office and attempts to redirect it to the correct one. OBCS shall notify ESNCS of the outcome of such events which shall be one of:

- a) the order book is redirected;
- b) the order book is found to be unreadable and is to be sent to a DSS office for re-issue.

1.178.8. Notification of outcome of order book handover to the Authorised Person - OBCS shall notify ESNCS of the outcome of the order book handover to the Authorised Person. The outcome shall be one of:

- a) the order book is handed over successfully;
- b) the order book is immediately impounded (due to a stop or recall request previously accepted from ESNCS);

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c) the order book bar-code is found to be unreadable and is to be sent to a DSS office for re-issue.

1.178.9. Notification of outcome of order book foil encashment - OBCS shall notify ESNCS of the outcome of the order book foil encashment. The outcome shall be one of:

a) the encashment is successful and the number of foils encashed and the total value are reported;

b) no encashment is made and the order book is immediately impounded (due to a previous stop request accepted from ESNCS);

c) one or more foils are encashed, the number of foils encashed and their total value are reported, and the order book is impounded (due to a previous recall request accepted from ESNCS);

d) one foil is encashed, its value reported, and the order book is impounded due to the order book bar-code being unreadable.

1.178.10. Post office summary Transaction - OBCS shall notify ESNCS daily for each post office of:

a) the total number of non bar-coded order books presented at that post office;

b) the total number of order books impounded without any encashments due to the bar-code being invalid.

2. SYSTEM AND SERVICE RESPONSIBILITY

1.178.11. The Contractor shall provide all networks, hardware, software, procedures and training required to connect and deliver Services to the nominated ESNCS platforms. It is entirely responsible for Roll-Out, operation and management of all such resources subject to the approval of POCL on behalf of DSS. The Contractor shall provide such connection(s) at sites nominated by POCL on behalf of DSS and which may change over time.

1.178.12. ESNCS is ICL VME and UNIX based and resides in the DSS Area Computer Centres operated for DSS by EDS. POCL, on behalf of the DSS, and the Contractor shall agree, from time to time, the technical nature and implementation of the connection.

1.178.13. The Contractor shall not change the ESNCS interface as currently implemented in any way without approval by POCL, on behalf of DSS. The exception to this is the acknowledgement of order book stops and recalls which is in addition to the current implementation.

1.178.14. The Contractor'S service responsibilities extend to:

- a)transport of ESNCS created Transactions and any associated information (e.g. Reference Data) from the ESNCS service to the POCL Services along with any subsequent processing. This normally includes detecting the availability of such Transactions and data on the ESNCS services;
- b)provision of responses to Transactions where requested along with delivery to the ESNCS service;
- c)transport of Contractor created Transactions and information from the POCL Services to the ESNCS service and notification of their availability if required.

1.178.15. Agreed Service Levels for this interface are as set out in Schedule H08.

1.179. Requirement 960 - POCL Applications - EPOSS: Zero-Value Transactions

1.179.1. EPOSS shall allow POCL to record various zero-value Transactions to measure work done, for example for various Royal Mail and Parcelforce activities and for distribution of various forms, for example Ellls. The measurement of work may be for charging Clients, for remunerating subpostmasters, for monitoring work done to check assumptions in cases where the costs are subsumed in other charges, and so forth. Potential reasons for new zero-value Transactions might be to provide data for Clients in support of Service Level monitoring, for example recording Transaction times for mail receipts.

1.179.2. Automated zero value Transactions shall be reported separately. Initially these shall be:

- a)automated payments which fall into two categories:
 - Smart Tokens, where Transactions are recorded (even if zero value) once the Client has been identified since this implies interaction with the Smart Token;
 - swipe-cards or keyed Transactions, where recording of zero value Transactions is controlled by POCL Product parameters for minimum and maximum values but where a Transaction can be made void during Customer Service;
- b)OBCS order book receipt and issue in Outlets.

1.179.3. Particular aspects are:

- a)automated payments shall continue as now;

b) extra automated Transactions, including zero-value ones such as those indicated above for book/receipt movements shall be designed as POCL Products in the normal way with normal Transaction controls and data flows, including interfaces with POCL systems.

1.180. Requirement 971 - POCL Implementation - Farnborough Requirement

1.180.1. Clients served using the APS shall receive only one stream of unreconciled data irrespective of the source of the polling at Outlets (whether via Farnborough or Contractor facilities). The Contractor and POCL shall agree (such agreement not to be unreasonably withheld or delayed) a strategy to achieve this requirement as from the commencement of Roll Out.

1.180.2. The strategy shall include, but not exclusively, a timetable separate from and shorter than the Roll Out timetable, for the Contractor to absorb the reducing workload from Farnborough.

1.181. Requirement 972 - Implementation - Roll Out: Strategy

1.181.1. The Contractor shall conform to POCL'S Roll Out strategy, which is as follows:

a) installation will prioritise the following seven (7) major conurbations for Roll Out: West Midlands; Greater Manchester; Merseyside; Leeds / Bradford; Tyne and Wear; Glasgow / Edinburgh; Urban South Wales;

b) the M25 Roll Out shall take place during the second half of the overall Roll Out Programme.

1.182. Requirement 973 - End to End Service - Internal Interface Specifications

1.182.1. The POCL Services may, during the lifetime of the Codified Agreement or at termination, need to be replaced or supplemented with services provided by other suppliers. It shall therefore be both technically and commercially viable for the POCL Services to be replaced by and/or interfaced to services from other suppliers. To support this, the Contractor shall declare all internal interfaces between separate POCL Services within the overall POCL Service Architecture.

1.182.2. For each interface the Contractor shall provide an interface specification covering:

a) A definition of the business processes supported across the service boundary, including who originates the processes.

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b) All business transactions supported across the service boundary including responses, associated information, any supporting facilities and any constraints including required timings.