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Reference No 463

Pathway Response

1. Service Principles

Pathway will supply all the Office Platform Service equipment which is required for testing, acceptance and training for those Services which are provided by Pathway under this Contract. The charges for such equipment are included in the Service prices. If additional Office Platform Service equipment is required by BA/POCL for other purposes, including for example the testing of Services or systems that are not supplied by Pathway, then Pathway shall supply such equipment under the normal commercial terms and prices which are prevailing at the time.

It should be noted that title to all equipment which is provided as a part of the contracted Services remains with Pathway and the equipment will be reassigned to operational use by Pathway when it is no longer needed for testing.

The following paragraphs provide further details of this "service principle" as it applies to the examples raised by BA/POCL.

2. Acceptance Testing:

Pathway will supply the Office Platform Service equipment that is reasonably required to test and accept new Office Platform Services provided that it is:

a) required in support of the Services provided exclusively by Pathway and
b) required to satisfy the Acceptance Criteria

3. Destructive Testing:

Upon request by POCL, Pathway will supply sample units of the Office Platform Service Equipment for destructive testing. The first sample of each generic type of unit will be provided at no charge to POCL and any subsequent units will be supplied at normal commercial prices.

4. Other Testing by BA/POCL:

The POCL may require additional Office Platform Service equipment to support in-house testing or for testing third party applications, systems or services. Pathway will provide such Equipment under normal commercial terms and prices.

5. Training:

Pathway proposes a combination of classroom training and on-site training in post offices. Pathway will provide the equipment for both class room training and on-site training.

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If additional equipment is required by BA or POCL or third parties to support training which is not undertaken by Pathway then such equipment will be supplied on normal commercial terms and prices.

6. Demonstration & Marketing:

Pathway will provide Office Platform Service equipment which is required to demonstrate and market new Office Platform Services to clients and prospective clients. The equipment that is required will be set out in marketing plans which are agreed jointly between BA/POCL and Pathway.

Pathway Comment
Nil

Reference No 464

Pathway Response
Pathway wishes to form a business partnership with the BA and POCL. It is agreed that Services which utilise the OPS and TMS may only be provided subject to the express agreement of BA and POCL.

Pathway Comment
Nil

Reference No 465

Pathway Response
1. Equipment Livery

Pathway will agree with BA/POCL the standards for equipment livery to be used within OPS. These standards will reflect the POCL style guide for post offices and will be used as the basis for all equipment installed in all outlets which provide the OPS.

2. Equipment Appearance

The effort required to maintain the OPS equipment will be minimal and capable of being undertaken by the local post office staff. It will be comparable to the cleaning required of any desk-based office computer system and will typically consist of occasional dusting and screen cleaning.

3. Cleaning Materials

Pathway proposes that any cleaning materials that are required shall be supplied in the same way as for other Consumables.

Pathway Comment
In order to take account of the costs of the livery within the Tender we shall need early access to the POCL Style guide. Pathway anticipates that one aspect of the standards for equipment livery

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will be the colour of equipment casings. Whilst this presents no problems in principle the earliest definition of the preferred choice will be important in order that equipment lead times are not affected. Pathway would wish to supply standard colour equipment into the Operational Trial phase should post office livery equipment not be available at that time.

Reference No 466

Pathway Response

1. Description

Consumables employed at the OPS are as follows :

Counter printers

Paper rolls for non-BA counter receipt printing
Slips for BA payment counter receipt printing where these are needed
Printer Ribbon cassettes for slip printing

Back-office terminals - laser printers

A4 cut sheets
Toner replenishment and cleaner kits

Back-office terminals - impact printers

A4 continuous stationery
Printer ribbons

Video monitor screens

Cleaning wipes and/or sprays

All of the above will be widely available stock items from wholesale and retail office stationery suppliers.

2. Consumption

Pathway will provide guidelines for postmasters to estimate future consumables consumption rates to enable them to plan their replenishment orders in accordance with business volumes.

3. Supply and Replenishment Process

Pathway proposes to provide an initial stock of consumables to each post office on rollout sufficient for an estimated 4 weeks consumption. Thereafter, replenishment orders will be the responsibility of the postmaster. With the agreement of the Post Office , Pathway proposes to use the existing Post Office warehousing and distribution facilities for the supply of consumables to post offices. Detailed specifications/product

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descriptions and guide costs of consumables will be made available once all options have finally been agreed between Pathway and BA/POCL.

4. Emergency Supply

Pathway will also maintain a small emergency supply of all consumables. Postmasters may submit requests for consumable supplies to the SIS Helpdesk which will arrange for an emergency delivery within 24 hours. The service will attract premium charge rates.

5. Charging Structure

Pathway proposes that the price of all consumables should be separately itemised and invoiced upon delivery.

Pathway Comment
Nil

Reference No 467

Pathway Response
1. Connection of OPS to TMS

The Pathway solution for OPS is based on a PC configuration at every counter. Each counter configuration is linked to a Local Area Network within the post office. Each post office configuration is linked to TMS over an ISDN Wide Area Network.

This connection supports the transfer of authorised data files and messages in both directions.

2. Data Transfer

The Pathway solution for TMS uses data replication and synchronisation techniques to ensure that data transfer between post office counter positions within OPS and between instances of OPS and the TMS are secure, complete, accurate and robust. In addition techniques including Cyclic Redundancy Checks, Digital Signatures and Encryption are used to ensure data integrity.

2.1 Secure Data Transfer

Once a transaction has been settled at a counter position the full transaction details are committed to that users journal. These details are automatically replicated to all other PC's in the post office to ensure that the data has been securely captured. In addition these transaction details are automatically replicated to a remote server within TMS. Data and message transfer may originate from an individual counter PC (e.g. a bill payment) and be replicated to TMS or from a POCL Client system (e.g. PMS) which then uses TMS to distribute data to OPS.

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The OPS PCs and TMS servers are known as nodes which are logically grouped into a number of work groups.

All messages from a single node are generated in a strict numbered sequence and with a unique node identification. Any attempt to introduce a fraudulent message will be detected and rejected. An additional pseudo random sequence number produced from a cryptographic algorithm can also be included to provide a very high level of message integrity when this is required.

This approach is resilient to either network or node failure since a TMS node and an OPS node will be always aware of each others state. When the failure condition is resolved the nodes will automatically synchronise and complete any data or message transfers that are required to ensure both nodes are in a consistent state.

2.2 Data Integrity

Three techniques are used to ensure data integrity within the OPS and as part of data/message transfer between OPS and TMS.

These are CRCs used for all node journal messages, RSA based Digital Signatures used for all data where assurance of content and source are required (i.e. Benefit payment records) and Data Encryption used selectively on certain data fields (i.e. benefit payment value).

All messages have a CRC applied when they are initially committed to the journal and this is checked every time the message is accessed. This protects against accidental corruption and casual tampering. Any failure of a CRC check will cause the message to be rejected and retrieved from an alternate node.

When authentication of the origin of data is important (i.e. for benefit payment records), a digital signature is applied to the data prior to transmission and then checked upon receipt. A CRC is generated for the data contents, then one-way encrypted and the result encrypted using an RSA private key. Upon receipt the CRC is recovered using the public RSA key and compared with the newly encrypted checksum from the received data. If the results match then the data content and its origin are assured.

Data encryption may be used selectively to protect the values of certain data items, i.e. benefit value.

Thus any attempt to alter the payment data (i.e. to change the expiry date, or any other value) will be automatically detected and logged for subsequent investigation.

3. Status of TMS data collection

The Pathway solution for TMS and OPS automatically replicates in the TMS all of the transaction data which is created using the OPS. The data is then available for processing by the relevant

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client system which may include Pathway, BA/POCL or POCL client systems.

The replication period between OPS and TMS is configurable and will be defined according to the urgency of the transaction data. Data replication will also take advantage of connections that are established between TMS and OPS for other purposes. E.g. A card or payment stop message, foreign payment etc.

This process runs automatically throughout the day and is optimised to take advantage of any connections that TMS might make to OPS. The exact status of transactions from one moment to the next may be different. Consequently a report identifying the status of transaction data is felt to have little business value.

Pathway believes that the key requirement is to ensure that end-of-day procedures provide TMS with data in a known state at each post office and enable Client processing to proceed on a consistent dataset.

The Pathway solution for EPOS will initiate a connection to replicate the final end-of-day balances and this process will also enable the replication of any outstanding transactions that have not previously been sent to TMS.

Pathway Comment
Nil

Reference No 468

Pathway Response
Pathway's solution draws upon the experience gained by delivering field services to Camelot's National Lottery terminals which are often sited in locations where space is very limited.

The hardware platform and associated peripherals have been chosen with minimum maintenance in mind. All faults will be diagnosed with the aid of expert systems by the SIS Helpdesk and it is anticipated that fewer than 25% of calls will require a visit by a field engineer to replace an unserviceable component. It is our experience that the majority of visits will be completed within 20 minutes of arrival. If the maintenance or repair operation is predicted to take longer than 20 minutes then Pathway will replace a whole unit or module to minimise disruption at the counter.

Optionally, a postmaster may elect to defer a visit to a time which he believes is more convenient for himself and his customers. For example, in a larger crown office, if a fault occurred at the busiest time of day and the postmaster preferred that the engineer arrived later, or even on a different day, then he could request a deferred visit. In these circumstances, the request for service would be diagnosed fully but then suspended until the preferred appointment time. Clearly the time in

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suspension will not count towards down-time for the purposes of service measurement and performance targets.

Pathway Comment
Nil

Reference No 469

Pathway Response
1. General

The OPS is provided by a suite of software procedures which are invoked by an Application Programming Interface, and a set of counter applications which perform specific business functions. These are all run on a hardware infrastructure provided at each post office counter.

Pathway will provide the following OPS technical documentation.

2. The OPS Architecture Document

A document which describes the overall systems architecture of Pathway's solution and the functionality of the various sub-systems which comprise the suite of software. This includes a description of the Counter Applications Architecture which describes how counter applications utilise the OPS.

3. The OPS API Document

A document which describes the full set of API's provided by the OPS. Some of these are used by the counter applications.

4. The Counter Hardware Specification Document

A document which provides a technical specification of the equipment provided in a post office as part of the OPS.

5. Change Control

It is important that the Contractor exercises his own management control over the technical design of the Services so that the operational effectiveness and efficiency of the Services can be maintained and improved through time. All changes to the documentation will be passed to BA/POCL for their agreement however Pathway believes that the final design authority for technical documentation and changes to them must reside with the Contractor. Pathway is prepared to discuss particular essential properties of the technical design which BA/POCL believe must be preserved through changes to the documentation if this is considered helpful.

Pathway Comment
The requirement only identifies the need for technical documentation, it does not directly address the related

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implications of developing and using third party applications or hardware on the Contractor's service platform. The Contractor must ensure that the technical and operational integrity of the OPS is not compromised by third party applications or hardware. It will therefore be necessary for any third party applications or hardware to be verified and approved by Pathway before installation or connection to the OPS. In addition to the provision of the technical documentation, Pathway will support the procurement of third party Applications or Hardware by offering a design, Integration, Test and Approval Service. The operational implications of third party applications and hardware must also be considered since they will utilise resource capacity of the OPS and perhaps other related Services. Implementation and ongoing service management for third party hardware and applications may be required from the Contractor in many cases. Pathway is prepared to offer commercially attractive services to meet all of these requirements.

Reference No 470

Pathway Response

1. Technical Documentation

The TMS is provided by a suite of software procedures which enable counter applications and Client systems to securely communicate and exchange data in support of a specific set of business functions. Counter applications invoke the TMS through the TMS applications Programming Interface. Client systems invoke the TMS functionality through Agent software.

Pathway will provide the following TMS technical documentation.

2. The TMS Architecture Document

A document which describes the overall systems architecture of TMS and the functionality of its various software sub-systems . This includes a description of the Agents which describes how Client systems utilise the TMS.

3. The TMS API Document

A document which describes the full set of API's provided by TMS. Some of these are used by the Client Agents in support of Client systems.

4. The TMS Hardware Specification

A document which provides a technical specification of the equipment provided in data centres in support of TMS.

5. Change Control

It is important that the Contractor exercises his own management control over the technical design of the Services so that the

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operational effectiveness and efficiency of the Services can be maintained and improved through time. All changes to the documentation will be passed to BA/POCL for their agreement however Pathway believes that the final design authority for technical documentation and changes to them must reside with the Contractor. Pathway is prepared to discuss particular essential properties of the technical design which BA/POCL believe must be preserved through changes to the documentation if this is considered helpful.

Pathway Comment
The requirement only identifies the need for technical documentation, it does not directly address the related implications of developing and using third party applications which utilise the TMS. The Contractor must ensure that the technical and operational integrity of the Service is not compromised by third party applications. It will therefore be necessary for any third party applications to be verified and approved by Pathway before connection to the TMS. In addition to the provision of documentation, Pathway will support such connections by offering a Design, Integration, Test and Approval Service. The operational implications of third party applications must also be considered since they will utilise resource capacity of the TMS and perhaps other related Services. Implementation and ongoing service management for third party applications may be required from the Contractor in many cases. Pathway is prepared to offer commercially attractive services to meet all of these requirements.

Reference No 471

Pathway Response
1. Broadcast facilities

Pathway will provide a Broadcast facility which will enable short messages to be sent to all or a subset of outlets from a central location. The message will be input into an application running on the central TMS servers and will be replicated to post offices as required. At the local post office each counter position can access these messages and selectively open and view the message. Once a User has read a message this fact is recorded in the journal.

The user will be prompted that a message is outstanding by an indicator on the top of their screen. On selecting the Office Message icon the user will be presented with a list of messages with an indicator showing their status (read or unread). The message can be printed as required.

Pathway will need to agree with POCL the precise mechanisms for enabling messages to be input into the TMS application and on the method of grouping PO outlets in order to optimise outlet selection.

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2. Access to electronic information

Subject to the comment below, Pathway is able to provide an electronic information facility so that counter staff using the OPS are able to gain access to information in support of counter transactions and for general education and information. Such information may comprise or be derived from sources including Counter News, Regional Bulletins or Operations Manuals.

Pathway will provide a facility which will enable these and other documents to be distributed to outlets and viewed locally. The documents would need to be supplied to Pathway in an agreed format (e.g. RTF/Microsoft Word). These would be distributed together with an updated index using Microsoft SMS. Access to these documents would be via a VB application from the users desktop.

Pathway will agree with POCL or other Clients the retention periods for these documents.

Pathway will agree a charging structure for this service which is expected to be based on file size and incidence of distribution.

Pathway Comment
Pathway believes that the second part of the requirement (paragraph 2 above) is complex both for the Contractor and for the Authorities who would need to originate the information of electronic access. It is pointed out that for contingency & fallback purposes the service documentation must be provided in paper format anyway and thus two sets of information need to be maintained incurring additional costs. Pathway would like further discussions with POCL regarding the business needs. At present Pathway does not believe the facility is cost effective.

Reference No 472

Pathway Response
1. Introduction

Pathway's solution for the OPS is based on a set of counter applications running on processors at every counter position. The counter applications all operate under Riposte, a suite of software which provides mechanisms for ensuring data security and integrity within the OPS and across the network to TMS. In addition Riposte ensures this distributed architecture is fully resilient by replication of data across the OPS and TMS together with effective algorithms for synchronisation whenever the replicates are out of step.

2. Accurate and Robust Data Capture

The design of the counter applications and the menu structures have been designed to minimise data input and to ensure that only valid and accurate data is captured at the relevant point within a counter transaction.

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The counter applications will be invoked by an event driven process wherever possible. This will typically be a card swipe, a bar code read or optionally a single touch on touch screen panel. The data associated with these actions will be captured automatically. Some transactions will require no further data input and the transaction will be completed by invoking a Receipt (where required) and the Settle function.

Supporting data may be required for some transactions including quantity, value or transaction specific details such as account number. Check-digits will be used where this used by a particular client transaction.

A running total showing quantity and value of each transaction is visible on the screen, and any errors can be reversed where the transaction type allows.

3. Integrity and Security of Data

Once a transaction has been settled the full transaction details are committed to that users journal and Riposte then replicates these details to all other PC's in the post office. In addition the transaction details are replicated to a remote server within TMS. These PC's and servers are known as nodes which form a Riposte workgroup.

All messages from a single Riposte node are generated in strict sequence and with a unique node identification. The introduction of an additional stream of messages will be detected by Riposte and rejected. An additional pseudo random sequence number produced from a cryptographic algorithm can also be included to provide complete message integrity.

Three techniques are used by Riposte to ensure data integrity. These are CRCs (Character Redundancy Checks) used for all Riposte journal messages, RSA based Digital Signatures used for all data where assurance of content and source are required (i.e. Benefit payment records) and Data Encryption used selectively on certain data fields (i.e. benefit payment value).

All messages in Riposte have a CRC applied when they are initially committed to the journal and this is checked every time the message is accessed. This protects against accidental corruption and casual tampering. Any failure of a CRC check will cause the message to be rejected and retrieved from an alternate node.

When authentication of the origin of data is important (i.e. for benefit payment records), a digital signature is applied to the data prior to transmission and then checked upon receipt. A CRC is generated for the data contents, then one-way encrypted and the result encrypted using an RSA private key. Upon receipt the checksum is recovered using the public RSA key and compared with the newly encrypted checksum from the received data. If the results match then the data content and its origin are assured.

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Data encryption mechanisms are available and will be used selectively to protect the values of certain data items e.g. benefit value.

Thus any attempt to alter the payment data (i.e. to change the expiry date, or any other value) will be automatically detected and logged for subsequent investigation.

Reference is also made to Pathway's response to Risk 65 and supplementary questions (PWAY065 and PWAY065a) which concern security of data from OPS to TMS.

4. Audit trail

All data captured at a post office counter either as part of a counter transaction (i.e. BA payment, Stamp sale) or as an administration function (user log-on, teller balance) will form part of a unique transaction which is given a unique reference number by Riposte. The format of this journal entry will vary according to the transaction type but will typically contain :-

- Post Office ID
- Counter Position ID
- Unique Transaction ID
- Date
- Time
- User ID
- Application
- Transaction Details

Each counter PC contains a journal and all journal entries are automatically replicated to all other members of the workgroup. This will include all the counter PC's in the post office and one of the remote Servers (known as Correspondence Servers) that form part of the TMS. This Correspondence Server will in turn replicate all its transactions to two other Correspondence Servers located on different sites.

Once data is stored in the journal it is never altered. New transactions are always appended to the journal. e.g. a card stop will be applied as an additional journal entry as opposed to updating the original benefit payment record. Retrieval of data using a particular key field e.g. NINO will retrieved all entries containing that field an logically determine the overall state of the transaction data.

A complete audit trail of all transactions and other significant events is maintained within the post office systems and is automatically available for analysis by value added services which are linked to TMS.

5. Data Security and Integrity following failure

The Pathway solution for OPS ensures that data security and integrity is maintained in the event of failures of the OPS. Riposte provides synchronisation facilities which will automatically check the status of the journal for a node when it is re-established following failure. Should the journal be out of step (e.g. through failure of the counter PC) Riposte will

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automatically synchronise the journal and any data files to the same state as all other journals in that workgroup. Synchronisation may occur from another counter PC (in a multi-counter office) or from one of the Correspondence Servers (in a single counter post office).

The data security features described above are not affected by this process and no user intervention is required to effect synchronisation.

Pathway Comment
Nil

Reference No 473

Pathway Response
1. Remote Access to OPS

Users may only log-on to the OPS in their local post office. Any access to data or services outside of the local post office is controlled exclusively by the relevant counter application.

2. User Access to OPS

Authentication of all users logging on to the OPS in the post office is undertaken by the OPS operating system. Full access control and password management facilities are provided. The OPS uses this information to ensure that only authorised staff are allowed access to applications, and then only to those applications for which they have permission. Each user is identified by a unique password. The procedure for logging-on to the OPS is described in the Counter Operations Procedures manual.

In order that a specific role for POCL Auditors can be created Pathway will need to understand the specific functions that are required to be associated with this role and where these are different from the Post master. The normal user hierarchy would place the Postmaster as the most privileged user with a series of roles and lesser permission levels subservient to this.

If specific functions are required for Audit that are not available to the Post master, then the Audit user would require an independent method of setting the password. In this situation the approach outlined below for lost password and linked to the Audit user would be used.
3. Restricted Functionality

Agreement will be required on the Services (e.g. BES, AP etc.) that are to be provided at an outlet. Where it is known that a service will never be required in an outlet (e.g. BES in a CRU), then the counter applications initial build will not include that service. Where an existing service might be required in particular outlets in the future, a normal applications build will be provided but access to the applications will be disabled from

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the user desktop. These restrictions may be removed in the future as required.

In addition it will be possible to restrict certain transaction types in an outlet (e.g. no MVL sales). This will be achieved by disabling the appropriate entry within the desktop.

Pathway understand that service or functionality provision / non-provision is determined at the outlet level, and is not directly related to User Access.

4. Lost Password

The OPS will provide facilities to enable the Postmaster to establish new users and set an initial password for all users in his/her post office. Should a user forget their password the Postmaster can reset the password. The same procedure applies at single counter position post offices and multiple counter position post offices.

For situations where the sole user (e.g. Postmaster in a single counter office) has lost his password, the OPS will provide the facility to generate a unique key as part of the log on to a specific username (e.g. user SETUP). This will be phoned to the SIS help desk who will provide the corresponding key which when input to OPS will allow access to the administration facilities. The user may then reset his user password.

5. Suspend and Resume

A facility which enables users to securely suspend their current session and then to resume the session is provided as part of the overall OPS functionality. The suspend function is invoked by the user using a specific keystroke (e.g. Control + Key) and may be performed at any time providing that there is no counter transaction in progress, or where the transaction integrity may be compromised by allowing a suspension (e.g. part way through a smart card transaction). The suspended session may be resumed by the user entering his password.

Further details on secure timeout a re now covered in response to requirement 921.

Pathway Comment
None.

Reference No 474

Pathway Response
1. Health, Safety and Legal on OPS equipment.

1. All OPS Equipment will be continuously rated and capable of functioning safely and reliably, attended or unattended, for an indefinite period in outlets.

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2. Each installation of OPS will be physically and electrically safe and in compliance with relevant legislation and recognised best practice. It will not cause interference with other devices. It is noted that the equipment may be installed in premises that would be classified as residential.

2.1 This includes all relevant UK Regulations and Council Directives (that is, Directives of the Council of the European Communities) which are implemented by HMG. The equipment will be maintained as demanded by subsequent legislation.

2.2 This includes mandatory standards, including all relevant UK Regulations and Council Directives (that is, Directives of the Council of the European Communities) which are implemented by HMG. The equipment will be maintained as demanded by subsequent legislation including mandatory standards.

2.3 OPS equipment will comply with BS EN60950 : 1992 (BS7002 :1992) and any subsequent amendments will be applied there after to any new OPS equipment deliveries or any repaired and subsequently re-introduced OPS equipment.

2.4 All OPS equipment comprising AC power adapters will comply with BS EN60065 : 1993 (BS7002 :1992).

2.5 The workstation aspects of all OPS equipment will comply with the Health and Safety (Display Screen Equipment) Regulations 1992, which implement Council Directive 90/270/EEC on working with display screen equipment.

2.6 Any OPS equipment containing laser emitters will comply with BS EN 60825:1992. (Examples laser printers and laser barcode scanners).

2.7 Any OPS telecommunications equipment will 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.

2.8 All OPS equipment defined as Machinery will comply with the Supply of Machinery (Safety) Regulations 1992, which implement the Machine Directive 89/392/EEC as amended by 91/368/EEC.

2.9 All OPS equipment will comply with the Electrical Equipment (Safety) Regulations 1994, which implement the Low Voltage Directive 93/23/EEC as amended by 93/68/EEC.

2.10 All OPS equipment will meet the requirements of the Non-automatic Weighing Instruments (EEC Requirements) Regulations 1992 Schedule 3 Applications.

2.11 All OPS visual display terminal equipment will comply with the relevant requirements of either BS 7179:1990 or ISO 9241:1992 (applies to keyboards).

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2.12 All Equipment 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), will comply with these regulations.

2.13 All OPS Equipment will 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.

2.14 All OPS equipment covered by EN45501:1992 will comply with clause A4.5 (voltage variations) and Annex B of that standard.

2.15 All items of OPS equipment will have an Index of Protection rating of IP3X as defined in BS EN 60529:1992.

3. The OPS equipment and its installation will not constrain BA/POCL and its agents from meeting their legal safety responsibilities as employers.

4. Pathway will prove compliance with legislation or mandatory standards as and when necessary.

Pathway Comment
1. With respect to those requirements at paragraph 2 above, which require adherence to "subsequent legislation and standards", we have slightly modified the wording to make it clear that the requirement to modify any existing installed equipment would apply only in circumstances that the subsequent legislation demanded such action. We believe that this is the intended meaning.

2. To support the commitments set out above the Contractor must be empowered to make changes to the equipment and specifications in line with changing legislation and standards.

Reference No 475

Pathway Response
1. Style Guide

Pathway will produce a Style Guide for OPS which will set out the general guidelines for the Human Computer interface, including screen layouts, systems navigation routes and help and manual entry facilities.

All counter applications developed for BA/POCL by Pathway will conform to this Style Guide.

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Any changes to the Style Guide documentation will be agreed with BA/POCL.

2. Human Computer Interface

The HCI for the Pathway OPS is designed to be intuitive and easy to use. The design principles and user interface functionality are drawn from the successful operational experience of An Post. Key facilities that underpin all counter applications are :-

An efficient and intuitive method of transaction selection exploiting touch-screen and function-key driven techniques
A menu hierarchy based on "most used" transactions
Transaction selection which can be invoked by peripheral events e.g. card swipe
A seamless link between transaction selection and counter application
A common and consistent User Interface for transaction selection and counter applications

These facilities will greatly assist in achieving the objectives of minimising errors and optimising transaction time.

Pathway Comment
none

Reference No 476

Pathway Response
1. Terminology

Pathway supports the proposed definition of a release. However for control purposes we believe that the definition of reference data should be refined to discriminate between Business Reference Data which is essential to the POCL/BA businesses and Operational Reference Data which is controlled by Pathway and is relevant to the management of the Contractors Services.

2. Control of Releases

2.1 Release Principles

The Contracting Authorities require that the Contractor shall undertake the delivery of the Services to meet demanding business requirements. Failure to meet contracted performance targets will incur performance penalties. In order to deliver Services which meet the contracted requirements and performance levels at an economic price it is essential that the Contractor is empowered to manage the all aspects of Service delivery and this must include the control of new releases. Pathway recognises that BA/POCL has a legitimate interest in the business functions that are provided by the Service and needs to be assured that the quality of the delivered systems meets the contracted requirements. The processes , tests and quality reviews which are required will be open to the

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BA /POCL and Pathway will particularly seek active participation in tests of business functionality and the Human Computer Interface. It is recommended that Pathway takes complete responsibility for the management of releases in line with the contractual commitments requested by BA/POCL

This section continues with further explanation of the above principle as it applies to the headings provided in the requirement.

2.2 Release Contents

Pathway recommends that the content of a release should require the agreement of the BA/POCL with respect to the introduction of new Services or the deletion of existing Services or changes to existing Services which affect the essential business functions of BA & POCL. All such changes to Services should be initiated through contract change control.

For the reasons which are set out above Pathway should retain clear responsibility for all other changes to release contents. Such changes may be justified for many reasons but including for example: contract compliance, quality, technical strategy and cost control.

2.3 Release Distribution Timing

Pathway believes that there is only one circumstance when the Contracting Authorities should determine the timing of the distribution of new releases. That is when a new Client is connected to the Service for the first time. In all other circumstances the control of the distribution of releases should be at the discretion of the Contractor.

2.4 Release Activation Timing

Pathway recommends that the timing of release activation should require the agreement of the BA/POCL with respect to the introduction of new Services or the deletion of existing Services or changes to existing Services which affect the essential business functions of BA & POCL. This includes the release of the Business Reference Data which is referred to in Section 1 above. All such changes to Services should be initiated through contract change control and it is anticipated that any particular favourable or unfavourable times for the activation of releases will be declared in the change request.

Pathway believes that in all other circumstances the responsibility for the timing of the activation of new releases should be at the discretion of the Contractor.

3. Release Testing

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Pathway will provide evidence that the each release has been tested so that it is shown to meet the Service requirements and service levels. The BA/POCL will be invited to participate in those tests associated with proving business functionality and Human Computer Interface aspects of new releases. Other evidence will be provided in the form of written test reports and invitations to attend quality review meetings. Evidence of testing for major releases of new software and functionality will be provided at the levels of:

Unit Tests
System Test
Representative combinations of hardware and software.

The release testing strategy above is too heavy for testing minor releases of software or for reference data and appropriate procedures will be defined for different classes of release.

4. Preparation For Release

Pathway will complete the testing of major new releases in three steps prior to full distribution of major new releases. These are:

A Test conducted in a simulated post office and operated by real and representative BA/POCL users.
A test of implementation and live operation in a limited number of post offices for a limited period before general distribution.
A test of reversion to the previous release.

The release testing strategy above is too heavy for testing minor releases of software or for reference data and appropriate procedures will be defined by Pathway for different classes of release.

5. No Disruption to Users and the Working Environment

Releases of software and and/or reference data will be distributed across the network and therefore will require minimal user involvement and no significant disruption to users or to the working environment.

6. No Corruption to BA/POCL Data

The data within software and/or reference data is protected at source by a CRC check key which is applied by the Riposte system. Following distribution of the release, the CRC is checked to ensure that no corruption of the data has taken place. The release of software and/or reference data will not cause any corruption to data held on behalf of BA/POCL.

7. Record of Releases

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A record of the release of software and reference data which is in use at each post office will be maintained under configuration control within an asset data base which is maintained by Pathway.

Pathway Comment
1. Pathway's response is consistent with the assumption that the BA/POCL require a complete managed service contract which is under written by penalty payments and capital funded by the Contractor under the PFI arrangements. If this remains the BA/POCL objective then it is critical that the Contractor be empowered to manage the contract so as to deliver the contracted services. If on the other hand the BA/POCL require to participate in the day to day operational management of the Services then other contractual arrangements should be considered and discussed between Pathway and the Contracting Authorities.

2. In responding to requirement at paragraph 2, 2nd bullet we have assumed that "the upgrade path for any release " means new releases beyond the next release. It is apparent that other interpretations of the meaning are possible.

Reference No 477

Pathway Response
Pathway will support the management of the Services using an asset register which will record all of the physical system components. The asset register will identify all of the Equipment which is installed at each site. A list of the assets at each site will be made available to the BA/POCL upon request.

The asset register will contain essential operational information that will support the management and control of both rollout and steady state services. Including for example:

- site address and contact information
- site implementation status details
- system configuration details
- equipment types and serial numbers
- software versions
- applications versions.

The asset register will be an integral part of a wider Management Information System that supports Help Desk functions and the management of rollout schedules and steady state services.

Pathway Comment
None

Reference No 478

Pathway Response

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1. The Pathway solution for TMS will link into each instance of OPS that is to be used for production work using an ISDN network.

2. TMS supports links into other computer systems through client-specific TMS software Agents. These Agents will reside on the TMS servers and will manage any client specific data manipulation and communications links. Pathway will provide those Agents required to support those host systems provided as part of the overall Pathway solution.

The specification for additional Agents required to provide links from TMS to other computer systems, including POCL's own systems and those of POCL's clients, will be agreed jointly between Pathway and BA/POCL.

3. TMS is linked to PAS and CMS using TMS Agents. The computer systems that support PAS, CMS and TMS will be co-located in a datacentre and will linked to same local area network.

4. Data file collection and delivery

4.1 TMS supports the distribution and collection of electronic data to and from the OPS. This is achieved by the automatic replication of transactions from the OPS in a post office to a TMS server. Similarly data provided to TMS from a host system is replicated to a set of OPS systems in post offices.

4.2 These processes may be initiated by :-

Operator action - This will comprise the normal operational activities in managing the data transfer from Pathway host systems to TMS, or will comprise the normal actions of the counter clerk in carrying out transactions on OPS.

Once a datafile has been passed to TMS or a counter transaction has been committed within OPS the collection/delivery of this data is automatic.

Time - The time interval between data replication from OPS to TMS may be set according to the urgency of the transaction. Pathway's solution will optimise any network connection made from TMS to OPS in a post office by replicating any accumulated transactions to TMS.
External message - The requirement for an attached computer system to initiate a data file collection or delivery will be met by the functionality specified within the relevant TMS Agent.

TMS initiated - The Pathway solution for TMS automatically provides data collection / delivery to and from OPS.

4.3 The Pathway solution for TMS automatically replicates data between TMS and OPS, and between individual PC's within a post office OPS. Following a failure of either a TMS node or an OPS node, TMS will automatically synchronise the restored node to an up-to date state. This will include any data file or transaction collection/deliveries that are outstanding.

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The recovery facilities available for file transfer between TMS and an attached computer systems will be dependent on the precise method of connection and the protocols and file transfer standards that are used. These will be jointly agreed between Pathway and BA/POCL as part of the specification for connecting an attached computer system.

4.4 A TMS node contains a configuration file which specifically defines the OPS nodes with which it can exchange data. File transfers to/from attached computer systems will be controlled by Pathway operational procedures and by the facilities provided in the jointly specified file transfer method.

5. Messaging capability

5.1 Messaging Switching

TMS will generally provide the facility to pass messages from one attached computer system to another. Such message transfer will be predefined in that message format, source and destination, verification and service levels will have been previously agreed between Pathway and other appropriate organisations.

Pathway anticipate that this requirement is principally aimed at enabling communication between OPS and other attached Client host systems in support of future counter applications (e.g. links between post offices and DNS to support a savings product).

Subject to the comments below, Pathway is able to develop a facility which enables messages created in one post office to be sent via TMS to another post office. An counter application will enable authorised Users to create messages and address them to another post office using the FAD code / name. A TMS agent will periodically extract these messages and forward them to their destination using a centrally managed directory.

5.2 Message non-delivery

The TMS message Agent would monitor all message-read messages that are created by post offices and at periodic intervals (typically at end of day) reconcile messages sent with messages read. Any non-read messages would result in an advisory message being sent to the originator.

5.3 File processing

Pathway's solution for TMS separates the generic functions of secure and highly resilient transaction management from the client specific requirements for data file processing.

The former are provided as generic facilities for all transactions. The latter are provided in the form of TMS software Agents which are designed to perform specific functions in support

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of the links and data processing required for individual host systems.

To facilitate the development of these Agents Pathway will supply a set of generic Agents which will form the basis for different forms of host system interaction.

These will include :-

File Distribution - the acquisition of data from client systems and the creation of files for distribution

Client Processing - the collection and formatting of transactions for host systems and the transfer of data to/from host systems

On-Line - enabling an on-line connection to be made from OPS via TMS to a host system

The generic facilities provided by the Pathway Agents will be customised for each specific host system link and will provide the following facilities :-

- 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 a data file
- generating control totals through access to the contents of data files
- reconciliation of control totals
- produce reports summarising financial transactions

6. All events that occur either in TMS or in OPS are written to a journal. These journal messages include all the data required to uniquely identify the user, the location, the transaction and the date/time of the transaction. Data, once written to the journal, can never be altered. Information in the journal is available for analysis as required.

7. The facilities that ensure data transfer in TMS is secure, complete, accurate and robust are described in Pathway's response to requirement 467.

Pathway Comment
Pathway believes that the post office-to-post office messaging capability (paragraph 5 above) expressed in this requirement is complex having many characteristics in common with a full E-mail service, including for example the need for directory services. The requirement could incur significant costs when applied to 20,000 offices. We believe that the Message Broadcast facility which is described at requirement 471 may meet many of the POCL needs. Pathway would like further discussion with the POCL regarding the business needs. At present Pathway does not believe the facility is cost effective.

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Reference No 479

Pathway Response

1. Connection of Computer Systems to TMS

Pathway will not connect any computer system to TMS without the express authority of BA/POCL.

2. Authorised Connections

2.1 TMS connections to OPS

The Pathway solution for TMS is based on a network of servers which connect to the Pathway OPS equipment in each post office using ISDN. Configuration files are initially established on each TMS server which restrict its connection to a fixed set of other computer systems. These will be the other TMS servers to which data is replicated and a defined set of post office gateway PC's. These form the servers workgroup. Data replication and message transfer will only occur within this workgroup.

The TMS server configuration files may only be accessed by authorised personnel within Pathway.

Data encryption mechanisms are available and will be used selectively to protect the values of certain data items e.g. benefit value.

Reference is also made to Pathway's response to Risk 65 and supplementary questions (PWAY065 and PWAY065a) which concern security of data from OPS to TMS.

2.2 TMS connections to Host Systems

Systems which are provided as part of the overall Pathway solution including for example PMS, CMS, MIS and System Management will be connected to the TMS using network links. Pathway will establish these systems in secure areas and no unauthorised hosts system will be connected to these networks.

The physical network addresses of these host systems will be contained in the configuration files of the TMS servers to prevent unauthorised access. It is Pathway's intention to exploit Closed User Groups when these become available from the network supplier.

3. Identity Authentication

The authentication of computer systems connecting to TMS is dependant on the protocol used to support the connection to each Client system and the security facilities that it supports.

The Pathway solution for linking TMS to OPS uses ISDN. The TMS and OPS systems will use Call Line Identification to provide assurance that the calling system is from a valid number.

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Pathway will be pleased to work with BA/POCL to design solutions for Identity Authentication as new Client systems require connection to TMS.

4. Reports

Pathway will provide reports to BA/POCL of any rejected attempts of other computer systems to link to TMS on request.

Pathway Comment
Nil

Reference No 480

Pathway Response
The TMS is logically discrete from other services such that, in extremis, the service could be separately procured. Technical documentation will be produced which defines the interface with TMS.

There will be clear documented interfaces between PAS and TMS functions and between CMS and TMS functions. These interfaces will include:

specification of any relevant programming interface
specification of any shared data and data standards
specification of any other protocols that exist to allow communication between functions within the service
specification of any other constraint that enables interoperability between services.

Pathway Comment

None

Reference No 481

Pathway Response
Pathway will provide an OPS Operations Guide document that defines the OPS operating procedures for use by staff at post offices . The guide will include processes for transactions, accounting, balancing, stock taking and action to be taken in the event of an emergency such as a system failure.

At present it is not proposed to include documentation of transactions which are non-automated or which are otherwise outside of the scope of the contracted Services. This is because we have no information regarding the intended POCL requirement. In order to provide a proposal and to estimate the corresponding costs we would require information regarding the size of the documentation and how often it is changed.

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Post Shop transactions have not been defined or included within the scope of the procurement. If such transactions were defined under contract change control then the operations documentation would include them.

Pathway Comment
None

Reference No 482

Pathway Response
Pathway will provide the OPS Operations Guide which will comply with the POCL identity and communications standards.

Pathway Comment
1. Pathway urgently requests a copy of the POCL identity and communications standards documents be provided well before ITT so that compliance can be assured and correctly priced within the Tender.

2. Pathway is in discussion with BA/POCL to determine the appropriate Identity standards for the Pathway services. We believe that this is important with respect to the Services provided directly to the AUTHORITY's User community.

Reference No 483

Pathway Response
Pathway will include additional product information within the OPS documentation as necessary. New information will take the form of revised or new pages to the existing document.

New information will be provided to Pathway in advance of the required publication date with sufficient notice to allow preparation, editing, composition and production of the document amendments.

Pathway Comment
The requirement as stated is very open ended and has not been quantified, it could potentially lead to:

A much larger document
A larger distribution list
More frequent amendments

than would otherwise be needed to describe the OPS operation.

Pathway therefore proposes to charge separately for this service based upon usage rather than to include the costs within the transaction related charging structure.

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Reference No 484

Pathway Response
Pathway will provide to POCL one paper copy and one electronic copy of the user documentation for the automated procedures to be included into the full user manual(s) to be issued by POCL.

Pathway Comment
The requirement to supply OPS documentation to "... others as appropriate" is too subjective to enable a meaningful commitment.

Reference No 485

Pathway Response
The OPS Operations Guide will be updated when necessary to reflect the new releases of the OPS software so that the information is always current.

Pathway Comment
None

Reference No 486

Pathway Response
Pathway recognise BA/POCL right of approval for release of documentation, as defined in the process within the User Documentation Service Level Agreement.

Pathway Comment
If we assume that it is the OPS Operation Guide that is addressed by this requirement then the issue becomes aligned directly with that of release control and our comments set out in the response to requirement 476. It is reasonable that the BA/POCL should have rights to influence and review certain aspects of the use of the OPS as set out in the OPS Operations Guide. It is not reasonable that the BA/POCL should have a general right of veto over the publication of the document. This response together with the response to 476 should be subject to commercial discussion.

Reference No 487

Pathway Response
Pathway confirms that it will carry out a survey of outlets to ascertain what modifications are needed to install the office platform Service.

Pathway Comment
Nil

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Reference No 488

Pathway Response
Pathway confirms that the installation and acceptance of the office platform at outlets will be undertaken in one day.

Pathway Comment
1. Acceptance here is assumed to mean just a small part of an incremental Acceptance process which has yet to be defined.

2. Discussion with BA/POCL have indicated that some Users may wish to defer acceptance until training and familiarisation with the service have taken place, if so then the requirement expressed above may not be desirable to the Authorities.

Reference No 489

Pathway Response
Pathway confirms that it will disconnect and remove to an agreed location existing automated equipment as specified by the Authority. This service will be provided at no additional charge to the Authority provided that the equipment is specified with respect to its type, quantity and geographic location prior to the ITT so that the costs can be included within the Pathway Tender.

Pathway Comment
1. As stated the requirement is completely unbounded and although we believe that we know what equipment you have in mind the requirement could not form part of a Contract without further clarification.

2. We have assumed that the equipment can be disconnected and removed at the same time as the installation of new equipment. If this assumption is not valid then significant additional costs will be incurred.

3. We have assumed that the "...agreed location" referred to is a POCL supplied location.

Reference No 490

Pathway Response
Pathway confirms that it will install the OPS equipment within the outlets hours of business.

Pathway Comment

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Discussions with BA/POCL have indicated that there is preference that some large offices should be installed overnight. This is apparently precluded from the requirement.

Reference No 491

Pathway Response
Pathway confirms that it will carry out internal office modification work at all outlets necessary to enable the installation of the office platform.

The work that will be undertaken at each outlet will be determined during the survey at each outlet and will include as necessary the:

installation of electrical wiring back to the outlets power distribution box
installation of local area network cables and connections
installation of wide area network cables and connections
any carpentry required at counter positions required to position and connect the OPS equipment.

Pathway Comment
None

Reference No 492

Pathway Response
Pathway confirms that it will conform to all legislation while carrying out modification work to outlets.

Pathway Comment
None

Reference No 493

Pathway Response
1. Pathway confirms that it will remove and fit OPS equipment when outlets are either relocated or refurbished.

2. Pathway confirms that it will move OPS equipment within post offices if needed for refurbishment reasons including open plan.

3. Pathway confirms that it will provide OPS equipment at new outlets and at relocated outlets in line with POCL's evolving network strategy.

4. Pathway confirms that it will provide additional OPS equipment when this is needed.

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Pathway Comment
The requirements as stated are completely unbounded with respect to the number of relocated outlets, refurbished outlets, new outlets and additional OPS equipment each year. It is intended that Pathway's revenue will be derived from a transaction charge into which all Service costs are included. If the POCL will provide estimated volumes for the changes and additional equipment prior to ITT then the costs can in principle be absorbed into the transaction prices. If such estimates are not available then Pathway proposes to charge separately for each OPS change. The provision of additional OPS equipment will presumably be subject to a pre-agreed change control mechanism. Given the difficulty of predicting these changes the Authorities may prefer the latter approach.

Reference No 494

Pathway Response
Pathway confirms that it will respond to POCL change requests in line with the contracted service levels. This includes provision and installation of equipment in new and relocated outlets as well as the movement and reconfiguration of equipment within existing outlets.

Pathway Comment
Referring to the comment in response to requirement 493 it should be recognised that the price of the service charge will depend upon the response time required as well as the number of change requests.

Reference No 495

Pathway Response
Pathway confirm that the equipment will be provided in accordance with the limits set out in the agreed Schedule, and as per Pathway's Tender Response. Deployment of such equipment will be under POCL control.

Pathway Comment

Reference No 496

Pathway Response
Pathway believes that it is supplying an OPS Service to POCL and not just equipment. Pathway will supply the equipment at all post offices and other outlets designated by POCL as a part of an OPS Service.

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Pathway has proposed to supply equipment for training services in the response to catalogue requirement 463.

Pathway Comment
1. The requirement for equipment at training centres seems to overlap with that at requirement expressed 463.

2. Is a Cash Centre the same thing as a Cash Receipt Unit (CRU)? Although Pathway has proposed Services to undertake stock and cash management these Services have not yet been defined through the Authorities Requirements Catalogue. It is not sufficient that the Contractor provides equipment and although it is anticipated that the equipment will be of a similar type to the OPS equipment it should not be assumed that it is identical. Pathway recommends that we define a CRU Service.

Reference No 497

Pathway Response
Pathway confirms that it will install the office platform equipment in post office outlets.

Pathway Comment
None

Reference No 498

Pathway Response
Pathway confirms that the existing systems APT, ECCO+, ALPS and the agreed manual processes will be migrated from current POCL platforms. Pathway will work closely with POCL personnel to plan how best to achieve effective migration. The plans will aim to minimise the work required by post office staff and any necessary discontinuity of the service to customers or clients.

Pathway Comment
None

Reference No 499

Pathway Response
Pathway confirms that installation will not take place until the office platform infrastructure and associated support services are in place.

Pathway Comment
None

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Reference No 500

Pathway Response
Pathway proposes to obtain the agreement of the local postmaster at each outlet and also the Landlord of the premises at each outlet. If agreement is unreasonably withheld then the matter will be referred to the POCL Regional Liaison point for resolution.

Pathway Comment
1. It has been assumed that the modifications referred to here are to the post office outlets.

Reference No 501

Pathway Response
Pathway will ensure that there is a process in place to ensure that all outlets and regional liaison points are aware of and agree the times and dates of all visits to post offices and other outlets. Any disagreements will be referred to the regional liaison point for arbitration.

Pathway Comment
1. The existence of Regional Liaison points have not been discussed previously. We have assumed that a single point of contact will be provided for each of the seven POCL regions.

Reference No 502

Pathway Response
Pathway confirms that it will be careful to minimise any impact upon the post office and retail operations at outlets while carrying out site survey activities. However because the work is required to be undertaken within normal working hours and because many offices are small and congested it would be unprofessional for a Contractor to offer absolutely no degradation of service during a survey. A low level of service degradation must be anticipated on some occasions and expectations set accordingly. Pathway is confident that it can obtain the co-operation of local post masters through its awareness campaign without setting misleading expectations.

In accordance with the Installation Service Level Agreement, (Req 945) Pathway agree to achieve a 95% User Satisfaction level based on an agreed approach and format, to include public reaction where appropriate.

Pathway Comment
None.

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Reference No 503

Pathway Response
Pathway confirms that it will be careful to minimise any impact upon the post office and retail operations at outlets while carrying out site modification activities. However because the work is required to be undertaken within normal working hours, and because many offices are small and congested it would be unprofessional for a Contractor guarantee no degradation of service during a survey, particularly in a single counter position office. A low level of service degradation must be anticipated on some occasions and expectations should be set accordingly. Pathway is confident that it can obtain the co-operation of local post masters through its awareness campaign without setting misleading expectations.

In accordance with the Installation Service Level Agreement, (Req 945) Pathway agree to achieve a 95% User Satisfaction level based on an agreed approach and format, to include public reaction where appropriate.

Pathway Comment
None

Reference No 504

Pathway Response
All existing equipment which matches the specification of the proposed OPS equipment, or which can economically be made to match the specification of the proposed OPS equipment will be utilised by Pathway. Pathway will negotiate any Transfer charges associated with such equipment with the Authorities.

Pathway Comment
None

Reference No 505

Pathway Response
Pathway believes that there are important benefits to be gained at post offices through the synergy achieved by implementation within geographic areas. There are seven post office regions. Pathway proposes to rollout the OPS equipment within two regions at the same time. Within each region the major population centres will be implemented first.

Pathway Comment
The requirement is oddly expressed and it may be that it has not been properly understood.

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Reference No 506

Pathway Response
Pathway confirms that the limited live trial will take place in a maximum of three POCL regions, one of which will be South East or North Thames, but not both.

Pathway Comment
None

Reference No 507

Pathway Response
Pathway will not install equipment during the peak periods of Christmas and new year and other peak periods declared by the Authorities in advance. To plan the installation and to commit to particular installation dates, Pathway requests the start and end dates of all such peak periods and, if relevant, the geographic areas to which they apply.

Pathway Comment
The peak periods have not been defined by the Authorities.

Reference No 508

Pathway Response
Pathway notes the Authorities intentions with respect to the suspension of rollout. It is assumed that all such conditions will be included within the terms and conditions of contract as agreed with Pathway.

Pathway Comment
None

Reference No 509

Pathway Response
Pathway will ordinarily obtain the agreement of the outlet manager to the siting of equipment within a post office outlet. The siting will ordinarily be to specifications prepared by Pathway and agreed by the Authority prior to award of contract. However in planning the siting of equipment Pathway will give overriding consideration to the requirements of Health and Safety legislation and to ergonomic considerations. That is, Pathway will not agree to implementations which infringe Health & safety legislation will not agree to sitings which would not work effectively. It is anticipated that the Regional Liaison point would be the arbiter

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in exceptional cases where agreement could not be obtained from the local outlet manager.

Pathway Comment
None

Reference No 510

Pathway Response
Pathway confirms that for the purpose of rollout planning no particular distinction will be made between main post offices, branch offices, modified sub post offices and franchised post offices.

Pathway Comment
None

Reference No 511

Pathway Response
Pathway confirms that it will be careful to minimise any impact upon the post office and retail operations at outlets while carrying out OPS equipment installation activities. However because the work is required to be undertaken within normal working hours and because many offices are small and congested it would be unprofessional for a Contractor to offer absolutely no degradation of service during installation. A low level of service degradation must be anticipated on some occasions and expectations should be set accordingly. Pathway is confident that it can obtain the co-operation of local post masters through its awareness campaign without setting misleading expectations.

In accordance with the Installation Service Level Agreement, (Req 945) Pathway agree to achieve a 95% User Satisfaction level based on an agreed approach and format, to include public reaction where appropriate.

Pathway Comment
None.

Reference No 512

Pathway Response
Pathway confirms that rollout will be undertaken as quickly as possible subject to the over-riding requirement to:

(i) maintain service and client continuity
(ii) maintain the quality of service delivery to clients and customers

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(iii) appropriate support systems including training - being in place
(iv) avoidance of damage to POCL's brand, reputation and integrity
(v) demonstrate the robustness of the approach to rollout in the context of
uncertainty and risks
(vi) treat POCL's staff and agents professionally and with respect.

Pathway Comment
None.

Reference No 513

Pathway Response
Pathway would ordinarily expect to agree any future upgrades of the OPS equipment with the Contracting Authority. However, it should be recognised that the Contractor is required to deliver service outputs against demanding service descriptions, service levels and penalties payments. It is possible that at some future time that the substitution of equipment is required either to meet the contracted requirements or to achieve cost reductions. It is not consistent with the proposed form of contract that the Authorities should retain a right of veto over the substitution of equipment by the Contractor and Pathway requests that such agreement shall not unreasonably be withheld.

Pathway Comment
Pathway's response is consistent with the assumption that the BA/POCL require a complete managed service contract which is under written by penalty payments and capital funded by the Contractor under the PFI arrangements. If this remains the BA/POCL objective then it is critical that the Contractor be empowered to manage the contract so as to deliver the contracted service outputs. If on the other hand the BA/POCL require to participate in the day to day operational management of the Services then other contractual arrangements should be considered and discussed between Pathway and the Contracting Authorities.

Reference No 514

Pathway Response
Pathway proposes that it shall produce a rollout plan and schedule for implementation at post office outlets which will be agreed by the Authorities. In addition, the Acceptance Criteria for the OPS equipment at post offices shall be defined and agreed within the Contract. Pathway will install the equipment in line with the agreed plan, schedule and Acceptance Criteria. If subsequently the Authorities require to modify these, then such modifications may be at a charge to cover the costs so incurred and loss of revenue, if the frequency of required modifications exceed one per month.

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Pathway Comment
None.

Reference No 515

Pathway Response
Pathway has proposed a support package to POCL which includes:

Hands-on/classroom training
Post installation training and support visit
Remedial training or coaching visits if necessary.

The Pathway help desk will detect problem sites or users and will initiate corrective action. The proposal is set out in the document "Pathway Baseline Training and Awareness Programme".

Pathway Comment
None

Reference No 516

Pathway Response
Pathway proposes that it shall produce a rollout plan and schedule for implementation at post office outlets which will be agreed by the Authorities. If subsequently, the Authorities wish to change this plan, then agreement will not unreasonably be withheld by Pathway. If such changes incur additional costs or delay the achievement of revenue then Pathway proposes to make a charge to the Authorities at normal commercial rates to compensate for the loss.

Pathway Comment
Nil

Reference No 517

Pathway Response
Pathway confirms that post office modifications will be completed in one visit to the outlet.

Pathway Comment
None

Reference No 518

Pathway Response

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Pathway confirms that post office modifications surveys will be completed in one visit to the outlet.

Pathway Comment
None

Reference No 519

Pathway Response
During steady state, Pathway understands that changes will be required by POCL to the configuration of post offices. Changes will include the provision and installation of equipment both to completely new outlets and to existing outlets at counter positions that were previously unequipped.

Pathway will undertake these changes as directed by POCL in accordance with the agreed procedures established for roll-out and contract change control.

The initial Pathway Tender will include the costs of the OPS equipment that is identified by the Authorities within their ITT. The equipment will be funded through transaction charges as set out in the Authorities Pricing structure. Any subsequent requirements for equipment will be funded either through changes to the Transaction Charge or through other commercial arrangements that may be agreed at the time.

Pathway Comment
A list of the outlets together with the number of serving positions has been provided to Pathway by POCL. This list (or an updated list provided by POCL) will be used to determine the OPS contribution to the transaction costs and therefore the Tender prices. Simplifying the relationship a little, the OPS contribution to the average transaction cost is proportional to the number of counter positions divided by the average transaction rate. Therefore, if Authority were to request an increase to the OPS equipment without offering a corresponding increase in transaction volumes then there would be an incremental cost to the Contractor which could not be recovered through a fixed transaction charge. The Authority would in principle be able to exploit this characteristic of transaction charges without limit. It follows that in order to sustain a fixed transaction charge then Pathway must be able to control the productivity of the OPS equipment at counter positions or if this is not acceptable, then the transaction charge must be variable.

Reference No 520

Pathway Response
Pathway confirms that all agreed support services will be available from day 1 in line with agreed service levels.

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Pathway Comment
None

Reference No 521

Pathway Response
1. Pathway intends that each of the Helpdesks will be provided with a single telephone number.

2. The telephone number will provide multiple line access to its Helpdesk in accordance with observed and predicted demand for service.

3. Each Helpdesk will be served by dedicated Automatic Call Direction (ACD) equipment which will ensure that calls are directed to an available Helpdesk operator and answered in accordance within agreed service performance times.

4. Optionally and at an increased price, all of Pathway's Helpdesk services to BA/POCL staff may share a single telephone contact number. In this case, the caller will be connected to an Interactive Voice Response (IVR) system that will invite the caller to select the Helpdesk service required.

5. The Card Management System Helpdesk will additionally be provided with a single dedicated telephone number for public access.

Pathway Comment
Pathway recommends the lower cost option of providing one telephone number per Helpdesk, each served by ACD equipment controlling multiple lines.

Reference No 522

Pathway Response
Pathway recommends that telephone access to Helpdesks should employ either a '0345' local call telephone number or a '0800' free call telephone number.

Pathway Comment
Pathway believes that the provision of '0800' free call telephone numbers for the CMS Helpdesk would encourage many more nuisance and mischief calls, leading to proportionately greater costs. We therefore recommend the lower cost option of providing only '0345' local call telephone numbers.

Reference No 523

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Pathway Response

1 Pathway's support services will provide all appropriate support necessary to ensure the continuous and efficient operation of both the Benefit Payment Service and the POCL Strategic Infrastructure Service at all times from day 1.

2 Pathway will ensure that its services are capable of providing agreed levels of support to all users that may contractually have access to its systems.

3 The support services will cover all aspects of Pathway's solution from end to end, including the operational interfaces from Pathway's systems to those of BA/POCL and their clients.

4 Pathway will provide agreed levels of support to all other helpdesk operators contractually nominated by BA/POCL that may require assistance to resolve problems associated with Pathway's operational services.

Pathway Comment

1 BA/POCL to confirm the identity and contractual requirements for the operation of systems interfaces between Pathway and BA/POCL and their clients.

2 BA/POCL to confirm the identity and contractual requirements for the provision of Pathway's Helpdesk service support to other helpdesk facilities.

Reference No 524

Pathway Response

1. Pathway's Helpdesk service will deal with all calls relating to the operation, configuration and end-user support of counter terminal equipment, their operating systems software, application software and processes.

2. Requests for support will be categorised according to type such as hardware, software, network, advice & guidance, configuration, etc.

3. The Helpdesk service will provide problem and fault diagnosis and will control any necessary hardware or software maintenance activities.

4. Each call will be logged and progressed to its successful resolution within agreed service levels.

Pathway Comment

1. A complete list of 'call types' will be agreed with BA/POCL so that accurate and meaningful descriptions of all calls may be made.

2. Requests for support services and their resolution will be analysed regularly so that service problems may be quickly

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identified and actions taken to eliminate them. The analysis will also readily identify the need for any end-user skills or awareness training.

Reference No 525

Pathway Response
1. From day 1, throughout the roll-out period and beyond, Pathway's Helpdesk service will provide access to additional agreed services as necessary.

2. These services will include access to training facilities, training materials and operational support documentation.

3. Supplies of consumables such as special stationery and post office printer supplies may be ordered through the Helpdesk which will forward the request to the POCL stationery supplies unit.

4. Small, emergency supplies of consumables may be provided by Pathway optionally at extra cost. These may be ordered through the Helpdesk for delivery by courier within 24 hours.

Pathway Comment
1. Pathway proposes that post masters should be responsible for maintaining an adequate stock of consumable materials.

2. Pathway will analyse post office transactions in order to develop algorithms, for use by post masters, which can help them to predict future usage of consumable stock.

Reference No 526

Pathway Response
1. Pathway will ensure that all reported incidents are resolved within agreed service performance levels and in conformance with agreed operational procedures.

2. A comprehensive analysis of all incidents, their cause and resolution and the service levels achieved will be produced at agreed intervals for review jointly by BA/POCL's and Pathway's service managers.

Pathway Comment
None

Reference No 527

Pathway Response
1. Pathway will provide a Helpdesk service that encompasses all of the support requirements of both BA and POCL.

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2. Helpdesks will be staffed by fully trained, qualified and experienced personnel operating according to agreed procedures and within agreed service performance levels.

3. All of Pathway's Helpdesk services will be provided for the exclusive use of BA/POCL.

Pathway Comment
None

Reference No 528

Pathway Response
1 Pathway's helpdesk services will each be interconnected through their telephony systems.

2 Calls will be accepted and logged by the first Helpdesk operator to which it is assigned. When a call is discovered by the Helpdesk operator to have been mis-routed, the caller will be informed and the telephone call will be transferred to the correct destination.

3 Mis-routed calls will be handled according to the agreed service performance levels as though they had been directed correctly.

Pathway Comment
None

Reference No 529

Pathway Response
Pathway's Helpdesk service will comply with agreed standards of procedure and behaviour.

Pathway Comment
BA/POCL are requested to document their contractual requirements for help service behavioural standards.

Reference No 530

Pathway Response
Pathway has proposed to implement EPOS as previously requested by the Authorities. However if the BA/POCL need to defer the use of EPOS then Pathway will implement the OPS software so that this can be achieved.

Pathway Comment

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It is not possible to underwrite the operational implications of this approach without discussion and clarification. For example, stock accounting and cash accounting are understood to be of operational importance to the post office and are dependant upon the EPOS to collect data from the individual transactions. In deferring the EPOS do the Authorities intend to defer the availability of these operational features? Discussions with BA/POCL are needed to understand the business requirement more clearly and to clarify the solution.

Reference No 531

Pathway Response
Pathway has defined its solution for training in the document "Pathway Baseline Training and Awareness Programme". This document is with the Authorities in draft form for discussion and agreement. The training package proposed includes:

Standard training for all audiences
Follow-up support and training for individual users
Additional support and training as appropriate.

Pathway Comment
The requirement is very vaguely expressed and Pathway's solution is based primarily on its Proposal and clarified through discussions held during the demonstrator phase.

Reference No 532

Pathway Response
Pathway has proposed to train POCL's own trainers in the use of the OPS service for new staff and for minor new releases. Pathway will undertake additional for major new releases when this agreed under contract change control.

Pathway Comment
The requirement is very vaguely expressed and Pathway's solution is based primarily on its Proposal and clarified through discussions held during the demonstrator phase.

Reference No 533

Pathway Response
Pathway confirms that the solution for training includes the capability to train users on the live system using a training mode of operation, which can be invoked at any time, and is a permanent feature of the system. Training mode operation is protected by user names and passwords which are separate from those of live operation. While using the training mode both the users and system

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are prevented from interfering with live data transfer and data integrity.

Pathway Comment
None

Reference No 534

Pathway Response
Pathway confirms that its solution for training takes account of automated products and experience of existing system platforms. The Pathway training needs analysis takes account of the different kinds of user and their different propensities to learn new skills. The proposal includes ongoing training requirements and support for individuals who change their roles. Pathway has already tabled the document "Pathway Baseline Training and Awareness Programme". This document is with the Authorities in draft form for discussion purposes and for agreement now.

Pathway Comment
None

Reference No 535

Pathway Response
This is a statement rather than a requirement and the consequences of the statement are not clear. The requirements for Operational Trial and the User Service Acceptance phase of such a trial have not yet been defined and it is not clear how it relates to schedule B7 - Acceptance Criteria.

Pathway Comment
Pathway provided comments on Acceptance Criteria in its response dated 20th October the points raised then have not yet been taken forward.

Reference No 536

Pathway Response
1. Pathway confirms that peripheral input devices supplied as part of the OPS will be reliable, robust and easy to use.

2. Pathway confirms that peripheral and input devices supplied as part of the OPS will be capable of detecting contention, premature removal and swapping of tokens as appropriate.

3. Pathway notes that the above requirements must also apply to any peripherals that may be transferred from POCL to Pathway. Such peripherals may potentially include Weigh Scales and APPU's.

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Pathway Comment
None

Reference No 537

Pathway Response
The Pathway strategy for System Management will comprises a set of services as follows :

Software repository - the storage and maintenance of records identifying what software versions are stored on what machines .

Software distribution - the scheduling of software upgrades to a defined set of machines.

Event management - the notification of significant events to a central source .

Asset management - the storage and maintenance of information on the existence / type of machines and associated peripherals .

Configuration management - the non-static configuration parameters that drive the applications and operating system.

In the delivery of these System Management activities as applied to services provided to BA/POCL, the operational procedures developed and the technology applied will be exploited to achieve the required quality attributes including consistency, accuracy, reliability, speed and agility in responding to failures .

For example some of these services provide dynamic information on the state of operating entities - such as applications and operating systems. Event management is such a service. Coherence and consistency within a homogenous set of applications and operating system is achieved through standard naming conventions for the identification of applications and standard methods of invoking the event are obeyed. This will allow for example selected events to automatically raise Help calls pro-actively thus initiating a corrective action response.

Furthermore a consistent approach to event management populates the Help knowledge database with reliable information such that further similar incidents can be recognised and resolved.
By contrast other services manipulate by comparison various static data such as the existence of machines and software packages stored on these machine against the current configuration parameters associated with these packages. Again a common naming standard for this persistent data will be adopted to achieve consistency and coherency.

As such we have opportunities to engineer coherence and consistency at a meta level above, for example, specific types of

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operating systems. The delivery of this information will be in databases at the central systems. These will contain a consolidated central view of the overall system and from this logical view we can derive (and automatically deliver) the parameters required to drive the applications and sub-systems that work together to deliver the required functionality.

Pathway can thus ensure that if a common configuration is required for all instances of an application then that configuration is uniquely defined in the central database or where the configuration of different applications share common information that common information is again derived from a common source .

Pathway Comment
None

Reference No 538

Pathway Response
1. The overall Pathway solution comprises a set of central host systems running the CMS and PMS services together with a number of TMS servers. These servers will be installed in two data centres, each having the capability to provide all the services. The post office network comprises a PC configuration at every counter position.

When the central systems are installed rigorous operational procedures will ensure that all system data, including date and time, are consistent. The systems management service will have the facility to interrogate all servers to check for a consistent date/time. This will typically be done whenever there is a need to replace equipment, whenever a general clock change occurs, and as part of regular system housekeeping.

The counter PC's will have their date/time set prior to installation in a post office, or prior to any replacement. Upon installation a link will be established to the central TMS and System Management Service to download configuration details and other data.

Facilities within TMS will automatically synchronise the time between TMS servers and also with the counter PC's.

2. Time changes due to British Summer Time

The PMS and CMS systems will be based on UNIX and the TMS and OPS systems will be based on Windows-NT. Both of these operating systems have automatic algorithms for handling clock changes due to BST. No user action is required.

3. Local Time and GMT

Pathway understand that the requirement for using local time may arise with certain AP transactions. In this case any adjustments

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for particular AP transactions would be handled within the AP application. Pathway will require a description of which transactions are affected and the nature of the adjustment.

Pathway Comment
None

Reference No 539

Pathway Response
1. Maintenance of reference data

Pathway will support and maintain both system and application related reference data for an outlet. System related data comprises information that relates to the state of the outlet and its associated software base (e.g. event management details, software version numbers).
Application related data comprises information that relates to particular transactions
(e.g. price of a stamp, check digit algorithm for an AP client).

1.1 Maintenance of System related reference data

The Pathway Systems Management Service will use Microsoft SMS to provide the functions required to store and maintain reference data and to mange its distribution and activation. This will comprise a single Asset and Configuration database which provides a central logical view of which systems are associated with which versions of various files, including reference data. Pathway will use rigorous change management processes to control the rate and nature of changes to the software inventory and these will involve a co-ordinated approach with the originator of any external data including POCL and external clients.

The SMS supports a central repository, which will contain various objects including reference data, together with a supporting distribution infrastructure.

The distribution infrastructure comprises the components that move those files that constitute a single software package and also the instructions that prescribe how the package is to be installed.

The software package is stored on an SMS distribution server and the installation instructions are stored on an SMS log-on server. An SMS job will invoke the distribution of data, such as new reference data to those sites that require it, and SMS Client Software residing on the client system will interpret the instructions from the log-on server and install the software as required.

1.2 Maintenance of Application related reference data

Reference data supplied to Pathway by POCL and/or POCL clients will be stored and maintained in Pathway's MIS system. Agreement

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will be required on the process and form by which reference data is supplied to Pathway and the supporting control and validation processes.

In addition each item of reference data will need to be associated with a class of post offices, which will have previously been defined, in order to support the distribution process.

This information will then be processed, as determined by the effective date of the new or changed reference data, and introduced to TMS. TMS will then distribute the data where it will be activated and held within the outlet as a permanent object.

2. Use of external reference data

Pathway recognise that some reference data will be provided from external systems (e.g. TIP and client systems). Pathway will agree the precise form and process by which this information is made available to Pathway's software distribution services with the relevant owner. Operational and technical procedures will be agreed which will ensure the integrity of data transfer, data verification and activation procedures.

3. Implementation timescales

Pathway recognise that some reference data items may be subject to a fast implementation (e.g. as required by a Budget change). Pathway do not anticipate any significant difficulties with distributing and activating these changes, as the normal process would achieve this overnight. Agreement will be needed on the method of providing such changes to Pathway.

Pathway Comment
An indication of the different forms of reference data and their owners would assist in the development of the operational procedures.

Reference No 540

Pathway Response
1. Environmental Considerations

An important factor in Pathway's selection of equipment suppliers for OPS has been their approach to environmental considerations particularly in the materials policy, production processes and recycling.

Key considerations are that the products should not contain materials that endanger the user when used in the post office environment, and that the manufacturing process avoids the use of toxic emissions and has the capability to recycle as much of the product materials as possible.

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One of the key components in the OPS is the PC and Pathway have selected ICL as the supplier. ICL is committed to protecting every part of the environment by compliance with existing environmental legislation and anticipating future moves such as the TCO 6E scheme. Some examples include :-

ICL stopped using PVC many years ago in favour of ABS for the plastic casings. This avoids the problem of hydrochloric acid formation when the PVC plastic is burnt. Other components such as the keyboard also use ABS for the plastic casing and all components are selected for their ability to be recycled.

Brominated flame retardants have not been used since 1989.

Only capacitors that do not contain PCB and batteries that are cadmium-free are used.

The majority of the components of the PC can be recycled and used for making other goods. All plastic parts are labelled with the type material they are composed of.

Where ICL has responsibility for equipment disposal, the following process is followed. All parts suitable for spare parts are removed and reprocessed. The scrap is roughly sorted into metals, precious metals , glass and plastics. Batteries and some other items are sent for special treatment. All metals are processed by specialist firms. ABS plastics are stored at present awaiting the development of suitable re-cycling process. All cathode ray tubes go to an aluminium factory for crushing and, after washing, the crushed grass is dumped.

The production process for the electronic circuit boards requires that the PCB's are washed to remove metal chips and chemical residues. This process does not use either CFC compounds or Freon based detergents due to the environmental harm these chemicals can cause. All PCBs are washed in mild detergent prior to component soldering. The precious metals are separated from the soldering machine tin ash for reuse.

The equipment is packed in cardboard boxes with styrox packaging which can be burnt without harmful effects. A self closing box eliminates the need for glue, tape or staples.

2. Duty of care

Pathway will comply with all relevant environmental legislation and will generally exercise a responsibility for "Duty of Care".

Pathway Comment
None

Reference No 541

Pathway Response
1. TMS scalability

Pathway have submitted a paper to POCL/BA which addresses Risk 9 - the scalability of the central TMS facilities. Ref: Risk : PWY000009 - Part 3, version 1 dated 8/12/95.

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The analysis in this paper shows that there are no constraints on the scaling of the central TMS service or of the underlying network infrastructure to meet the workload volumes projected for POCL/BA. The modular nature of TMS and the network enables additional system resources to added to accommodate any workload growth.

Monitoring of traffic patterns and actual system resource usage will be undertaken during operational trials and early system usage. This will be used to ensure the optimum deployment of the TMS components.

2. Future transaction requirements

Pathway recognise and support POCL's strategy to introduce new business transactions and understand that these may require access to central host systems for authorisation or data access/update. An example of this type of transaction is in operation now in An Post (an on-line Savings system) and Pathway would implement such links using a TMS agent to provide the specific Client data exchanges.

Pathway Comment
None

Reference No 542

Pathway Response
Pathway will provide support for all software running on Pathway computer systems whilst they are supporting services provided to BA/POCL.

These support services will be managed by Pathway and will be sub-contracted to a variety of Pathway service providers.

Support to Pathway for core operating systems (e.g. Windows-NT) will be provided by ICL Sorbus and other specialists within the ICL group. Recourse to Microsoft where required will use current well established support routes.

Support for middleware (e.g. TMS and TMS Agents) will be provided by Pathway's own support and development resources.

Support for applications software will be provided to Pathway by the software development sub-contractor. This will comprise members of the Pathway consortium including Girobank and Oracle and Pathway's own support and development resources.

Pathway Comment
None.

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Reference No 543

Pathway Response
Pathway confirms that the APS will support the following range of tokens:

1. Landis & Gyr PISCES smart Card
2. GEC Meters WATERCARD smart card
3. Schlumberger Smart Card for the water industry
4. Schlumberger Smart Card for the electrical industry
5. Magnetic stripe card
6. British Gas Quantum smart card
7. Bar coded documents.

It is pointed out that some of the tokens listed above operate to proprietary standards and specifications also the device driver software is not currently available to Contractors. Licences, specifications and software have not yet been provided to Pathway except for the Magnetic Stripe Card.

Pathway understands that IPR for supporting software of the tokens 1.- 4 above are owned by POCL. The token referred to at 6. is owned by British Gas. The bar code standards are understood to be those operated by the Electricity companies.

Support for these tokens is dependant upon receiving the specifications and the availability of the necessary device driver software.

Pathway Comment
None.

Reference No 544

Pathway Response
1. The Pathway APS will provide support for all the current transactions required by POCL's AP Clients within the counter application and in the TMS Agent for AP data extraction.

2. The Pathway APS can support the addition, modification or removal of Clients or Client Service Types. A generic In-Pay data capture screen is provided which supports the capture of the specific Client transaction details. Transactions that support new Client Service Types (i.e. a new OCR bill type, a new barcoded bill type) can be quickly introduced through a simple parameterised process which will define details such as format, validation etc.

Entirely new AP Client transactions (new token type or additional data items to be processed) may require the development of additional data capture screens.

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3. Pathway will provide reasonable assistance to POCL in the implementation of interfaces to additional third party applications or tokens.

4. Pathway will provide reasonable technical assistance in support of POCL's relationship with Clients and potential Clients.

5. The Pathway APS provides a generic method of defining peripheral types and transaction types. The counter application is developed using Microsoft Visual Basic. These techniques enable additional Client Service Types to be added in a cost effective and efficient manner.

Pathway Comment
None

Reference No 545

Pathway Response
1. Pathway confirms that it will provide technical and overview documentation describing the APS. The documentation will be of sufficient detail so as to allow POCL to market the Service to Clients and potential Clients and to consider the suitability of additional services.

Pathway together with POCL will agree the content of the documentation prior to its production and also prior to introducing any subsequent changes. Pathway will require the active participation of POCL to support the production of the documentation.

2. Pathway confirms that it will produce an Automated Payments Client specification which specifies the details of each AP Client and Client Service type of the APS, including the Client interface specification, the presentation of information on the OPS, the data involved and any necessary timings.

Client identity and overview
Identifies the client for whom a specific instance of the APS is to be provided and provides an overview of the business objectives.
The respective responsibilities of Pathway, POCL and the Client organisation.
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.
Technical Specification
Identification of the service and system boundary between the Pathway service and system and the other services and systems.
Specification of telecommunications links and associated protocols.
Transaction data
Contents

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Validation
Customisation
Batching
Transfer
Other Data
Contents
Validation
Availability
Operations
Operational hours
Operational procedures
Fault diagnosis procedures
Operational review procedures
Service Levels

Pathway will require the active participation of POCL and the Client organisations to support the production of the documentation.

Pathway Comment
None.

Reference No 546

Pathway Response
1. Pathway confirms that it will deliver the APS using the POCL Strategic Infrastructure, that is the OPS and the TMS.

2. Pathway confirms that the APS shall be available at all counter positions where the OPS is installed to meet or exceed the requirement as specified by POCL in the ITT. Subsequent changes to the initial requirement will require commercial negotiation and change control. Pathway's intention will be to install equipment at the outset which will have as long a useful life as possible to minimise obsolescence costs and disruption in post offices.

3. Pathway shall ensure that the availability of each Client Service Type at each Outlet is individually controllable via reference data records.

Pathway Comment
1. In order to Price the APS service transactions within the Tender, the Contractor will need to assess future transaction types and the respective volumes also the number of counter positions.

2. Pathway may propose limits on the volume of individual APS components to reflect the defined or assumed business need.

Reference No 547

Pathway Response

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1. Pathway confirms that data will be captured correctly, accurately and securely.

2. Pathway confirms that the APS will validate data read from Tokens or entered by the User in accordance with a set of rules identified in the AP Client Specification document.

3. Pathway confirms that the APS will check data 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 AP Client Specification or Token Technology Specification.

4. Pathway confirms the APS shall enable the display of user instructions specific to a Client Service Type as identified in the AP Client Specification.

Pathway Comment

1. The purpose, ownership and timescales for availability of the following documents is not clear and so Pathway has not yet committed to compliance with them:
   APS Generic Rules
   Token technology specification.

2. The BA/POCL meaning of the word "robustly" in the context of data capture is not understood and therefore it has not been committed.

Reference No 548

Pathway Response

1. Transaction committal

The Pathway solution for AP is provided using a counter application running on a PC. The User will instruct the application to commit a transaction by using the Settle facility. This will comprise a touch panel or a keyboard entry. The AP transaction is then committed to the local journal. This process will occur when :-

(i) monies have been accepted
(ii) a transaction has been reversed. It should be noted that the original transaction is never altered and that any subsequent and related transactions are added to the journal.
(iii) a Token has been issued
(iv) a Smart Token has been accessed (including an abandoned or enquiry transaction).

An additional journal entry, which does not require User action, will be created when performing a Smart token read. The transaction will be completed, whether for enquiry only or a Token write will be Settled by the User in the normal manner.

Pathway Comment

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None

Reference No 549

Pathway Response

1. Transaction Reversals

The Pathway solution for AP provides the facility to reverse eligible transactions. This process may only take place at the post office where the original transaction took place.

The behaviour described in response to requirement 804 will also apply to AP transactions.

The transaction details from the original receipt (principally the account number) will be used to identify the relevant transaction.

There will be a limited time within which a reversal can take place and this is expected to be contained within one business day for the post office.

The process will operate to the rules described in :-

POCL APS Generic Rules
Token Technology Specifications
AP Client Specification

All transactions are progressively replicated to TMS for processing by the TMS AP Agent. The end-of-day marker from a post office is used as the trigger for accumulating Client specific transactions and forwarding them according to the rules in the above document. The net results of any transaction reversals will be determined and the relevant details passed to POCL/POCL Client.

2. Audit capabilities

All transactions that occur at every post office are recorded in the User local journal which is replicated within the post office and to the central TMS. A journal entry, once written is never altered. Details can be retrieved from the journal by suitably authorised personnel to provide a full audit trail of all activities including transaction reversals.

Pathway Comment

1. The purpose, ownership and timescales for availability of the following documents is not clear and so Pathway has not yet committed to compliance with them:
APS Generic Rules
Token technology specification.

Reference No 550

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Pathway Response
1. The Pathway AP system will 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.

Pathway Comment
Pathway understand that the software required to support access to the PISCES and WATERCARD smart cards and the SCHLUMBERGER Smart Key will not be provided to the Contractor until after contract award. The earliest availability of the specifications of this software would ensure the precise requirements of POCL and their Clients are met in a timely manner.

Reference No 551

Pathway Response
1. A receipt will be produced for each committed transaction.

2. The receipt will contain information as specified in the appropriate AP Client Specification and Token technology Specification.

3. The reversal receipt will be identified as such and will contain the account number of the original transaction together with details of the date and time when the original transaction took place.

4. The AP counter application displays details of the transaction on the counter terminal. These include transaction type, method of payment, value and account number. These can be transcribed onto a manual receipt. Where the transaction is supported by a magnetic card, these details would be transcribed using a card imprinter.

5. Welsh/English receipts will be produced in all relevant outlets.

6. The Pathway solution for OPS will retain all transaction information in the local post office for up to two Cash Account periods. This will enable information retrieval to take place by suitable authorised personnel.

Pathway Comment
1. The precise types of information retrieval in the post office will need to be discussed and agreed with POCL in order that the appropriate facilities can be provided.

2. The purpose, ownership and timescales for availability of the following documents is not clear and so Pathway has not yet committed to compliance with them:
APS Generic Rules
Token technology specification.

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Reference No 552

Pathway Response
1. Pathway confirms that the APS shall maintain and deliver committed transactions to POCL and Clients in accordance with appropriate AP Client Specification.

2. The purpose, ownership and timescales for availability of the following documents is not clear and so Pathway has not yet committed to compliance with them:
APS Generic Rules
Token technology specification.

Pathway Comment
The documents identified at 2. above have not been identified as deliverables of the requirements received to date and their role is not clear.

Reference No 553

Pathway Response
1. Pathway confirms that Data Files from POCL and Clients will be either collected or received and validated in accordance with the relevant AP Client Specification.

The purpose, ownership and timescales for availability of the following documents is not clear and so Pathway has not yet committed to compliance with them:
POCL APS Generic Rules
Token technology specification.

2. Pathway confirms that Data Files from POCL and Clients will be available to all groups of outlets or specific outlets in accordance with the appropriate AP Client Specification.

3. The purpose, ownership and timescales for availability of the following documents is not clear and so Pathway has not yet committed to compliance with them:
POCL APS Generic Rules
Token technology specification.

Pathway Comment
The documents identified at 3. above have not been identified as deliverables of the requirements received to date and their role is not clear.

Reference No 554

Pathway Response
1. APS fallback strategy

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The Pathway solution for the Automated Payments Service comprises a counter application and supporting peripherals which operate within the overall OPS counter applications environment. Each post office counter is equipped with a PC configuration and each configuration runs its own copy of the AP application and has its own set of supporting peripherals.

The failure conditions that will affect the ability of a post office to provide the AP service are limited to the failure of a PC at a single counter post office, and the failure of the Smart Card / Smart Key reader at a counter.

The distributed nature of the Pathway solution means that a single counter failure in a multiple counter post office will not affect their ability to provide an AP service from the remaining counters. the provision of the AP service is not affected by a failures that may occur in either central systems or the network.

1.1 Single Counter PC failure

A single counter PC failure will result in the post office providing a manual AP service for transactions supported by magnetic card or by a paper bill. Magnetic card supported transactions will be recorded by a card imprinter (zip-zap) onto a two-part AP voucher. Paper supported transactions will be recorded by retaining the paper bill.

These paper documents will be forwarded to Pathway for bulk data capture and subsequent transmission to POCL or their Clients.

1.2 Smart Card/Smart Key failure

No Smart Card/Key transactions can take place until the failed unit is replaced.

1.3 Failure probability and impact

Failure Incidence Impact
Total loss of PC at single counter post office. The failure rate of the PC is 4 hours outage every 1200 days, assuming the PC is not turned off. This equates to one failure per counter every four years. Manual AP vouchers will have to be produced using the zip-zap system. These will be sent to Pathway at end of day for processing.
Loss of Smart Card reader at a counter. The failure rate of the Smart Card reader is one fail every 300,000 reads or 4 hours outage every 1800 days. This equates to one fail per counter every six years. See note below.(assuming 50k reads per counter per year - Scenario 3 year 2000/01 - Workload Brief version 1.2) No

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Smart-Card transactions can take place while the reader is awaiting replacement.

Note: A worst case scenario has been assumed for the Smart card reader, namely that a combined Magnetic card/Smart card reader is used and that any fail will require a whole unit replacement. Should Pathway choose to implement a separate Smart card reader, then the interval between failures will be much greater than the six years predicted.

Applying these failure rates to the workload volumes provided in the Workload Brief gives the following.

PC failure Smart Card failure
Year 1996/97 Scenario 1: 76 manual vouchers produced per day; 0.0022 % of total / day; 59 transactions not possible; 0.0009 % of total / day.
Year 2000/01 Scenario 5 (BA) and Scenario 4 (POCL): 367 manual vouchers produced per day; 0.0075 % of total / day; 422 transactions not possible; 0.0019 % of total / day.

2. Recovery to a known state

The Pathway AP counter application does not complete a transaction until the data is known to have been committed to the local journal. The User is always fully aware of whether a transaction is complete or not. All transactions, once committed to the Users local journal are replicated to all other PC's in the post office and to the central TMS server. When a failed unit is replaced it will automatically synchronise with other nodes in its workgroup and restore all previous transactions.

3. Data Corruption

All transaction details are recorded in the users local journal and are appended with a CRC. This is checked every time the record is accessed and in the event that the record has become corrupt it will be discarded and retrieved from another node within the post office or from the TMS servers.

4. Lost transaction data

It is not possible for transaction data to be lost within the Pathway solution for OPS or any of the applications it supports. Transactions once committed to a users local journal are automatically replicated to other nodes in the post office and the central TMS system. Any nodes which have to be replaced are automatically re-synchronised from other nodes within the post office or the central TMS service.

5. Re-Input of transaction data

The Pathway solution for AP will only require manual transactions to be created should a single counter configuration fail. Some

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manually recorded AP transactions that result may be input to the AP system once the OPS is re-established if required by POCL.

Magnetic Card supported transactions may be input using details from the receipt. They would be recorded as a keyed entry.

Smart Card/Key transactions cannot take place when a single counter PC has failed.

6. Data Recovery

Data recovery, or synchronisation, takes place automatically following the replacement of a counter PC. There will be no loss of service on any of the other configurations in the post office while this takes place.

7. Receipts for recovered transactions

The AP system need not produce a receipt for any recovered transactions.

8. Validation Rules for recovered transactions

The AP system will conform to the POCL APS generic rules.

Pathway Comment
None

Reference No 555

Pathway Response
1. OPS initial implementation facilities

1.1 All OPS outlets will have the capability to read track 2 magnetic cards complying with ISO 7811 parts 1-4.

1.2 All OPS outlets will have the capability to read/write to Smart Cards complying with ISO 7816 parts 1 and 2, and/or ISO 7816 parts 1,2 and 3. Future support for ISO 7816 part 4 will be provided.

1.3 Support for non standard cards may be possible and will be assessed on an individual basis. Pathway would require specific examples of any Cards which POCL require to be supported in order to provide a complete impact assessment, but they are not expected to be very significant. General areas such as non standard embossing may impact the design of the manual AP voucher. Non standard data on the magnetic stripe would need to be reflected in the data validation definition of the relevant application.

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1.4 Pathway will supply a hand held bar code scanner capable of reading at least 10.9 cm bar codes at 9mils resolution. The codes supported will be at least Code 128, EAN8, EAN 13, code 39.

2. EPOS initial implementation facilities

Pathway confirm that in all outlets where EPOS is required the Pathway EPOS solution
will :-

2.1 Provide support for manually fed pre-printed forms at the counter by using an impact slip printer mechanism provided at the counter as part of the counter PC configuration. The slip printer will print Girobank summary forms G4631, G4632 and G4633.

2.2 Provide support for Cheque printing together with a range of other forms is provided at the counter using the same slip printer mechanism.

2.3 Support the printing of existing Client reports which are currently printed at the counter including the Girobank Daily Record forms. Support is provided for multiple font sets and 90 degree rotation printing so that the Girobank forms referred to at 2.1 above can be printed.

2.4 Support the connection of the electronic weigh scales including the Avery Berkel D104 and A702. These will be connected via RS-232 connection to one or two counter PC configurations.

2.5 Support the printing of reports to enable POCL to meet existing Client commitments. This will be carried out on an A4 cut-sheet feed printer which will be installed as part of the OPS.

2.6 Support the printing of cash accounts and plain paper summaries using the above printing facility.

2.7 Support the printing of PDF417 two dimensional barcodes as part of the back office cash account production process. This will be done using the above printing facility.

2.8 The counter printer proposed by Pathway is a dot addressable printer which can support the printing of barcodes on forms and the tally roll.

Pathway will require further discussions with POCL to discuss the particular applications or services that require barcode printing and the types of paper stock that are expected to be used.

2.9 The back office printer can support the printing of barcodes and will support code 128, EAN 8, EAN 13 and code 39.

Pathway Comment
Pathway would appreciate any examples of non-standard Cards which POCL wish to be supported.

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Reference No 556

Pathway Response
1. Pathway will support the reading of Schlumberger Smart Keys by using the existing APPUs developed by POCL. These will be connected to the counter PC's by RS-232. Counter positions with existing APPUs will be retain their units. Any new requirements will be met from the existing stock of APPUs.

2. Pathway understands that the number of APPUs current and planned for installation is approx. 250 units. In addition Pathway understand that the number of APPU units available is approx. 1000 units.

Should the actual number of outlets that require APPUs exceed the stock and approach 10,500 then Pathway would wish to discuss with POCL the use of alternative devices.

3. Pathway understand that POCL will determine those outlets that require support for Schlumberger Key.

4. The acceptability of an external peripheral device to provide support Schlumberger Key is noted.

Pathway Comment
Clarification is required on the likely number of smart key reader devices required when roll-out starts and the likely additional units that will be required during the contract period.

Reference No 557

Pathway Response
1. Pathway confirms that the OPS will have the flexibility for additional peripheral types to be added in future including input devices and printers.

2. Pathway confirms that at least 4 additional RS-232 connected peripherals may be added to a counter configuration subject to commercial considerations.

3. OCR capability

Pathway can supply a single hand-held scanner capable of reading both OCR code lines and one-dimensional barcodes if this capability is required. However this same device can not read two-dimensional barcodes.

If the initial BA/POCL requirement included only the one-dimensional bar code but the requirement for OCR capability was identified later then the additional price would include the cost of writing-off the one-dimensional bar code scanners, the purchase price of the new equipment and the service cost of physically replacing the equipment. In addition changes would be needed to

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any counter applications that are required to read OCR data, and changes would be required to any TMS Agents that are required to extract this additional data and provide it to POCL or their Clients.

4. Two-dimensional barcode capability

Alternatively, Pathway can supply a hand-held scanner capable of reading both two-dimensional barcodes and also one-dimensional barcodes. However this same device can not read OCR code lines.

If the initial BA/POCL requirement included only the one-dimensional bar code but the requirement for two-dimensional barcodes was identified later then the additional price would include the cost of writing-off the one-dimensional bar code scanners, the purchase price of the new equipment and the service cost of physically replacing the equipment. In addition changes would be needed to any counter applications that are required to read two-dimensional bar code data, and changes would be required to any TMS Agents that are required to extract this additional data and provide it to POCL or their Clients.

5. Teller Cash Dispensers

The Pathway OPS can physically support a connection to a teller cash dispenser via an RS232 port. The introduction of new peripherals will be subject to an agreed contract change control processes.

Pathway Comment
Peripheral connectivity

Pathway currently intend to provide an 8-port serial card on every PC. This together with two ports on the PC provides connectivity for 10 RS-232 devices. The following devices are the maximum that any one counter is currently expected to require :-

Touch Screen, MSR/SCR from keyboard, Wand, Counter printer, APPU, Scales

Total = 6.

With the minimum three spare ports required by BA/POCL, Pathway will have one additional port available (i.e. a total of 4 spare peripheral ports on a fully configured counter configuration).

OCR and Two-dimensional barcode capability

It is not possible to provide a single reading device capable of reading OCR, one dimensional barcodes and two dimensional barcodes. Therefore requirements 3 and 4 above are mutually exclusive. If POCL require a data capture method other than 1-D barcodes in a single device then either OCR or 2-D barcode capability must be specified.

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Support for 1-D barcodes can be provided with either of these choices.

Reference No 558

Pathway Response
1. Pathway fully appreciates the importance of transaction times to POCL. We believe that we have demonstrated to the POCL that the Pathway OPS does keep transaction times to a minimum.

2. Pathway confirms that the OPS is capable of supporting all of the defined business transactions at the current and projected volumes of business. This is subject to agreement as to deployment of full peripheral sets and software functionality. If any limits are to be proposed these will be declared as part of the "Scorecard" response.

Pathway Comment
None.

Reference No 559

Pathway Response
1. Pathway confirms that the OPS will be provided at each of the POCL's outlets.

2. Pathway confirms that the OPS will support the automation all POCL transactions in due course.

3. Pathway confirms that the initial implementation of OPS will be capable of supporting APS, BES and OBCS and EPOSS.

Pathway Comment
None.

Reference No 560

Pathway Response
Pathway recognises that technology will change during the period of the contract and both BA/POCL and Pathway will wish to take advantage of this.

1. Pathway is required to deliver services outputs to BA/POCL against the
stated service requirements, against demanding performance targets and against associated performance penalties. In order to deliver the services the Contractor must exercise operational control over all aspects of service delivery (the service inputs).

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This includes the selection and replacement of the equipment which is required to meet the BA/POCL service requirement. Pathway requires the right to replace equipment at outlets or to substitute different equipment during implementation in order that the contracted requirements can continue to be met.

Pathway recognise that BA/POCL will require assurance that any technology changes do not adversely impact the usability or functionality of the OPS. Pathway will provide advance notice to BA/POCL of any changes that are required to OPS and review any associated introduction or replacement plans. BA/POCL will not unreasonably withhold their support for such changes.

2. Pathway confirms that it will periodically review with BA/POCL the specification of the equipment being used and installed to ensure that the most appropriate technology is deployed.

Pathway welcomes these reviews as a mechanism to ensure that the OPS continues to meet Pathway's service obligations, and to consider the impact on the OPS specification of any future Service extensions required by BA or POCL.

Pathway Comment
In a contract lasting many years there are numerous possible reasons why the Contractor
may need to replace or substitute equipment and not all of the possible reasons can be foreseen now.

Reference No 561

Pathway Response
Pathway confirms that it will indemnify BA/POCL against any dispute of the suppliers' or BA/POCL's right to utilise the hardware, software or information used for any of the supplied services including third party challenges with reference to licensing or intellectual property rights. In the event of any dispute Pathway will use its best endeavours to ensure that there is no impact on service.

Pathway Comment
None

Reference No 691

Pathway Response
1. EPOSS will allow an authorised user to place an order for cash and stock by denomination as part of the office administration function. The set of stock and cash comprising an order will be recorded and identified as a set.

2. EPOSS will allow an authorised user to declare and record stock and cash transfers into and out of the Outlet. The set of stock

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and cash comprising an order will be recorded and identified as a set. EPOSS will produce a printed version of the stock and cash requisition and consignment notes.

3. Pathway assumes that this requirement is referring to the update of stock and cash levels (rather than stock and cash reference data). If this is the requirement , then EPOSS will provide a facility to enable, at a remote location, Outlet stock and cash levels to be determined and to allow a transfer into or out of the Outlet to be instigated via TMS or a remote source. The Outlet will receive details of the transfer via TMS.

4. EPOSS will allow the declaration of physical stock and cash received to be recorded and reconciled against the consignment note. EPOSS will allow discrepancies will be recorded in such a way that the consignment note is explicitly identified.

Pathway Comment
None

Reference No 692

Pathway Response
1. In general, the outstanding customer session balance can be settled by a single MoP or a combination of two or more MoPs (e.g. part cash and part cheque).

EPOSS will be capable of enforcing a set of rules for a transaction which will determine whether that transaction must be settled and committed in its own right. For example, a DNS savings account deposit transaction can be considered to be committed when the passbook entry is made and stamped. This suggests that the settlement should be an intrinsic part of the DNS transaction.

EPOSS will be able to enforce a set rules for any transaction which will determine the MoPs allowed for that transaction.

2. EPOSS will allow the introduction of new types of MoP by implementing the MoPs in a generic manner similar to other products/transactions. As such, EPOSS will allow new MoPs to be introduced dynamically via reference data and applets.

3. EPOSS will implement EFTPOS, handling debit cards, as a method of payment from the first quarter of 1997. Consideration will be given to the support of credit cards from the outset and EPOSS will have the inherent capability to handle both debit and credit cards from the start of the EFTPOS service.

The volumes quoted, while not surprisingly high, are nevertheless high in absolute terms and will generate considerably higher daytime telecommunications costs for the PFI service as a whole.

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It is understood that cashback will not be required initially but might become a requirement in the future. EPOSS will ensure that cashback can be implemented as and when it is required.

Pathway recommends Girobank as the preferred supplier of the "Merchant Acquirer" services for EFTPOS. On-line authorisation will be routed via TMS and EFTPOS transactions and summaries will also be transmitted via TMS.

EPOSS will provide daily reconciliation of its EFTPOS transactions against information from the banking/financial clients.

Pathway will consider the storage and access requirements for signed receipts and will propose a preferred approach shortly. Currently, Pathway favours the storage of signed receipts centrally by Girobank as an additional service to the Post Offices. The storage and retrieval procedures will take into account the 0.2% receipt retrievals anticipated.

The options for the implementation of EFTPOS are currently under consideration and will be presented separately on finalisation.

The general benefits of transactions involving EFTPOS are expected to include:

increased average value of transactions and increased value of single transactions such as catalogue (e.g. Argos) sales

increased number of transactions - due to attraction of cashback

increase number of customers from higher socio-economic group

earlier payment of MVLs, bills etc.

payment of bills at counters which currently require cash at the counter or a cheque by post. E.g. Giro transcash foils with "Cheque NOT Acceptable at PO Counter"

reduced handling costs (compared to cheques)

reduced clearing time (compared to cheques)

Pathway Comment

70% (at £15 floor limit) on-line authorisation seems high and may result in annoying delays and lengthy queues. Stop press - Girobank state that £15 limit is a Switch rule and that VISA and Mastercard are higher.

Is cashback very different from a cash withdrawal? Stop press - Girobank state that card scheme rules preclude cash withdrawal at retail counters (including post office counter) but cashback is allowed.

Is POCL expecting to be or to nominate the "Merchant Acquirer"?

Reference No 693

Pathway Response

1. EPOSS will allow a VAT style customer receipt to be produced at the end of the customer session. The receipt will be optional and will be printed if requested by the operator.

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2. Some transactions will automatically produce a customer receipt.

3. The format of all receipts will be agreed with POCL.

4. The header/footer will be printed in Welsh and/or English as required.

5. The facility will be provided for the printing of one or more copies of a receipt following the end of one customer session and before the beginning of the next customer session. The second and subsequent copies of a customer receipt will be marked as "duplicate".

Pathway Comment
None

Reference No 694

Pathway Response
1. All transactions will be recorded using a Point of Sale function. This function will provide a consistent method for invoking fixed price product sales, simple open value transactions and complex transactions. The recording of information for all transactions will be handled in a consistent manner.

2. Transaction data captured during other services will be recorded via EPOSS.

3. EPOSS will allow the manual entry of weight values where the scales are not linked. In fact, EPOSS will allow manual entry of any information that is normally captured via a peripheral to cater for the cases where the peripheral is not connected, or has failed, or is unable to read for other reasons (e.g. illegibility).

4. Where transaction data will be captured through a peripheral reading device, the invocation of the transaction will be event-driven.

5. EPOSS will be able to read data from any appropriate input device which is part of the OPS.

Pathway Comment
None

Reference No 695

Pathway Response
1. EPOSS will provide a function for declaring actual cash and stock on hand as part of the stock unit balancing process. Cash

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will also be declared as part of the daily cash locked up function or an electronic ONCH form.

2. The number of stock units and their setup will be under the control of the manager of the Outlet as part of the office administration functions. EPOSS will provide facilities for creating and deleting stock units as well as setting stock unit "sharable" attribute to cater for local working practices.

3. The stock unit management facility will allow changes to stock unit options and assignments.

4. EPOSS will allow stock unit sharing where a stock unit is attached to more than one user at the same time. This will be optional so that sharable and non-sharable stock units can be used within the same Outlet.

5. EPOSS will allow each stock unit to be balanced as often as is required within a cash account week. Balancing will involve the declaration of cash and stock by denomination.

Sharing a stock unit results when it is attached to more than one user at the same time. When sharing a stock unit, a group of users will be able to divide the administrative functions amongst themselves. For example, the declaration of cash and stock on hand can be carried out by each user. Each declaration will represent that user's proportion of the total for the stock unit. The aggregated total for the stock unit will be used for subsequent balancing operations on the stock unit.

6. EPOSS will allow an office balance to be produced at the end of the week by amalgamating the stock unit balances.

The system will provide an office level snapshot, at any time, of transactions, cash and stock levels across all stock units. The same facility will be available to provide an instant snapshot of the transactions and contents of any single stock unit.

7. EPOSS will produce an office cash account (conforming to the approved format) which will include information regarding manual voucher transactions, automated voucher transactions, suspense account position, and cash and stock totals. An office balance brought forward value will be derived for inclusion in the next accounting period.

8. EPOSS will control access to a stock unit by using an access level attribute. This will restrict its use to only those users with an appropriate privilege level. If it is not sharable then a stock unit can only be accessed by one user at a time. In addition, each user will be restricted to using only one stock unit at a time selected from a defined set.

Pathway Comment
None

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Reference No 696

Pathway Response
1. EPOSS will produce a daily report showing the cash held in the office. The format of the report will be agreed with POCL, although it will show cash held by denomination of bank note and coin.

2. EPOSS will provide daily and weekly summaries of transactions by stock unit for those transactions that require such reporting.

3. EPOSS will print on client cut sheet stationery using the counter printer or, if the physical size or layout of the stationery demands it, the A4 Outlet printer.

4. Pathway understands that the range of clients and their stationery varies considerably.

5. The format of all receipts will be agreed with POCL and bilingual Welsh/English printing of these will be provided as required.

6. The facility will be provided for printing more than one copy of a receipt following the end of one customer session and before the beginning of the next customer session. The second and subsequent copies of a customer receipt will be marked as "duplicate".

7. EPOSS will provide daily and weekly summaries of transactions by stock unit for those transactions that require such reporting.

8. EPOSS will print on client cut sheet stationery in support of Girobank and the PDR summarisation.

9. EPOSS will produce reports using the counter printer and the A4 Outlet printer as appropriate to the physical printing requirement. The reports will conform to client specifications and will be produced at stock unit and office level as required.

10. EPOSS will allow reports and summaries to be previewed on screen as well as (or instead of) printed.

Pathway Comment
None

Reference No 697

Pathway Response
The clause 801 and schedule A3 of the related agreements applies to this requirement.

Pathway Comment

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None.

Reference No 698

Pathway Response
Pathway shall use all reasonable endeavours to minimise and control liabilities to itself and the Contracting Authorities.

Pathway will set up an organised security infrastructure covering:

- Security Policy
- Allocation of Security Responsibilities
- Security Education and Training
- Reporting security Incidents
- Physical Security Control
- Virus Control
- Business Continuity
- Control of Proprietary Software
- Safeguarding BA and POCL Records
- Information Classification
- Compliance with data Protection and other legislation
- Information Exchange Control
- External Contractors and Suppliers
- Compliance with Security Policy
- The management of fraud and risk within the solution during service operation

Pathway confirms that it will comply with BS7799.

For further details of Pathway's approach to the control and minimisation of benefit payment-related security risks, we refer you to the document "Benefit Payment Service - Security Proposal", which was submitted to the BPS Security Review Panel on 21/12/95.

For details of Pathway's approach to providing for integrity and privacy assurance in services other than BPS refer to requirement response 952.

Pathway Comment
None

Reference No 699

Pathway Response
The audit trail comprises two major segments of information corresponding to the two major elements of the PFI, namely the Benefit Payment Service and the Strategic Infrastructure Service together with its Systems Management function. The information processed by the BPS and SIS partly overlaps as benefit authorisation and procedural data passes from BPS to SIS and encashments, expiries and operational data returns from SIS to BPS. The Systems Management function provides the audit trail

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with a record of operational events, inventory, distribution and remote operations.

A systematically important place in the system is the junction between BPS and TMS where data crosses over. In doing so a logical copy of it is generated such that there is a representation of it in each element affording reconciliation of audit. Consistent identity of file, record and field will be maintained across both environments. As payment authorisation data is transferred from PMS to TMS service, the transaction log database within PMS is updated and new authorisation records are created within TMS. When encashment or expiry transactions are transferred from TMS to PMS, the PMS transaction log database is also updated.

The BPS element of the audit trail

1. Transactions, both programmatic and operating, passing through BPS in normal operation are recorded at the CAPS gateway and at PMS or CMS, according to content, in the subsystem's respective journal. The scope of PMS and CMS extends to their respective help desks and transactions handled in these sub-services also similarly recorded. The audit trail is maintained during periods of fallback and recovery: all BPS equipment is duplicated at separate geographical sites, each capable of handling the complete workload in the event the other is not available. Normal, fallback and recovery transactions are recorded.

The audit log will include the following:

* file receipt from/despatch to CAPS, including file sequence numbers and record control totals
* file receipt from/despatch to PMS/CMS, including file sequence numbers and record control totals
* control checkpoints and any restarts during file transfer operations between CAPS and PMS/CMS
* All exception conditions (e.g. file sequence or control total failures)
* All systems access via operations staff

Within PMS each individual payment authorisation will be logged in the database to support transaction level audit and reconciliation.

Standard reports will include all exceptions events (e.g. sequence or control total failures), plus daily/weekly/monthly control summaries.

PMS will produce a full set of operational and audit reports as specified by the BPS MIS requirements.

The audit log of transfers between CAPS and the File Reception system will be held at both the CAPS site of operation with a copy transferred to the Pathway site of PMS/CMS operation. All other audit log data for BPS will be held at the PMS/CMS site.

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2. The audit trail will record for file based data transfers all transfers of files at entry and exit to BPS and between subsystems of the BPS, and the processing of files. For transactional based data transfers, logging will be at the message level. For manual actions the audit trail will record the discrete control language level event.

3. Transactions recorded in the BPS audit trail will identify the auditable event itself, date and time, and the cause, effect and owning organisation or individual as appropriate.

4. The audit trail will allow the tracing with certainty of activities that utilise more than one of the services to be traced from start to finish, or from an intermediate point in any direction.

5. The audit trail will provide information to allow the original transaction to be recreated.

6. The content of the audit trail will be agreed explicitly between Pathway and BA/POCL.

7. Audit trail records will provide information for a period consistent with the Companies Act.

8. Pathway will provide BA/POCL with reasonable access to the BPS audit trail. Facilities will be provided for secure interrogation of the audit log under appropriate access control privilege.
PMS will provide secure access facilities to interrogate the status of all payments during the cycle of payment receipt from CAPS to return of encashment or expiry data to CAPS. The PMS transaction log database and related MIS will be available for access, subject to appropriate security clearance, by standard SQL tools for query, reporting and data analysis.

9. The audit trail will have a level of security such that it cannot be altered or deleted. In general journals are written as append-only files and owned at the system level and protected by the subsystem's access control .

10. The integrity of the audit trail will be maintained during periods of partial or complete service loss or failure. Starting and restarting transactions will make audit trail entries recording the event and indicating if appropriate what resetting of the environment left by a failed predecessor it undertook. Pathway will keep copies of systematically vital files, including the audit trail at the alternate BPS site.

11. It will be possible to provide a suitable legal assurance as to the integrity of the audit trail.

12. Any changes to the services provided by Pathway will be the subject of discussion and agreement with BA/POCL. Technological change may be one of the implications of a service change (e.g.

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the introduction of a new back-end servers and peripherals). The ability to maintain the facilities associated with audit will be one of the acceptance criteria governing the introduction of any change. In the event that the audit trail medium becomes obsolete it will be securely copied to a medium that will be serviceable for the required lifetime of the content.

The SIS element of the audit trail

1. All transactions that pass through TMS are recorded in the journal. The journal will be maintained on magnetic media within TMS for a period currently planned to be 90 days. Following this the journal data will be archived to optical storage. The current or archived TMS journals can be accessed to provide an audit trail of all TMS transactions.

Some fallback scenarios will still be capable of recording a transaction in the TMS journal, e.g. keyed entry of BA card. Other scenarios will require data capture by alternate means and subsequent introduction to TMS (e.g. manual AP transactions due to equipment failure). In these situations the transaction details will be captured in bulk by Pathway from the paper vouchers and introduced to TMS typically the following day.

The distributed nature of the Pathway TMS enables an Audit trail to be maintained and accessed during any recovery of a TMS server.

2. The audit trail provided by the TMS journal will record all file transfers, messaging or transactions, and the processing that originated these messages. Processing may either have originated from a service running on OPS in an Outlet, or be a bulk data capture process provided in a fallback scenario.

3. Transactions recorded in the TMS journal will contain some standard information and then variable data depending on the process that originated them.

Standard data will include :-

Post Office ID	- The unique ID of the Outlet
Position ID	- A unique ID of the counter within the Outlet
Session ID	- A unique ID that identifies an individual customer session
Transaction ID	- A unique ID within the Outlet for a transaction that forms part of a customer session
Date	
Time	
User	- A unique user name of the counter clerk initiating this transaction
Application	- An OPS application service

Variable Data will include :-

Transaction details 1

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Transaction Details n

e.g. Transaction details for a BA encashment (Out - payment) would include :-

Payment ID	The unique payment number
Debit Amount	Amount Paid
National Insurance Number	
Transaction Type	Out-Payment
Transaction Code	Specific Benefit ID
Receipt Details	If one or more receipts were printed
Keyed ID	If keyed input took place
Keyed Reason	Reason code for keying

4. Activities that use more than one service may be traced from start to finish with certainty, or from an intermediate service.

A typical customer session in an Outlet may comprise the use of BES (encash benefit), APS (pay bill) and EPOS (purchase stamp). All these transactions will be recorded in the local outlet journal and each will contain the same unique session ID to identify that they occurred as one set of customer transactions at the counter. Each transaction will also record data specific to that transaction (e.g. benefit encashment - see above).

Transactions are then replicated to the central TMS and are subsequently extracted for processing and dispatch to a variety of host systems (e.g. PMS, POCL, POCL-Client systems). Each transaction will retain the attributes that enable its source and any associated
transactions to be identified (e.g. transaction ID, session ID etc.). This data may be interrogated, subject to agreed procedures with Pathway, at any point in this process from transaction origination in an Outlet to Client specific datafiles just prior to dispatch.

5. Data recorded in the journal will be sufficient to allow a transaction to be recreated. Pathway will be pleased to discuss the recording of any specific data items that may be required by BA/POCL.

6. The content of the audit trail will be agreed between Pathway and BA/POCL.

7. Audit trail records will provide information for a period consistent with the Companies Act .

8. Pathway will provide BA/POCL with reasonable access to the audit trail provided by the TMS journal.

9. Once transactions are written to the TMS journal they can never be altered or deleted.

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10. TMS comprises a number of servers separated across two geographically remote sites. The service is resilient against the loss of individual servers or of a complete site.

Data within TMS is replicated within the local data centre and to the remote datacentre. When failed servers or a complete site is restored, all transactions are synchronised to bring each server up to date. The TMS service continues operating during this process.

Should both data centres supporting the TMS servers fail, the Outlets would continue largely unaffected. Transactions (local benefit encashments, AP and EPOS transactions) would continue in each Outlet and be recorded in the local journal. When the central TMS is restored synchronisation would take place with each Outlet to bring the central TMS up to date.

11. It will be possible to provide a suitable legal assurance as to the integrity of the audit trail.

12. Any changes to the services provided by Pathway will be the subject of discussion and agreement with BA/POCL. Technological change may be one of the implications of a service change (e.g. the introduction of a new counter peripheral). The ability to maintain the facilities associated with audit will be one of the acceptance criteria governing the introduction of any change. In the event that the audit trail medium becomes obsolete it will be securely copied to a medium that will be serviceable for the required lifetime of the content.

The Systems Management function

The Systems Management Service provides a repository for the recording of all physical events affecting the platforms which support the SIS, that is TMS and the OPS. All these environments operate under Windows NT and are managed from the SMS server. The SMS provides, in conjunction with the native Windows NT and messaging middleware services, a comprehensive facility for trapping, recording and interrogating audit events relating to the operational status of the hardware, software and applications running within the SIS.

Windows NT auditing features enable the recording of events such as which users access which objects, what type of access in being attempted and whether or not the attempt was successful. Administrative privilege is required for controlling audit and auditing policies within the Windows NT Registry.

Audit events may be viewed through the Windows Event Viewer with appropriate access security measures, or may be accessed by applications to undertake routine audit analysis. Events related to the router network are similarly forwarded to the network management server, for storage for audit or operational planning purposes.

Pathway Comment

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None

Reference No 700

Pathway Response
1. Pathway will supply and issue Benefit Payment Cards to authorised persons only when notified by CAPS.

2 Changes to personal details will be accepted only via CAPS.

Pathway Comment
None

Reference No 701

Pathway Response
All Benefit Payment Cards and temporary tokens issued by Pathway will remain the property of the Secretary of State.

Pathway Comment
None

Reference No 702

Pathway Response
Pathway confirms that Cards will only be used for benefit payment unless authorised by the Secretary of State.

Pathway Comment
None

Reference No 703

Pathway Response
Pathway confirms that the design of Pathway's Benefit Payment Cards will be subject to the approval of the Secretary of State. Pathway will require a minimum lead time of 4 weeks from such approval to dispatch of the first cards.

Pathway Comment
None

Reference No 704

Pathway Response

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Pathway will supply and maintain cards in a reasonable number (up to 7) of livery and logo styles as requested by the contracting authorities.

Pathway Comment
Pathway expects this number to be four (4). Pathway affirms that it would regard a number up to seven (7) as reasonable.

Reference No 705

Pathway Response
Pathway confirms that Benefit Payment Cards will show the following details:

NINO
Authorised Person Initials & Surname
Card ID No
Expiry Date.

Pathway Comment
None

Reference No 706

Pathway Response
1 Pathway has adopted the financial industry numbering standards, specified for Benefit Payment Cards.

2 All Pathway cards will bear unique identification numbers.

Pathway Comment
None

Reference No 707

Pathway Response
1 Pathway's solution allows for emergency encashments, authorised by the Benefits Agency, when a valid card is not available.

2 Temporary Tokens may be issued by the Benefits Agency for the purposes of encashment within an agreed time frame.

3. Stocks of Temporary Tokens (paper based) will be held under secure conditions in each benefits Agency office - to the same security standards as currently used for Girocheque stocks.

4. Each Temporary Token will have a unique number pre-encoded.

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5. On issue at the BA office the customer will sign the token in the clerks presence and nominate a post office for encashment. The BA office will key into CAPS the details of the token:

- unique serial no.
- customer's NINO
- amount of payment

These details will be transmitted within 30 minutes to the nominated post office via PMS.

6. On presenting the temporary token at the counter the pre-encoded details will be swiped with a light sensitive pen which will bring up the payment and customer info on the screen. Security questions will be asked to verify customer bona fides if not known to the counter staff.

7. The customer will sign the receipt which will be checked against the signature on the token. Encashment details will then be updated on the system.

8. Both the token and receipt are forwarded for storage.

9. As an alternative to Temporary Tokens, a replacement card could be issued urgently for collection by the customer at the nominated post office if the customer is able to wait before collecting his payment.

Pathway Comment
Attention is drawn to the Pathway proposals for the management of emergency payments and temporary tokens contained in the BPS Stream Paper the most recent version of which is dated 8 January 1996. Pathway would welcome discussion of these proposals leading to agreement.

Reference No 708

Pathway Response
1 Pathway will conform to the financial industry standards for Card usage and receipting. Information has been provided in the document entitled "The Pathway Benefit Payment Service - Security Proposal" , dated 21/12//95.

2 The life expectancy of Pathway's cards will be agreed with the DSS and will be typical of cards used in the finance industry. Pathway proposes a magnetic stripe card to be renewed every three years. The solution also supports Integrated Circuit memory cards, as described in the Pathway Risk Response to risk 78, the life expectancy is five (5) years.

2 The life expectancy of Pathway's cards will be agreed with the DSS and will be typical of cards used in the finance industry. For magnetic cards the life expectancy is three (3) years. For

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Integrated Circuit memory cards, as described in the Pathway Risk Response to risk 78, the life expectancy is five (5) years.

Pathway Comment
None

Reference No 709

Pathway Response
1 Pathway acknowledges that it will migrate to IC Smart Card technology if required in the future. Pathway anticipates that the commercial terms for the provision of smart cards will be agreed under contract change control.

2 Pathway has proposed a flexible technical solution for Benefit Payment Cards which will readily facilitate this migration.

Pathway Comment
None

Reference No 710

Pathway Response
1 Pathway's solution allows for the deployment of successively more secure anti-fraud measures without significant change to its proposed architecture.

2 These measures may be introduced through Pathway's
Flexibility of design
Security and access control mechanisms
Verification and authentication procedures
Card design

3. Please refer to section 12 of the Pathway response to the security review, Risk reference 12a and Annex 9 of the Pathway main response which provide more detail.

Pathway Comment
Pathway draws the attention of BA/POCL to, in particular, the BPS Security Proposal, 21 December 1995, and the Pathway Response to risk 78.

Reference No 711

Pathway Response
1. The data used for payment verification at the counter comprises the data on the card, both visible and on the magnetic stripe, and "verification data" provided for a cardholder by CAPS.

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2. Whenever the cardholder data (i.e. the cardholder as assigned within CMS) is updated, CMS will, in association with BES, provide for "old authorisations" to be collectable against the current valid cardholder profile.

3. The supplementary verification data provided by CAPS comprises the cardholders address, date of birth and style or title. The style or title will be used as a piece of information to support normal visual verification since this will usually correspond to the customer's apparent sex. (Style or title will not be included in the customer's name printed on the card.)

Elements of the cardholders address (such as the number of street) or of the customer's date of birth (such as the month of date of birth) will be used in formulating "blind verification screens". These will be used in higher risk encashment situations only, such as foreign encashments. BES will prompt the clerk to ask the customer for such an element which will be checked by the system. At no point will the whole of the address or date of birth be visible to the clerk.

This supplementary verification data will be sent from CAPS as an update to CMS. (Note that enhancements will be required to the interfaces described in "CAPS Programme CAPS to PMS/CMS Definitions", Version 4, 8/11/95, to accommodate the style or title and date of birth). This data will be used to "enrich" payment authorisations.

The verification screen will carry the date at which the last cardholder update to verification data was received. If the cardholder has recently moved, the Authorised Person can reply in terms of the correct address, or the clerk can steer him to a date of birth-based verification question. In this manner, the Authorised Persons ability to collect an authorised payment will not be adversely affected or the transaction time extended.

Pathway Comment
None

Reference No 712

Pathway Response
Pathway's card design will conform to the relevant ISO and APACS standards as detailed within the Benefit Payment Card Technical specification.

Pathway Comment
None

Reference No 713

Pathway Response

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Pathway's CMS solution ensures that card renewals at the end of their life expectancy are automatic unless notification has been received from CAPS that further cards are not required. The renewal of the card is effected by CMS passing instructions for a card to be manufactured, personalised and despatched to the nominated office some five weeks in advance of nominal expiry. At the same time a PUN will be produced and sent to the customer's address for correspondence. Activation of the card occurs in the nominated post office, information from the PUN being used to activate the card. A receipt section of the PUN is retained by the post office. The activation of the new card causes the simultaneous stopping of the old card. Benefits can be encashed by the one currently active card.

Pathway Comment
None

Reference No 714

Pathway Response
1 During the month prior to the month the card is due to expire, Pathway's CMS will automatically trigger its renewal.

2 Pathway's standard process will ensure that the renewal card is available for collection at the nominated post office by the Authorised Person at least five (5) weeks before expiry date of the original card.

3 Pathway's solution will ensure that the card renewal process does not impinge upon the Authorised Persons ability to collect benefits and there is no impact on DSS offices.

Pathway Comment
None

Reference No 715

Pathway Response
Pathway will ensure that replacement cards are available for collection by the Authorised Person within service levels agreed between Pathway and DSS (e.g. 48 hours) of notification by the DSS, the post office or the Authorised Person.

2 Cards which are required to be replaced will be invalidated and may no longer be used. To protect against fraud, this process will not be reversible, and the Authorised Person must collect a replacement card.

Pathway Comment
DSS may wish to consider that where a card is to be replaced for a fundamentally non-urgent reason, such as change of name on

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marriage, a longer period for replacement which could attract a lesser charge, may be preferable.

Pathway understands that the card type may need to be changed when a customer's circumstances change such that a change in card livery (e.g. to or from War Pension) is indicated.

Reference No 716

Pathway Response
CMS will accept a notification from CAPS when an Authorised Person no longer requires a card and will send no further cards to that Authorised Person. For the present, Pathway assumes this notification will be in the form of an End of Customer Interest File entry from CAPS as specified by the "CAPS Programme CAPS to PMS/CMS Definitions", Version 4, 8/11/95 (Section 4.1.2).

Pathway will remove the data from the operational database and will store the data archive as defined within the agreed Archiving Policy between Pathway and procurement.

Pathway Comment
It may be that CAPS would prefer to distinguish between "end of customer interest" in the sense that the customer details are certain not to be required in the future, as would be the case on death or emigration, and "end of card interest" where the customer is not now, perhaps just temporarily, in receipt of benefits because of a change in his personal circumstances. If this is the case then the CAPS interfaces need to be enhanced to this effect.

Pathway would point out that while customer data is being maintained in this "dormant" state CMS-related charges would be incurred.

Pathway recommends the following as a consistent descriptive basis for normal, non-counterfeit card status's. Ordinary cards in the inactive and active states can also be suspended or unsuspended. Cases which apply to ordinary cards are underlined. Cases which apply to temporary tokens are in italics.

Inactive	
Uncollected	Yet to be activated, in transit or at post office
Unissued	Yet to be issued by benefit office
Lost	Did not arrive by due time
Stolen	Stolen from post office or benefit office
Damaged	Could not be activated/issued
Returned	Was not activate/issued by due date and returned

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Active	
In use	Activated, the normal state
Stopped	With reasons reported lost
reported stolen	
reported damaged	
customer denied use	
Dormant	Notified no further interest
Shot	Used temporary token
Cancelled	Dormant card not replaced when otherwise due

The following "glossary" defines words which have been used from time to time in this context:

Invalidated = Stopped. A stopped card or temporary token cannot be unstopped, just replaced.

Terminated = Cancelled.

Reference No 717

Pathway Response
1 When a Card has been renewed, CMS will invalidate the original card when it expires or when the new card is activated, whichever occurs first.

2 CMS will not allow the new card to be used until the old card has been invalidated.

Pathway Comment
None

Reference No 718

Pathway Response
Pathway will ensure that, subject to the precedence of the rules expressed in these requirements, the issue of initial, renewal and replacement cards does not adversely affect the Authorised Persons ability to collect authorised payments.

Pathway Comment
None

Reference No 719

Pathway Response

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Pathway's card distribution method and its security will be discussed and agreed in advance with the DSS. Attention is drawn to the Pathway BPS Security Proposal, 21 December 1995.

Cards will emerge from card production batched according to destination post office and sealed in shrink wrap. Within each shrink wrap will be a batch summary which will contain the batch identity in bar code format and the number of cards in the batch. Transport will be via Royal Mail who will sign for each batch , arrange secure delivery and obtain a signature at the post office on delivery. On arrival at the post office normally the batch will be "wanded in", i.e. by reading the bar-code with a light sensitive pen (if this fails the bar-code number will be keyed in). The post office clerk will count the number of cards in the batch and confirm that this agrees with the details on the screen. If there is a discrepancy each card will be swiped through - excess cards will be stopped automatically and the cards destroyed. Cards missing will be automatically stopped and re-orders placed. Reports will be produced for investigation.

CMS will track the batch into and out of production and, critically on arrival at the post office. If the batch does not arrive by the expected time then the CMS Help Desk will prompt the post office to "wand in" if it has arrived. If the batch does not arrive by a drop-dead point in time (because of loss, theft, destruction or inordinate delay in transit) then Pathway will initiate replacement of the batch and, where necessary, associated PUNs.

Pathway Comment
This scope of this requirement is assumed to exclude temporary token management.

Reference No 720

Pathway Response
Pathway will ensure that CMS records the following data :

1. The date and the time of the request from CAPS to issue a Card

2. The date, time, and location of a card's production, and its destined collection location or Authorised Persons address.

3. Expected date of arrival of the Card at the collection location or address

4. Method of card delivery

5. The date and time of receipt of a card at its destination location.

6. Pathway's proposal for the handling of expired, damaged or uncollected cards is that the post office should be responsible for their destruction. The card should be mutilated by hole

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punching the magnetic stripe and then disposed of securely. This process is similar to that in use currently for the disposal of Benefit Payment Books and results in a more cost effective solution with minimised risk of fraud. At the end of each day, Pathway's systems will generate a "cards returned" report that can be checked by the post office supervisor.

7. Pick Up Notice issued date, time, method of delivery and destination.

8 Pathway's card collection and activation procedures will include verification of the Authorised Person. Upon receipt by the Authorised Person, the appropriate status will be recorded within CMS.

9. Cards incapable of activation and issue to the Authorised Person due to being damaged or unserviceable will be recorded during attempted activation. The system will automatically re-order a replacement card and PUN.

10 The issue of a reminder to an Authorised Person after (initially but subject to review) 40 days of non-collection of the Card requesting that they pick up the Card or contact the DSS to inform them of any change of circumstances.

Pathway Comment
None

Reference No 721

Pathway Response
Pathway will ensure that Authorised Persons are notified, where necessary (cross-refer to Reference No 750 for PUN issue details), that a new or replacement card is available for collection by the issue of a pick up notice (PUN). The delivery of the PUN will be synchronised with delivery of the Card to the collection point so that the card will be available for collection as soon as the PUN is received.

The responses to subsequent questions follow:

Where is the PUN sent to?

To the address for correspondence; normally the beneficiary's home.

Where is the PUN sent to for a customer of No Fixed Abode?

To a specified Benefit Office.

What is meant by synchronised delivery?

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PUN will arrive at the address for correspondence after the card has arrived at the Post Office.

Pathway Comment
None

Reference No 722

Pathway Response
Pathway confirms that the card authentication method will be positive rather than negative, resistant to forgery or other unauthorised manipulation and will include an agreed mechanism for identifying the attempted use of counterfeit or invalid cards and temporary tokens. Please see also the document entitled "The Pathway Benefit Payment Service - Security Proposal", dated 21/12/95.

Pathway Comment
None

Reference No 723

Pathway Response
Pathway confirms that cardholder verification methods will be resistant to impersonation and will include an agreed mechanism for identifying the attempted use of a card or temporary token by unauthorised persons. Please see also the document entitled "The Pathway Benefit Payment Service - Security Proposal", dated 21/12/95.

Pathway Comment
None

Reference No 724

Pathway Response
Note this requirement and requirement 727 both use the term invalidation. Please refer to the Pathway notes below for proposed use of terminology.

Interactive responses should be targeted in terms of percentile distributions rather than an average or absolute figure.

CMS will in 95 per cent of cases automatically and within two (2) seconds of receiving a card stop notification stop a card or temporary token and change and record the new status. This process will render the card or temporary token status (active), stopped, with reason customer denied use.

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Pathway Comment
Pathway recommends the following as a consistent descriptive basis for normal, non-counterfeit card status's. Ordinary cards in the inactive and active states can also be suspended or unsuspended. Cases which apply to ordinary cards are underlined. Cases which apply to temporary tokens are in italics.

Inactive		
Uncollected	Yet to be activated, in transit or at post office	
Unissued	Yet to be issued by benefit office	
Lost	Did not arrive by due time	
Stolen	Stolen from post office or benefit office	
Damaged	Could not be activated/issued	
Returned	Was not activated by due date and returned	
Active		
In use	Activated, the normal state	
Subject to alert monitoring		
Stopped	With reasons:	reported lost reported stolen reported damaged customer denied use
Dormant	Notified no further interest	
Shot	Used temporary token	
Expired		
Cancelled	Dormant card not replaced when otherwise due	

The following "glossary" defines words which have been used from time to time in this context:

Invalidated = Stopped. A stopped card or temporary token cannot be unstopped, just replaced.

Terminated = Stopped.

Reference No 725

Pathway Response
1 Pathway confirms that the CMS will invalidate cards / Temporary Tokens which are notified as being not received within 3 working days of the expected delivery date.

2 CMS will track the card or Temporary Token batch into and out of production and critically on arrival at the post office or benefit office (Temp Tokens). If a card batch is not booked in by a post office say within 2 days of the expected delivery date, the CMS help desk will prompt the post office to confirm the batch arrival and record its arrival into CMS.
In the case of the a temporary token, Pathway will track the batch movement with the distribution courier and progress any issues with the both the BA office and the courier by telephone.

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If in any circumstance a batch does not arrive by a drop-dead point in time (because of loss, theft, destruction, or inordinate delay in transit) Then Pathway will initiate replacement of the batch and where necessary associated PUN's.

Pathway Comment
Benefit offices will be required to telephone the CMS Help Desk to confirm arrival of temporary token batches.

Pathway recommends the following as a consistent descriptive basis for normal, non-counterfeit card status's. Ordinary cards in the inactive and active states can also be suspended or unsuspended. Cases which apply to ordinary cards are underlined. Cases which apply to temporary tokens are in italics.

Inactive	
Uncollected	Yet to be activated, in transit or at post office
Unissued	Yet to be issued by benefit office
Lost	Did not arrive by due time
Stolen	Stolen from post office or benefit office
Damaged	Could not be activated/issued
Returned	Was not activated by due date and returned
Active	
In use	
Activated, the normal state	
Subject to alert monitoring	
Stopped	With reasons reported lost reported stolen reported damaged customer denied use
Dormant	Notified no further interest
Shot	Used temporary token
Expired	
Cancelled	Dormant card not replaced when otherwise due

The following "glossary" defines words which have been used from time to time in this context:

Invalidated = Stopped. A stopped card or temporary token cannot be unstopped, just replaced.

Terminated = Stopped.

Reference No 726

Pathway Response

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1 Pathway will automatically and immediately invalidate a card if it has not been collected from the collection location by the Authorised Person within 56 calendar days of the date of the issue of the pick up notice (PUN).

2 Temporary tokens will be invalidated 7 calendar days from the date of issue.

Pathway Comment
Immediately is a very subjective term and could be used to describe a range of timescales ranging from microseconds to days. In this context we have taken it to mean a few hours.

Reference No 727

Pathway Response
Note this requirement and requirement 724 both use the term invalidation. Please refer to the Pathway notes below for proposed use of terminology.

Interactive responses should be targeted in terms of percentile distributions rather than an average or absolute figure.

CMS will in 95 per cent of cases automatically and within two (2) seconds of receiving a card or temporary token stop notification, following a report of loss, theft, destruction or damage beyond use by the Authorise person or the DSS, change and record the new status. The process will render the card or temporary token status (active), stopped, with reason reported lost, or stolen or damaged.

Pathway Comment
Pathway recommends the following as a consistent descriptive basis for normal, non-counterfeit card status's. Ordinary cards in the inactive and active states can also be suspended or unsuspended. Cases which apply to ordinary cards are underlined. Cases which apply to temporary tokens are in italics.

Inactive	
Uncollected	Yet to be activated, in transit or at post office
Unissued	Yet to be issued by benefit office
Lost	Did not arrive by due time
Stolen	Stolen from post office or benefit office
Damaged	Could not be activated/issued
Returned	Was not activated by due date and returned
Active	
In use	Activated, the normal state
Subject to alert monitoring	
Stopped	With reasons reported lost

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		reported stolen reported damaged customer denied use
Dormant	Notified no further interest	
Shot	Used temporary token	
Expired		
Cancelled	Dormant card not replaced when otherwise due	

The following "glossary" defines words which have been used from time to time in this context:

Invalidated = Stopped. A stopped card or temporary token cannot be unstopped, just replaced.

Terminated = Stopped.

Reference No 728

Pathway Response
Please refer to the Pathway notes below for proposed use of terminology.

Interactive responses should be targeted in terms of percentile distributions rather than an average or absolute figure.

CMS will monitor the transit, storage, activation, usage and status of all cards ensuring in 95 per cent of cases that status confirmation is available for secure and auditable enquiry by DSS within five (5) seconds of CMS being notified of a change.

Pathway Comment
Pathway recommends the following as a consistent descriptive basis for normal, non-counterfeit card status's. Ordinary cards in the inactive and active states can also be suspended or unsuspended. Cases which apply to ordinary cards are underlined. Cases which apply to temporary tokens are in italics.

Inactive		
Uncollected	Yet to be activated, in transit or at post office	
Unissued	Yet to be issued by benefit office	
Lost	Did not arrive by due time	
Stolen	Stolen from post office or benefit office	
Damaged	Could not be activated/issued	
Returned	Was not activated by due date and returned	
Active		
In use	Activated, the normal state	
Subject to alert monitoring		
Stopped	With reasons	reported lost reported stolen

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	reported damaged customer denied use
Dormant	Notified no further interest
Shot	Used temporary token
Expired	
Cancelled	Dormant card not replaced when otherwise due

The following "glossary" defines words which have been used from time to time in this context:

Invalidated = Stopped. A stopped card or temporary token cannot be unstopped, just replaced.

Terminated = Stopped.

Reference No 729

Pathway Response
Pathway will supply management information related to CMS operations in accordance with the appropriate detailed requirement defined in the BPS MIS Catalogue.

This response relates to the document "BPS MIS Requirements Catalogue", V1.0, 2/11/95 and the Pathway response thereto, reference - BPS/SEC/8:21/12/95.

Pathway Comment
The BPS MIS Catalogue and Pathway response should be referenced and the requirements placed under change control.

Reference No 730

Pathway Response
Pathway will provide a customer service helpdesk facility, accessed via a low rate call service, to deal with general enquiries, reports of loss, damage and theft of cards from Authorised Persons 24 hours a day, every day of the year.

Pathway Comment
None

Reference No 731

Pathway Response
Pathway will provide secure and auditable access to CMS to enable authorised DSS staff to notify card or temporary token termination. Once a card or temporary token has been terminated it may not be re-instated. This requirement will be satisfied using

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the CAPS interface to CMS prior to an on-line service being provided direct to BA staff.

Pathway Comment
None

Reference No 732

Pathway Response
The means of providing on-line enquiries to BA staff remains to be agreed, particularly with respect to the building IT infrastructure to be employed. It is not anticipated that on-line enquiries will be a part of the initial release of the CMS service. When the specification is complete then Pathway confirms that the following minimum information will be displayed in response to enquiries made to the CMS:

- authorised persons NINO
- card identification number
- card status
- previous card status and date status changed.

Pathway Comment
None

Reference No 733

Pathway Response
1 Pathway will provide a help desk facility to support general and technical enquiries from DSS authorised users as defined within Service Levels and Remedies Schedule.

2 The availability of the help desk will be subject to review and may be changed under contract change control.

Pathway Comment
None

Reference No 736

Pathway Response
1 Pathway will ensure that a logical separation is maintained between CMS, PAS and POCL Infrastructure.

2 Pathway will maintain a detailed interface specification with the BA/POCL to describe this. See requirement response 951.

3 Attention is drawn to Pathway Risk Response 20A which deals with the separate status if PAS and TMS, and to Risk Response 55B which deals, inter alia, with the separate status of PMS and CMS.

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See Risk Response 55b, in particulars, sections 3.7 & 3.8.

Pathway Comment
None

Reference No 740

Pathway Response
Pathway will ensure that all relevant information produced at the request of the DSS shall be evidentially admissible and capable of certification in accordance with the Police and Criminal Evidence Act (PACE) 1984 and the Police and Criminal Evidence (Northern Ireland) Order 1989.

Pathway Comment
None

Reference No 741

Pathway Response
1. Pathway confirms that CMS will support the payment of all existing benefits through a phased programme of development and implementation. The order of the take-on of existing benefits will be agreed with BA prior to contract.

2. Pathway confirms that the CMS can be developed to support the payment of new and changed benefits as these are defined and agreed.

Pathway Comment
None

Reference No 742

Pathway Response
Pathway is aware of the requirements imposed by the Welsh Language Act 1993 and will ensure that CMS has the capability of producing Bi-lingual cards and collateral material as required for those Authorised Persons living in Wales.

Pathway Comment
None

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Reference No 743

Pathway Response
1 Management Information and Service Level reports will be available at least 5 working days before regular Service Review Meetings.

2 Reports required for ad-hoc meetings will be provided in agreement with the Authorities.

Pathway Comment
None

Reference No 744

Pathway Response
Service Level reports will indicate performance against all service levels detailed in the Service Level Agreement.

Pathway Comment
None

Reference No 745

Pathway Response
1 CMS will recognise the failure of an Authorised Person to collect a Card within 40 days of issue and send a reminder note to the Authorised Person advising them to pick up the Card or contact DSS within 14 days.

2 Cards remaining uncollected after 56 days from the date of issue will be automatically and immediately invalidated by CMS.

Pathway Comment
None

Reference No 746

Pathway Response
The contingency procedures adopted by Pathway were presented and discussed in some detail during the stream meeting in Q4, 1995 and were documented in final form in the stream meeting paper dated 21/12/95. The relevant sections are reproduced in full below.

The subject is dealt with in three topics:

Contingency arrangements, failure of service
Further analysis of the impact of Help Desk Authorisation
Discussion points on catastrophic local failures

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The latter topic includes a discussion of what measures might be taken by POCL and Pathway in partnership in the event that a post office loses its mains power supply.

Contingency arrangements, failure of the service (updated following discussions)

The diagram below, based on the Pathway proposal, but updated for the definition of CAPS and the changes in PMS and CMS platforms, shows the key points at which a failure can occur:

X1 - loss of a counter position. The office continues normally with one fewer counter running.

When the counter is available, either repaired or replaced completely, its filestore is resynchronised from adjacent counters.

X2 - loss of a single counter office. The office must fall back to manual procedures and several possible approaches to payment authorisation have been discussed.

These could be driven from a Payments Payable report, routinely printed the night before. The Pathway solution provides for this, but there can be no certainty that the Post Office will have printed this, particularly if a failure is a rare event. The content of the Payments Payable Report would also need careful scrutiny to avoid security risks: for example the expiry date should not be listed.

The office could use PMS Help Desk Authorisation procedures. Here the Help Desk acts as a "stand-in" post office with access to the authorisation data held within TMS, which is updated as manual authorisations are made. Manual receipts will be issued. (This solution copes equally with payments at the affected office and incoming foreign payments from other offices for retrieval from the failed office.) When the single counter office is available it restarts with its filestore resynchronised from TMS which has transiently become the holder of the more current dataset.

The preferred approach is to use the PMS help desk procedure as:

- this automatically maintains TMS integrity as manual authorisations are made
- the expected volume of calls is well within the projected capacity of the help desk -- this is further discussed in the following section
- the resulting increase in counter transaction time, whilst inconvenient, can be accommodated at single counter offices on the projected work volumes.

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X3 - TMS server failure. The TMS servers are grouped such that in a 2 by 2 by 4 formation each TMS server replicates to one in its own machine area, one on the alternate machine area in its own geography and one in the alternate geography. In the event of loss of a TMS server, the offices normally primed by that server will connect to another server. When the TMS server becomes available it will be resynchronised from others in its group and resume priming its office workload.

X4 & X5 - BPS failure. This would be when the PMS/CMS server fails. All the related workload is shifted to the other geography. Each geography will have enough power to handle the complete PMS/CMS workload by itself. Pathway has proposed that the CAPS Access Server be located on BA premises and that Pathway take a clear responsibility for the payment authorisation and returning data streams over the WAN to the BPS server. In the event of loss of the CAPS Access Server, its BA source/sink, or its network connection to the current BPS server, then the CAPS Access Server in the alternate BA geography will take over, together with associated switches of CAPS source/sink and network connection.

X6 & X7 - Network failures. See also the Pathway response to Risk #34 which details the fallback methods used during communications outages of the ISDN connection between TMS and the post office.

In X6, a fail in the ISDN connection, the post office will continue with local authorisations. Outgoing foreign encashments and emergency payments which have not reached the counter will require telephone authorisation. Any incoming foreign payments which carry a risk of duplicate payment during the network failure will be halted or heavily scrutinised with additional verification. This is estimated to be less than 0.001% of payments. When the network connection becomes available the post office will resynchronise with TMS (and TMS with the post office for any foreign encashments authorised under scrutiny).

In X7 the LAN within the processing centre fails. The normal fallback would be to switch to the other geography and defer all non-urgent work. On availability of the LAN all the TMS servers would be resynchronised from the alternate geography and non urgent work run on the Central Services equipment until a breakpoint in the schedule is reached and a normal work pattern resumed. The Pathway proposal includes duplex LANs at each centre so the incidence of double failures is expected to be extremely small.

Further analysis of the impact of PMS Help Desk authorisation

It is important to analyse and understand the practical effect of use of the PMS Help Desk during periods of communications or equipment outage. These are summarised in the foregoing discussion but are now gone through in greater detail. There are basically two cases to examine:

the single counter post office

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handling foreign encashments

(i) Single counter post offices

If the network connection is lost but the counter is running then just customers coming in for foreign encashments will need to be Help Desk authorised. (This is estimated to total about 25 calls a day on average.) If the single counter as a whole is lost then all transactions will need to be authorised via the Help Desk (around 160 calls a day). In either case the volumes are small -- we are talking here only of single counter offices.

(ii) Foreign encashments
Manual authorisation of foreign encashments will be required by an office of any size, including the largest, if its network connection is lost. However, in this case it is only the foreign encashments that need to be authorised by the PMS Help Desk, home office encashments can continue unaffected by the communications outage. This results in an acceptably low level of help desk usage (around 300 calls per day are expected.)

Discussion points on catastrophic localised failures e.g. a complete power failure - particularly touching on the implications for reconciliation (updated for use of equipment sets similar to that used in satellite offices)

There are several categories of such failures:

Site related

whole areas with many adjacent offices fully or partially disabled through widespread loss of power due to storm, flood, terrorism, war, civil commotion
individual offices incommunicado
individual offices with no power (planned or unplanned)
individual offices with fabric affected but on power
individual offices destroyed

Staff related

Postmaster fired for dishonesty office closed by BA/POCL fraud hit squad
Postmaster/clerks all off ill
Industrial action
Access not possible (e.g. bomb scare)
Hijack/siege

Methods to sustain Benefit Encashment Service in the event of power loss. Note that in high risk areas the post office security equipment as well as the counter and other equipment will need to be powered for the office to be permitted to open.

Manual fallback using paper records - depends on having Payments Payable Report in place either routinely or brought to office. Use of paper receipts.
PMS Help Desk Authorisation

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Temporary transfer of ordinary payments to another nearby office -- note card authorisations on hold. Business rules to not tally foreign encashments
Emergency power source brought to site
Use of 12V DC inverters brought to site
Use of mobile post office
Temporary use of standby "portable" equipment, such as that being discussed for use in satellite or part-time offices, at appropriate, alternative local accommodation.

Implications for reconciliation. Provided the clerks always pay the authorised payment amounts and provided any manual transactions are entered before they would have expired either by the clerk or as a result of the PMS Help Desk operating as a "stand-in" post office, then payments will always reconcile.

The implications are as follows:

During such fallback operation clerks will issue manual receipts. From these receipts it will be possible for the clerk to check that the updates performed on its behalf by the PMS Help Desk correspond with the manual receipts issued.

It will be necessary for the PMS Help Desk to operate as a temporary surrogate for the office in manual operation in order that the office's subsequent cash account correctly reflects its actual benefit cash operations (and the consequences that flow therefrom, notably postmaster remuneration).

Pathway Comment
None

Reference No 747

Pathway Response
1 All aspects of Card Management including production, storage, delivery and destruction of cards will be secure, auditable and allow the production of audit trails of all cards and collateral material.

2 With respect to the destruction of expired/returned cards at post offices, Pathway proposes that the post office should be responsible for their mutilation and secure disposal.

3. Attention is drawn to the Pathway BPS Security Proposal, sections 4, 5 and 6, 21 December 1995.

Pathway Comment
None

Reference No 748

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Pathway Response

1.INTRODUCTION
This response documents the key service design for Pathway's Card Management Help desk service.

2.HELP DESK SERVICE
2.1General.

Pathway will provide a Card Management help desk service to answer 80% of calls within 10 seconds as the first point of contact for customers of the service. Customers include both Benefits Agency and Authorised Card Holders / Persons although we anticipate that PO Counters staff will also require access to the help desk in certain situations. Two levels of service will be provided. The help desk will deal with card related enquiries such as those relevant to lost, stolen or damaged cards, non receipt of a PUN, and card status . An "0345" local call rate number will be published for card holders / authorised persons and separate discreet numbers will be used by BA and POCL staff wishing to make card related enquiries.

2.2.1st.Level Service

Pathway will provide a 1st level service for enquiries which can be resolved within 5 minutes and will cater for 1st level members being off duty.The 1st level member who takes the call will own the problem / query from initial logging through to resolution to the customer's satisfaction.

The help desk contact will be over the telephone.Calls will be managed by an ACD system and help desk staff will have screen access to CMS card status data with facilities to confirm Card holder /Authorised Person, BA and POCL staff bona fides, place stops on lost, stolen or damaged cards and arrange their replacement. Details of calls will be logged and analysis of these calls can be provided.

If required the system can also refer reports to BA when card holders frequently report lost, stolen or damaged cards so that BA staff may interview them before deciding whether or not to provide replacement cards.

2.3. 2nd Level Service

Pathway anticipates that only a small percentage of calls will require more than 5 minutes to resolve at a second level of service.

Such calls will be referred from the first level service to the 2nd level service. 2nd level staff will progress such queries to resolution within 30 minutes.

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2.4. Hours of Service

Pathway will provide a continuous help desk service as specified below :
1st level - 24 hrs a day, 7 days a week; 365 days per year.

2nd. level - 08.00 - 18.00. : Clarification is required about days of week for level 2 service provision : we recommend 08.00 to 18.00 hrs Mondays to Fridays and
08-00 to 13.00 hrs on Saturdays to answer any enquiries from PO Counters staff, whilst open for BA business on Saturdays.

Pathway is unable to make an open ended commitment to extend the level 2 service to whatever is needed at 2 working days notice.

In emergencies Pathway will provide a level 2 service outside normal hours ,given 5 hrs notice.

2.5. Resilience

Pathway will ensure 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 and computer systems. The contingency plan will be agreed with the AUTHORITIES and will state how quickly the service will be restored in the event of an incident. The plan is currently based on two sites for each help desk with staff multi-skilled in both CMS & PMS help desks.

2.6. Training

Pathway will comply with training for the AUTHORITIES ' staff as per our response to Requirements Catalogue number 734. Pathway will develop training plans for its own staff.

2.7. Personnel

Pathway will ensure that all staff have suitable and appropriate skills and training and that sufficient skilled resources are available to cater for holidays, sickness and natural wastage within the CONTRACTOR's organisation.

3. Service Monitoring

3.1. Service Performance Statistics
3.1.1.
Pathway’s Help desk service will be monitored and reviewed over monthly periods. Statistical evidence of its performance against agreed measures will be produced by analysis of the data captured by the Help desk system and by the telephony system.

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3.1.2. The analysis will be presented to the Contracting Authorities in an agreed format within 5 working days of the end of the period.

3.1.3. Help desk records will be maintained for a period of 18 months.

3.2. Customer satisfaction surveys.

Pathway will be pleased to participate with the Contracting Authorities in devising and conducting customer satisfaction surveys.

Pathway Comment
None

Reference No 749

Pathway Response
If the customer is unable to visit his nominated post office in person to collect his benefit card, it will be because he is suddenly, but hopefully transiently, indisposed, although still entitled to benefit and perhaps with authorisations already available to him. If the customer is not able to attend the nominated post office for some time then there is of course no point in attempting to collect a card for that very purpose and agent procedures should be, or have been invoked.

The Pathway solution handles this case in the following ways:

1. For existing customers replacing cards routinely:

If the customer is an existing card holder then he will call the CMS Help Desk explaining his position. The CMS Help Desk will extend the validity of his current card by a period to be agreed between BA/POCL and Pathway, and extend the date by which his new card can be collected to the same date. The old card remains available for casual agent encashments. New authorisations will carry a card expiry date which BES will use in place of the expiry date read from the card.

2. For existing customers replacing cards following card loss or damage:

If the card has been lost, stolen or damaged, as might be the case if the customer has been in an accident or suffered an assault -- the CMS Help Desk will stop the current card and initiate a replacement cycle providing a longer time during which he may collect the card.

3. If the customer is not a cardholder, he should first call the CMS Help Desk

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He is newly enrolled into the benefit system -- the CMS Help Desk will extend the date by which his new card can be collected.

In cases 2 and 3, the CMS Help Desk will advise the customer to call the BA office and arrange for a form of agent to be appointed, if collection of payments is necessary during the expected period of their indisposition and an agent is not already appointed. If the indisposition is protracted then a permanent agent should be authorised, and if necessary be equipped with a card. If only a short indisposition is anticipated then a casual agent, a card holder, and possibly one who is an established member of the local voluntary sector can be identified.

In all cases, the CMS Help Desk will advise the customer that if it transpires he is not able to get to his post office until after the extension, then he should contact his BA office towards the end of the extension period and arrange a permanent agency.

If in the event he recovers before or during the extension period, he can pick up his replacement card in the normal way, the new card will be activated and, when appropriate (i.e. in case 1), the old card stopped.

Pathway Comment
There is no provision in CAPS for the card to be sent other than to a single class of outlet, in Pathway's solution this class is the nominated post office.

Pathway wishes to minimise the extension period consistent with the need to provide for due payment and proposes two calendar months.

Reference No 750
Pathway Response to Requirement 750

Pathway proposes that Pick Up Notices (PUN) be issued in the following situations:

- All New Cardholders

  When New Cardholders are authorised, information is received by CMS from CAPS. A Card is advised for despatch to the nominated post office and a PUN for despatch to the Customer.

- Card replacement for lost, stolen or damaged cards

  When lost, stolen or damaged cards are reported to the CMS Help Desk, a new Card will be ordered for despatch to the nominated post office and a PUN for despatch direct to the customer.

In other cases, the procedure for Card renewal will be as follows:
On swiping the old card, the system will inform the Post Office staff that a new card is available. This will enable the new card to be identified and swiped; currently proposed extended procedures (cardholder verification) will be invoked.

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Pathway's solution will allow for the following situations:

Card pick up notice (PUN) is presented at the post office counter and there is no valid card available, or when a card is available and the PUN is lost, not received, etc.

a) Card pick up notice (PUN) is presented at the post office counter and there is no valid card available. The Pathway solution handles this as follows :

1. The customer will be directed to the BA office to reapply for a card and perhaps to obtain a temporary token if he is short of funds but has authorisations available. If he calls the CMS help desk he will be referred to the BA office. Where a replacement card is ordered via the help desk, CMS help desk place a stop on the missing card and order a replacement card and PUN, the old PUN will need to be destroyed. The speed of delivery for the new card will be treated as an urgent card/PUN replacement and will be produced in accordance with the appropriate SLA.

2. Card damaged at point of pick up

   The card has arrived and is available, but is damaged. If the card is physically defective but distinguishable, or if the card is physically all right but is magnetically defective then Pathway recommends that it is activated manually. Supplementary verification will automatically be invoked as is the case for all card activations. The manual activation will now cause BES automatically to reorder a card and PUN replacement as if for a normal damaged card.

b) when a card is available and the PUN is lost, not received, etc.

   When a customer has lost his PUN, not received it or it has been stolen, and the card is available for collection, there are two cases :

   The PUN in question is the first PUN. In this case the customer will receive a PUN reminder which can be used to claim the card. The reminder will have a new CAN.

   The PUN in question is the second, the customer not having the first one either. In this case the customer should call the CMS help desk which will reorder a third PUN (with a new CAN). On production of a second PUN reminder, Pathway propose that details of the transaction are sent to BA via CAPS.

Pathway Comment
None

Reference No 751

Pathway Response
Pathway confirms that Authorised Payment information, forwarded from CAPS to PAS, will be accepted and available for subsequent

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encashment from the due date until the end of the agreed period of validity, provided that the information passed from CAPS satisfies the data validation criteria.

Pathway Comment
None

Reference No 752

Pathway Response
It is not clear that the requirement as stated is either necessary or desirable. Pathway understands that CAPS will provide the payment date for all payments including those that are advanced due to holidays. There is no obvious purpose achieved by a message to the post office clerk in these circumstances. PAS has no means of knowing that the payment has been advanced - and in principle does not need to know.

It may however be desirable to advise the customer that an advanced payment will become due using a message which is displayed when the immediately preceding payment is encashed. In this case it would be possible for CAPS to use the "Next Payment / Earliest Encashment Date" together with the "Payment Message Insert Facility" to cause PAS to display a message to the counter clerk.

Pathway Comment
In this requirement and in many others relating to PAS the required functionality extends beyond PAS into related sub-systems including particularly including the CMS and the BES.

Reference No 753

Pathway Response
Pathway confirms that PAS will create, update and delete personal details in line with the data which is received from CAPS. Personal details will be archived in accordance with an archiving policy that will be agreed between Pathway and the Contracting Authorities.

Pathway Comment
The amount of data to archive and the duration of archive storage are cost elements that must to be included within the Tender. The archiving policy must therefore be agreed prior to tender and then maintained under contract change control.

Reference No 754

Pathway Response

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Pathway confirms that Urgent Payment information, forwarded from CAPS, will be accepted by PAS and available for encashment within 30 minutes at any post office , provided that it satisfies the data validation criteria.

Pathway Comment
None

Reference No 755

Pathway Response
Pathway proposal will allow for CAPS to provide payment stops to PAS. PAS will match the payment reference number of the stop with the authorised payment and return either a successful stop or failed stop, depending upon the authorised payment status. Where no match is found PAS will send failed stop to CAPS. Should CAPS provide the payment subsequently as part of bulk data for the day, PAS will send a correction to the stop failure and a successful stop confirmation.

Pathway Comment
1. It is not possible to confirm the response times which are requested at this stage since the CAPS specification does not include operational information such as the size of the files to be transferred or the timing of transfers. Clearly the time required to validate and process a file containing 100 stops would be significantly longer than for a single stop. Similarly the assembly of STOP notifications into batches for return to CAPS will impact on the response time.

2. The CAPS interface is defined as a batch file interface yet the response times of 2 seconds would be more appropriate to a real time on line system. We do not believe that a 2 second response time is necessary or achievable in an interface of this type.

Reference No 756

Pathway Response
New or changed personal details presented in reasonable numbers and provided through CAPS will take effect within PAS within 30 minutes of receipt from CAPS and thereafter will be taken into account in any subsequent encashment or enquiry. It is assumed that the personal details that are changed in this way will not include data that is held on the magnetic stripe card and there by cause a verification failure when encashment is attempted. Referring to paragraph 4.3.6.20 of the SSR the personal details that may be changed are Nominated Post Office, Restricted Post Office, Monitor Usage Flag, National Sensitivity Indicator.

Pathway Comment
It is not possible to change personal details instantaneously and the length of time required to validate and act on the changed

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personal details will depend upon the number of records which are passed across the CAPS interface. There will then be a short delay while the changed personal details are applied to the PAS records following which any subsequent encashment or enquires will reflect those changes.

Reference No 758

Pathway Response
Pathway confirms it will recognise different types of payments e.g.

Urgent payments
Regular payments.
contingency payments

stopped payments
encashed payments
uncashed payments
a) received but not due
b) due but not collected and within the validity period
uncollected payments beyond validity period

Pathway Comment
None

Reference No 759

Pathway Response
Pathway confirms that PAS support an authentication process to ensure that valid Cards are accepted and invalid cards rejected.

As part of the counter procedures at the Post Office, Pathway's solution will carry out the following processing:

On receipt of the card from the customer, the counter clerk will following procedures:

swipe the card through the card reader,

visually check the card for evidence of tampering / forgery

match the data presented on the screen (derived from swiping the card)
with the data embossed on the card

Verify that the card is active

Verify card and details on the system with against card / customer

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Compare the signature held on the card with that written upon the receipt,

Where the clerk is satisfied with both the card and customer, continues with the encashment

Slight variations on the above procedure will exist depending upon whether Authorised Person is the beneficiary, Appointee, or a permanent or casual agent.

If the clerk is not satisfied, he can ask further questions, and if necessary, impound the card and refer the customer to BA.

Cards are authenticated for all transactions regardless of the availability of payments for collection. Cards checks include lost, stolen and expiry date. The counter clerk visually checks the authenticity of the card .

Pathway Comment
None

Reference No 760

Pathway Response
1. Pathway confirms that following the successful authentication process to validate the Card, PAS provides the data to support verification of the Authorised Person identity. PAS obtains the verification data relating to the cardholder from CMS. This applies to all Cardholders including proxies except for those proxies who are Casual Agents and therefore do not have applicable benefit cards.

2. For all cardholders except for Casual Agents the verification is carried out against the Payee and the card authentication and verification of Cardholder identity will be carried out only once per visit even if multiple payments and multiple beneficiaries are required.

3. Where the Authorised Person is a Casual Agent the Payee verification will be made against the cardholder identity for the beneficiary who is represented. Therefore, we propose that each casual agent be verified for each beneficiary. Casual agents will present the following for each beneficiary:

Declaration of entitlement to collect the payment on behalf of the beneficiary(mandate).
The beneficiary's magnetic stripe card.
Supplementary authentication & verification of the Payee (e.g. Own Benefit Card, Driving Licence, Passport etc.).

Pathway Comment
None.

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Reference No 761

Pathway Response
Pathway confirms that PAS will have the provision to advise the post office clerk of the action to be taken when Card Authentication or Cardholder Verification checks are not satisfied.

Pathway Comment
None

Reference No 762

Pathway Response
PAS will respond to CAPS requests for encashment status on particular payments, with either the relevant encashment data or with an indicator that the payment has not been encashed. It is not possible to confirm the requested response time of two seconds at this stage due to lack of information regarding the "flow control " and the sizes of files generated by CAPS.

Pathway Comment
1. It is not possible to confirm the response times which are requested at this stage since the CAPS specification does not include operational information such as the size of the files to be transferred or the timing of transfers. Clearly the time required to validate and process a file containing 100 stops would be significantly longer than for a single stop.

2. The CAPS interface is defined as a batch file interface yet the response times of 2 seconds would be more appropriate to a real time on line system. We do not believe that a 2 second response time is necessary or achievable in a system of this type.

Reference No 763

Pathway Response
Pathway confirms that PAS will allow for payment of both cash and tokens as authorised by CAPS.

Pathway Comment
None

Reference No 764

Pathway Response
1 Pathway will provide the following details on the receipt:

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* Beneficiary's name and abbreviated NINO;
* Cardholders name and abbreviated NINO (where different)
* Casual Agent presented name and NINO (if possible)
* Benefit Payment Description;
* Amount(s);
* Signature (space for signature clearly identifiable);
*Time (numerical 24 hour clock);
* Date (DD/MM/YY);
* Due date(s);
* Token Type;
*No of Tokens;
* Code of Post Office of payment;
* Predicted due date of next payment;
* Total amount encashed;
* allowed date for next foreign encashment (optional)
* Declaration of Entitlement (combined or otherwise);
* Message (subject to physical constraints of receipts and CAPS);

The receipt must also include the following details produced externally from PAS;

* Unique encashment transaction identifier.
*Unique Post Office counter clerk transaction identifier.

2. The name of the Casual Agent is not known. This information may need to be captured at the counter and must be typed by the counter clerk and will affect counter transaction times slightly.

3. It should be noted that the size of the receipt is becoming very large indeed.

Pathway Comment
Note: There is a potential fraud risk in printing 'Code of Post Office of Payment, and Predicted due date of next payment'. Pathway recommend that this information not be on the receipt from a fraud perspective as it will allow a potential verification question to be fraudulently answered. Should the receipt and card be lost together it will enable an offender to identify the correct Post Office and date of encashment
Pathway would like the opportunity to discuss the above in more detail with the procurement.

Reference No 765

Pathway Response
Pathway confirms that PAS will support the process to prompt the post office clerk to issue a copy of the receipt to the Authorised Person and retain the signed copy for use by DSS. It should be noted that this function is actually performed by the BES.

Pathway Comment
None.

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Reference No 766

Pathway Response
Pathway confirms that PAS will support the process necessary to allow the encashment to be terminated before it is completed if the Authorised Person or DSS so requests.

It should be noted that the processing of every transaction has a natural commitment point after which the transaction cannot be terminated., For a benefit encashment this point is in reality the exchange of cash for the signed receipt. The system recognises this point in time as its response to the settlement indication from the clerk. The customer or the POCL clerk can elect to terminate the transaction before this point. A receipt, whether signed or not can be voided and the transaction voided.

An DSS originated stop which is received by the BES will be actioned up to the point that the settlement indication is received from the clerk. In an extreme scenario, a payment stop arriving at BES during the dying moments of the encashment sequence will be actioned by BES returning a "no-pay" indication as the response to settlement indication.

Pathway Comment
None

Reference No 767

Pathway Response
Pathway confirms that PAS will support payment to Authorised Persons as identified within the payment data passed from CAPS and also casual agents.

It should be noted that the collection of payments by casual agents is also supported by rules of principle for authentication and verification of the casual agent and these are enacted in post offices.

Pathway Comment
None

Reference No 768

Pathway Response
Pathway confirms that as a minimum, any conditions which apply to the Authorised Person or payments made to them will also apply to a casual agent encashment.

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Pathway Comment
None

Reference No 769

Pathway Response
Pathway confirms that PAS supports the use of Nominated Post Offices, as notified by CAPS. Appointees, Alternative Payee and Permanent Agents will have their own Nominated post office for Card (if applicable) and payment collection, distinct from that of the main beneficiary.

The nominated post office is assumed to be the same on both the payment and the card details, particularly for notification of change of nominated office, for subsequent authorised payment routing and for card issue.

Pathway Comment
None

Reference No 770

Pathway Response
Pathway solution will limit the number of Foreign encashments to (x) in a rolling (y) week period (where (x) and (y) are parameters to be provided by the DSS, initially (x)=2 and (y)=26), PAS will prompt the post office clerk to inform the Authorised Person on the final allowable foreign encashment, of the date of the next allowable foreign encashment (equivalent information to be printed on the receipt), and that to collect further payment a change of post office is required, or return to the nominated post office.

PAS will not identify the nominated post office. Social Fund payments will be excluded from the rule, except where other benefits are encashed at the same time.

Pathway's solution will exclude Temporary Tokens from this rule as they will have a Post Office nominated by the DSS at the time of issue.

Note.
The ability to change the nominated office as soon as the limit on foreign encashments has been reached would cancel the effectiveness of the control on foreign encashments unless allied to other measures to prevent abuse.

Pathway Comment
1. The SSR App 3-8 figure 1 excludes Social Fund payments from the scope of the service and that so far no requirements have been identified to include these payments.

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2. The ability to change the nominated office as soon as the limit on foreign encashments has been reached would cancel the effectiveness of the control on foreign encashments unless allied to other measures to prevent abuse.

Reference No 771

Pathway Response
Pathway confirms that PAS will restrict encashment to a specific post office for a specific payment based upon details and rules provided by CAPS. namely, where PAS Customer details record
Restricted Post Office ind = Y

In this case, all the client payments (i.e. all those for which they are beneficiary) are only encashable at the nominated post office. The restriction will be in respect of an Authorised Person, or any person collecting benefit on their behalf.

Where an attempted encashment is made at an alternative post office, Pathway will:
refuse encashment
the clerk will notify the customer that payment may not be made at this office (he will not be in a position to notify the customer at which post office payment may be made)
The customer will retain his card, Pathway will report an infringement attempt back to CAPS
(data as per agreed interface specification)

Pathway Comment
This processing is performed by both PAS and BES.

Reference No 772

Pathway Response
Pathway confirms that PAS will provide for encashment to proceed in the event of a card read failure, subject to Card Authentication and Customer Verification checks being satisfied.

If a magnetic card read failure occurs then the following sequence of actions is followed:

the clerk will repeat the process of swiping the card (at least twice) if this fails, the clerk will need to select screen to manually input card details, i.e. NINO, card issue number, card expiry date. Should the card details not be accepted, system will prompt the PO clerk to impound the card.

visually check the card for evidence of tampering / forgery

verify customer id. The PO clerk will be required to either record that the customer is known or will ask random verification question (s). (Pathway will need to agree with BA what

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verification questions may be asked and what the verification process will be where the customer has communications difficulties). If the verification question is answered incorrectly, the system will prompt the clerk to impound the card.

match the system data with the data embossed on the card. If card details does not match, the clerk will impound the card

Verify that the card is active,

Compare the signature held on the card with that written upon the receipt,

Where the clerk is satisfied with both the card and customer, continues with the encashment.

The system will record the number of consecutive manually keyed encashments for each card. Where necessary (after 3 consecutive key entries) the system will automatically order a replacement card. Where an Authorised Person is regularly replacing cards due to card read failures, Pathway will report this to BA.

Pathway will through its systems management functions be aware if a particular card reader is apparently malfunctioning and will monitor its performance and if necessary rectify the fault.

Pathway Comment
None

Reference No 773

Pathway Response
Pathway confirms that PAS will ensure that encashment confirmation is provided to CAPS for each individual authorised encashment by 23:59 on the day of the transaction. The data to be supplied in the confirmation are as detailed in the CAPS/PAS Interface Specification.

Pathway proposes that encashment confirmation shall be passed to CAPS from time to time during the day and not just at 23:59.

Pathway Comment
None

Reference No 774

Pathway Response
Pathway confirms that Uncollected payments that have reached the end of their validity period will be made void at 24:00 hrs on that day and confirm termination by 03:00 hrs on the next working day. Confirmation of each payment will take the form detailed in the CAPS Interface Specification.

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Pathway Comment
None

Reference No 775

Pathway Response
Pathway confirms that it will supply management information related to PAS operations in accordance with the appropriate detailed requirements defined in the BPS MIS Catalogue once this document has been agreed. Pathway has provided comments against an early draft document.

Pathway Comment
None

Reference No 776

Pathway Response
Pathway has proposed two help desk services which are related to the PAS. They are:

PAS Help Desk - for the support of benefit payments related enquiries from DSS staff, POCL staff and customers.

Service Management Help desk - for operational service enquiries from DSS and POCL staff.

Pathway confirms that these help desks will be available to DSS staff between 08:00 hrs and 18:00 hrs, Monday to Friday.

Pathway Comment
None

Reference No 777

Pathway Response
Pathway confirms that it will provide the education and training of DSS staff necessary for the support of PAS as agreed in the document "Pathway Baseline Training and Awareness Programme". This is currently under discussion with the BA/POCL Programme.

Pathway Comment
There are outstanding queries in the area of DSS staff training particularly regarding the numbers of staff who require training.

Reference No 778

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Pathway Response
Pathway confirms that any services provided are able to interface and exchange information with CAPS as set out in the CAPS-PAS/CMS Interface Specification.

Pathway points out that the interface specification currently available to Pathway is a functional specification only. It does not include important technical and operational information which is needed to ensure the integrity of files which are passed across the interface. Particular concerns include definitions of the conditions for delivering and receiving files, flow control of file transfers and file sizes.

The completion and subsequent maintenance of the interface document is critical to the success of the project and Pathway requests that it is included within the change control process for the document from ITT onwards.

Pathway Comment
For several of the PAS and CMS requirements it is not possible to commit to requested responses times because of the absence of file sizes and flow control information.

Reference No 779

Pathway Response
Pathway confirms that the Integrity of payment details will be maintained to ensure data is not alterable once transferred from CAPS, except where specified in requirement PAS (66).

Pathway Comment
The reference to PAS (66) is invalid.

Reference No 780

Pathway Response
Pathway confirms that it will obtain Police and Criminal Evidence Act 1984 and Police and Criminal Evidence (Northern Ireland) Order 1989 certification to demonstrate services were operating within normal parameters at the time of an alleged offence.

Pathway Comment
None

Reference No 781

Pathway Response

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At the post office counter there will be no discernible difference to existing procedures. There will be no flag set for the counter clerk, but the verification questions required during an exceptional encashment will covertly reflect the sensitivity of the case.
If a call is received by CMS/PMS help desks, either from or relating to a nationally sensitive customer, then system access will be restricted, in line with current BA procedures.

Attention is drawn to Pathway BPS stream paper dated 15 November 1995 which deals with the treatment of NSI records in particular the fact that the NSI status is not used or implicit in counter procedures, and to risk response 75nn which further clarifies Pathway's treatment of such records.

Pathway Comment
None

Reference No 782

Pathway Response
Pathway confirms that PAS can provide the facility to allow the Contracting Authorities to identify where and when a card or number of cards are being used. We have assumed that the cards will be identified by NINO and that the card alert file facility of the CAPS interface will be used to provide the response. It is not at this stage possible to commit to a particular response time until further information is received regarding the specification of the CAPS interface. Pathway understands from the BA/POCL service interface definition version 1, 9 February 1996 (SID) section 2.14 that the card monitor alert function is not to be supported. However Pathway does not recommend supporting this service through the help desk in view of the cost implications.

Pathway Comment
Details of how the alerts are to be reported to the BA are required, bearing in mind cost implications of help desk acting as an interface.

Reference No 783

Pathway Response
1. Pathway confirms that PAS will support the payment of all existing benefits through a phased programme of development and implementation. The order of the take on of existing benefits will be agreed with BA prior to contract.

Pathway confirms that provided the agreed interfaces with CAPS comprehend the variation of treatment as between types of benefit, the Pathway PASA, CMS and BES will handle any benefit from day 1

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2. Pathway confirms that the PAS can be developed to support the payment of new and changed benefits as these are defined and agreed.

3. Pathway confirms that PAS can support changes to the frequency of payments.. Pathway's PAS can accept benefit payment strings of indefinite length, for example making more economic a relatively stable benefit type which is paid frequently.

4. A new benefit code can be introduced on payments with immediate effect. Expansion of that code into meaningful text on screens, reports and receipts requires the update of reference tables. This will be achieved through the system help desk.

Pathway Comment
None

Reference No 785

Pathway Response
Pathway confirms that Management Information (as per BPS MIS Catalogue) and Service Level reports must be received no less than 5 working days before regular Service Review Meetings. Any Reports required for ad hoc meetings will be provided in agreement with the Authorities.

Pathway Comment
We need to agree the reporting periods and the frequency of Review meetings.

Reference No 786

Pathway Response
Pathway confirms that the Service Level reports will indicate performance against all service levels detailed in the Service Level and Remedies Schedule.

Pathway Comment
None

Reference No 787

Pathway Response
Pathway confirms that where a beneficiary has nominated an alternative payee who may collect the specified benefit(s), PAS will ensure that the payment can be collected by either person, but paid only once.

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The alternative payee and the beneficiary have equal collection rights. Pathway's solution provides that whoever collects first receives the payment.
The payment will have been distributed to the nominated office of the beneficiary. If either the beneficiary or the alternative payee attempts to collect the benefit from another office, then the payment is moved to that office and becomes inaccessible at the nominated office.
In the event that there is momentary contention for the same payment only one collection will proceed to conclusion.
The limiting situation, where an encashment attempt in one office is aborted, and the payment becomes immediately re-available for collection in the other, is supported.

Pathway Comment
None

Reference No 788

Pathway Response
Pathway can confirm that where an authorised Person is collecting on behalf of more than one beneficiary, PAS will allow the Authorised Person to select the beneficiary for whom they wish to collect.

For full details regarding the detailed procedures for this process please refer to Pathway document 'BA Encashment Service Requirement Specification', version 1. This describes encashment of benefits using cards at the counter including counter procedures and the appropriate screen designs.

Pathway Comment
None

Reference No 789

Pathway Response
Pathway can confirm that where an authorised Person is collecting for more than one beneficiary including potentially himself, PAS will create a separate receipt for each.
.
For full details regarding the detailed procedures for this process please refer to Pathway document 'BA Encashment Service Requirement Specification', version 1. This describes encashment of benefits using cards at the counter including counter procedures and the appropriate screen designs.

Pathway Comment
None

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Reference No 790

Pathway Response
Pathway confirms that where a system or card read failure requires a Card number to be manually keyed, the system will check the Card number in case a mistake has been made. The card number comprises the 15 digit NINO number provide by the BA plus a check digit which is added by Pathway and used for validation purposes.

Pathway Comment
None

Reference No 791

Pathway Response
Pathway confirms that PAS will inform CAPS if an encashment is attempted which would infringe a restriction to a single post office imposed by DSS. The "Restricted PO Infringement File " is passed to CAPS as defined by the CAPS Interface Specification. The file will contain data for all infringements since the last file was sent and not just a single infringement. The events or frequency which cause the batch file to be sent to CAPS are not defined in the specification and it is therefore not possible to confirm a particular response time at this stage.

Pathway Comment
Real time response times are requested for the transfer of files to and from CAPS and these response times are not appropriate to file transfer type mechanisms.

Reference No 792

Pathway Response
Pathway plans to take advantage of, and build on Girobank's existing long-standing relationship and day to day experience with both the BA and POCL through its provision of storage and retrieval services for the encashed DSS Girocheques. Currently the bank processes approximately 500,000 per annum from BA local Benefit Offices and investigation services and has successfully undertaken the service for the BA for over 3 years.

Customer receipts will be held by post offices in daily batches as part of end of day routines and posted weekly to Girobank in sealed envelopes, bar coded with the post office code and week number which is an extension of the current system. Transport to Girobank will be via the existing Post Office Pouch system for added security.

On arrival at Girobank receipts will be stored in post office code by week number in secure conditions for a minimum period of twelve months from delivery at the storage location. This data will also

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be held historically on the Pathway system (PMS/TMS) when benefit payments are encashed, to aid retrieval.

This system would enable original receipts to be retrieved within 5 days and despatched from a central point within Girobank to the location specified by the BA investigators and offices, under controlled conditions.

Pathway Comment
This is a new requirement, which will be cost estimated in the tender response from Girobank, however the number of expected retrievals is not high and initial costings for providing a microfilm copy for all retrievals is expensive. Pathway have now asked Girobank to tender on microfilming items received from high risk post offices providing a microfilm copy to BA on request, and the storage of the paper items for post offices with a lower risk returning the original on request to BA

Reference No 793

Pathway Response
Pathway confirms that where the Authorised Person is already advised to CMS and is a cardholder a single signature will be collected via the receipt, including a declaration which will vary by proxy type.

Where collection is by a permanent or casual agent a mandate signed by the authorised person will also be required.

Pathway Comment
Receipts are at the encashment level, not the payment level.

Pathway's working texts are, for normal encashments:

Yr wyf yn datgan fy mod wedi darllen a deall yr holl gyfarwyddiadau yn fy Hysbysiad Hawl ac imi roi gwybod yn gywir am unrhyw ffeithiau a allai effeithio ar swm fy nhaliad a bod gennyf hawl i'r swm uchod. Yr wyf yn cydnabod derbyn yr uchod:

I declare that I have read and understood all the instructions in my Notice of Entitlement, and that I have correctly reported any facts which could affect the amount of my payment and that I am entitled to the above sum. I acknowledge receipt of the above:

and for mandates:

Mae gennyf hawl i fudd-dâl ond ni allaf fynd i'r swyddfa bost. Yr wyf yn awdurdodi cludydd y gorchymyn hwn i fod yn gynrychiolydd i mi. Yr wyf yn datgan fy mod wedi darllen a deall yr holl gyfarwyddiadau yn fy Hysbysiad Hawl, ac i mi roi gwybod yn gywir

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am unrhyw ffeithiau a allai effeithio ar swm fy nhaliad a bod gennyf hawl i'r swm uchod.

I am entitled to benefit but cannot get to the post office. I authorise the bearer of this mandate to be my agent.
I declare that I have read and understood all the instructions in my Notice of Entitlement, and that I have correctly reported any facts which could affect the amount of my payment and that I am entitled to the above sum.

Pathway recommends these be reviewed and if necessary revised to ensure that they handle the legal position of appointees.

Reference No 794

Pathway Response
Pathway confirms that, access to the benefit system by customers within the post office can only be achieved by the use of a valid and genuine card.

Cards are authenticated for all transactions regardless of the availability of payments for collection.

A fundamental logical check is whether the card has been stopped.

Checks based on the magnetics include, the card issue number, the expiry date, the Sherman value. The counter clerk visually checks the authenticity of the card by matching the visible card details to those on the screen, the NINO, name, card issue number and expiry date. In addition the clerk will check the physical nature of the card, including the inks, plastics and hologram, and where a signature is produced the signature on the signature strip.

If a magnetic benefit card read failure occurs then:

the clerk will be on his guard that the card may have deliberately been made defective
BES will prompt the clerk to key the PAN including check digit from the card
BES will record that a manual entry was required
additional verification processes will be invoked automatically
the clerk will inspect the card's physical attributes and the correspondence of its visible data with that presented by the system and will scrutinise the signature against that on the receipt

Attention is drawn to the Pathway Security Proposal 21 December 1995 for a comprehensive description of this area.

Pathway Comment
There is no direct access to PAS from a post office . BES is responsible for benefit encashment processing at the counter.

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Reference No 795

Pathway Response
Pathway confirms that PAS will determine the total amount of benefit available for encashment. The individual amounts (as supplied by CAPS) and the total will be shown, to the post office clerk.

Pathway Comment
The reference to PAS 15 in the requirement is not understood.

Reference No 796

Pathway Response
Pathway confirms that if no payment is due then PAS will prompt the post office clerk to return the Card to the Authorised Person and in cases of dispute or enquiry the clerk will advise them to contact the DSS.

Pathway Comment
None

Reference No 797

Pathway Response
Pathway confirms that as part of the contingency arrangements for failure of CAPS, PAS will be able to continue payments to Authorised Persons based on the most recent payment successfully passed from CAPS. This facility will be enabled only if and when explicitly requested by the DSS. Such emergency payment will be for the same payment value and be due on the "next payment earliest due date" as specified in the last correctly authorised payment from CAPS (but only if that due date has not passed). For a given beneficiary emergency payments will be limited to no more than one for each benefit type, unless specifically requested by DSS.

Pathway Comment
None

Reference No 798

Pathway Response
Pathway confirms that a change of a nominated office can be achieved subject to the card verification checks including the check for Restriction to a single office. The nominated post office can only be changed to that in which the request is made.

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The BES prompts the counter clerk to collect the P80MA form from the customer and the details of the new nominated office are then typed by the clerk.

This change will take effect within the BES so that any due payment can be collected during the current session.

The change is notified to CMS and also notified to CAPS using the Change of Nominated PO file.

Pathway Comment
1. The facility clearly provides a loop hole that could enable a beneficiary to avoid the limit to foreign encashments unless allied to other measures to prevent abuse.

2. The response time of 2 seconds to effect the change seems unduly onerous and cannot be confirmed at this stage.

Reference No 799

Pathway Response
Pathway can in principle provide a facility to manage the receipt and subsequent issue of APS tokens as directed by POCL This will be based on an extension of the card issue application that will support the issue of BA cards.

Pathway Comment
Before a final solution can be defined it will be necessary for POCL and Pathway to agree the overall token issue process and any links to the issuing client organisations.

Areas that will need to be covered include :-

Method of dispatch and receipt of tokens to post offices and subsequent error handling.
Reconciliation of expected and actual token receipt and subsequent error handling.
Method of issue to customer, verification processes and subsequent exception handling.
Other exception conditions (e.g. token withdrawal, token non-collection, token non-arrival).
Information feedback to POCL and / or Clients.

Reference No 800

Pathway Response
1. EPOSS will record details of all transactions between the customer and the clerk. The information recorded will include any stock and cash items issued or received.

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2. All transactions carried out whilst serving a customer will be recorded within that customer session.

Corrections to a transaction within the current customer session will normally involve a simple modification applied directly to the transaction. But, if the transaction is of a type (e.g. on-line financial) that has already been committed then it will corrected by:
a) the reversal of the original incorrect transaction.
b) the addition of the correct transaction.

If a correction needs to be applied to a transaction in a previous customer session then the following procedure will be used:
a) identify the customer session.
b) identify and reverse the incorrect transaction
c) insert the correct transaction.
Corrections to transactions will not be possible after the cut-off and despatch of those transactions to the appropriate client, processing centre or accounting report.

A refund is assumed to be distinct from a reversal to correct errors. It is considered to be a transaction in which a customer returns an item bought and is given back cash or is credited the amount. A refund must be supported by proof of purchase, such as a receipt, which provides a reference to the original customer session and the transaction.

3. EPOSS will uniquely identify each transaction and each customer session.

4. EPOSS will provide an explicit "end customer" event which will only be valid following the settlement of the customer session. The provision of a running session balance and change calculation should encourage the use of one session per customer. Consideration should be given to the provision of information messages triggered by the number of transactions in the session.

5. EPOSS will indicate the change due to the customer when the cash taken from the customer exceeds the session balance. This will be implemented such that the session can be ended as if the balance was zero.

Pathway Comment
None

Reference No 801

Pathway Response
1. EPOSS will support the current range of business transactions. Pathway understand that these are generically grouped as:- Value Stock product; Method of Payment (MoP); Loss and Gain transaction; Retail sales product; Receipt and Payment transactions.

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2. EPOSS will support fixed price products and variable price products which may have a default value.

3. EPOSS will support variable price products where:- the value is entered by the clerk; the price is one of a defined set. In each case, variable price products can include a default value derived by look up from reference data or by an "intelligent" guess based on context. Rules will be allowed for the validation of the value (this would include check for zero value).

4. 'Composite' products will be implemented using product categorisation and grouping. This will allow the sale and declaration of products by denomination.

Pathway Comment
None

Reference No 802

Pathway Response
1. EPOSS will record the issue and receipt of any stock and cash items associated with a transaction against a stock unit. This will result in the increase or decrease of stock and cash levels within the stock unit as appropriate. This will allow the current stock position for a stock unit to be reported on request.

2. Discrepancies between the actual stock and cash on hand and the system's view of stock and cash in a stock unit will be resolved by the stock and cash on hand declaration function. This will synchronise the system's view of a stock unit's contents with the actual stock unit's contents. This will take care of these types of discrepancies (compensating or otherwise) without carrying out a transaction or a reversal.

Pathway Comment
None

Reference No 803

Pathway Response
EPOSS will implement mechanisms to safeguard against recording one-sided transactions.

EPOSS will maintain a disk-based log of transactions within a customer session. Each transaction is added to this session log as it is completed. At the end of the session all of the transactions will be transferred (committed) to the journal. When all transactions have been safely committed the session log is cleared.

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If failure occurs after the session has ended but before all transactions have been committed a cleanup procedure will use the (uncleared) session log to complete the commit process.

A transaction that requires it will be settled and committed when it is completed (i.e. before the end of the session). Obviously, this type of transaction does not need to be transferred and committed to the journal at the end of the session. For the purposes of recovery this type of transaction is treated as a session in its own right. It is marked "committed" after it has been successfully committed but is not cleared until the end of the session.

If failure occurs before the end of the session, none of the transactions will have been committed except for those that had been committed on completion as described above.

The implementation of these measures will ensure that a balanced status is maintained in the event of interruption or failure.

Pathway Comment
None

Reference No 804

Pathway Response
1. EPOSS will maintain a journal of all transactions and a facility will be provided to allow the user to search and "browse" previous transactions. The user will be able to restrict the scope of the search.

2. All transactions will identify the stock unit and the balance period to which they apply.

3. It must be stressed that transactions, once committed to the journal, are NEVER deleted or modified by counter or office functions. The original transaction is always maintained and a reversal transaction negates the effect of the original. The transaction reversal process is described for the following scenarios:

Scenario 1. The transaction is in a previous customer session within the current stock unit balance period. The transaction has not yet been despatched (i.e. client cut-off) from the office.

The user will be able to browse the transaction journal in order to find and select the transaction for reversal. A loss or gain transaction may need to be generated to account for any cash (or other MoP) involved in the transaction. Any client summary will need to be re-printed to reflect the reversal.

Scenario 2. The transaction is in a previous stock unit balance period. The transaction has not yet been despatched (i.e. client cut-off) from the office.

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The reversal must be carried out by the office manager within the office administration function - accounting adjustments. The manager will select the stock unit balance period and browse the transaction journal in order to find and select the transaction for reversal. A loss or gain transaction may need to be generated to account for any cash (or other MoP) involved in the transaction. The stock unit balance report and any client summary will need to be re-printed to reflect the reversal.

Scenario 3. The transaction is in the previous cash account period (i.e. the stock unit has been rolled over). The transaction has not yet been despatched (i.e. client cut-off) from the office.

As above, the reversal must be carried out by the office manager within the office administration function - accounting adjustments. The manager will select the stock unit balance period and browse the transaction journal in order to find and select the transaction for reversal. A loss or gain transaction may need to be generated to account for any cash (or other MoP) involved in the transaction. The stock unit balance report and any client summary will need to be re-printed to reflect the reversal.

Scenario 4. The transaction has already been despatched (i.e. client cut-off) from the office.

The transaction is not reversible. The error will probably result in the receipt of an error notice from the client.

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

4. Use of the transaction journal to resolve enquiries will be supported.

Pathway Comment
None

Reference No 805

Pathway Response
1. EPOSS will maintain a journal of all events such as logon, attach to stock unit, declare stock and cash and so on. The journal entry information will include the user and the stock unit.

2. The journal entries will identify the stock unit and the balance period to which they apply.

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3. A facility will be provided to allow the user to search and "browse" the events in the journal using specified search criteria.

4. Use of the event journal to resolve enquiries will be supported.

Pathway Comment
None.

Reference No 806

Pathway Response
1. The time and date will be maintained centrally and will be transmitted to EPOSS via TMS thus ensuring that all Outlets are synchronised .

Pathway Comment
None.

Reference No 807

Pathway Response
The transfer of stock between stock units will be conducted in the following way:

a) The requesting user (i.e. the one receiving the stock items) will verbally agree with the sending user that the items can be transferred.

b) The requester will use a Transfer Request function (a form) to identify the sender and the stock items required.

c) The sender will use the "Transfer Out" function to view and confirm the stock items. When this is completed a "Transfer Out" receipt slip is printed by the sender . This process generates transfer out transactions and decreases the stock units stock levels.

d) The requester will use the "Transfer In" function to view and confirm the stock items. When this is completed a "Transfer In" informational slip is printed by the requester. This process generates transfer in transactions and increases the stock units stock levels.

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

1. EPOSS will record the movement of stock and cash between stock units (i.e. transfers) within the same post office. The details

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of each transfer will be recorded in the journal and will identify the stock units and their respective balance periods.

2. Each transfer will comprise a set of one or more stock and MoP products.

3. The mechanism for entering the details of a transfer will resemble a form filling (P119) method rather than a serving session.

4. EPOSS will automatically adjust the stock and cash levels of the corresponding stock units to take into account the transfer.

5. The transfer will be recorded as occurring within the respective balance period of each of the stock units involved.

Pathway Comment
None

Reference No 808

Pathway Response
1. EPOSS will support the receipt, maintenance, return and issue of serial numbered stock items and tokens. Where the serial numbers are identified at the point of service (i.e. issue) EPOSS will support the recording of "spoiled" items. EPOSS will provide reconciliation functionality for serial numbered items. Reconciliation will be by volume and stock unit as follows:

Number brought forward + Number received
equals
Number on hand - Number issued (or spoilt or returned)

Where the movement of individual serial numbered items is not recorded EPOSS will provide manual bulk entry facilities for reconciliation.

2. EPOSS will support a suspense account mechanism whereby items not cleared during the accounting period will be carried forward to the next.

3. EPOSS will provide a snapshot representing the office balance position derived from all of the stock unit balances completed within the current accounting period. The format of the snapshot report will be agreed with POCL.

Pathway Comment
None

Reference No 809

Pathway Response

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1. The EPOSS desktop will provide customer session management which will maintain:
a) a log of all of the transactions performed since the start of the customer session
b) the session balance in the form of an amount to "take in" or "pay out"
c) the allowable methods of payment for settlement

2. Transactions recorded in the journal will be identified by customer session.

Pathway Comment
None

Reference No 810

Pathway Response
1. EPOSS will allow reversals and refunds. These operations will only be possible if POCL and Client accounting and business rules allow them.

2. The behaviour of transactions will be governed as far as possible by reference data parameters.

3. EPOSS will allow 'rate shopping' for those transactions which involve value-added associated services. For example, insured, registered and recorded delivery services against an inland letter transaction.

In addition, EPOSS will allow a total value to be input against a fixed price product. It will calculate the whole number of items that may be purchased for the amount specified. For example, if £1.00 is entered against second class stamps (19p each) the system will resolve this to 5 second class stamps with a total amount of 95p.

Pathway Comment
None

Reference No 811

Pathway Response
1. The passing of information to TMS is not strictly an EPOSS function. EPOSS will be responsible for recording information to the journal, but the subsequent replication and transmission of that information is then handled by the TMS functions.

2. EPOSS will support the introduction of new Client services. These will be integrated into the EPOSS product set so that they can be invoked by the appropriate event.

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In most cases the introduction of a new product will be achieved through the distribution of reference data updates via TMS. In addition to reference data updates functionality can be introduced dynamically using applets (and again these can distributed via TMS).

Pathway Comment
None

Reference No 812

Pathway Response
1. EPOSS will allow customer transactions to be reversed. EPOSS will also implement a mechanism to allow corrections to stock and cash transfers within the Outlet or between the Outlet and a remote location.

2. EPOSS will allow reversals to transactions providing that POCL and Client accounting and business rules allow them.

3. EPOSS will allow "accounting adjustments" in the form of correction transactions which are not necessarily mapped to specific transactions in the journal.

Pathway Comment
None

Reference No 813

Pathway Response
1. EPOSS will allow revaluation of fixed price value stock and MoP products. Revaluation of a product would normally be achieved through a reference data change delivered via TMS. The implementation of these types of products will be such that the new version will be distributed to Outlets in advance, and will coexist with the current version, only coming into effect on a specified "activation date". The activation date is part of the reference data (as is the expiry date of the superseded version).

2. Pathway acknowledges the possibility of future alternative currencies and EPOSS will implement MoPs accordingly.

3. The inclusion "uprating" and "downrating" accounting entries will allow for changes in stock product prices to be balanced.

4. EPOSS will implement revaluation of generic stock products in an appropriate and efficient manner.

5. The reference data for each value stock product will contain information which determines the accessibility (or sellable status) of the product.

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Pathway Comment
None

Reference No 814

Pathway Response
1. EPOSS will provide a cash on hand declaration function analogous to the filling of a paper form.

2. This function will allow the cash on hand to be declared by denomination (including coin) for the purposes of daily cash reporting and as part of the stock unit balancing process.

3. The cash on hand declaration can be invoked at any time but will normally be carried at the end of a stock unit balance period and always as part of the end of day process.

4. The EPOSS system only accepts two-sided transactions so that it is always in a balanced state as far as the information it processes is concerned. In reality, the system will sometimes be out of balance due to physical misplacement of cash, value stock or any other transaction related vouchers.

It can also be logically balanced but physically in error as a result of mis-keying (e.g. MoP as cash instead of a cheque). In this case there may be a discrepancy between the system view of total cash and the actual cash on hand, but it will not necessarily result in a loss or gain being generated.

EPOSS will generate a loss or gain when:
Total Receipts (including Opening Stock and Cash)
does NOT equal
Total Payments (including Stock and Cash on Hand)

5. EPOSS will issue an appropriate warning message when the cash on hand declaration total differs from the expected figure as maintained by the system.

6. EPOSS will permit the declaration of a zero value of any (or all) cash denominations.

7. EPOSS will carry forward and default to the denomination values from the last known declaration when no activities have occurred to alter these. A message will be issued to ensure that the user is aware of this when the cash on hand declaration function is invoked. Under normal circumstances the values will be set to zero to try and ensure that the user explicitly declares each.

8. In a Team Working office the cash declaration activity could be shared by any (or all) of the users attached to each particular stock unit.

Pathway Comment
None

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Reference No 815

Pathway Response
1. EPOSS will allow stock units which have not being used within an Outlet accounting period to be "rolled-over" to the next accounting period.

2. All stock units within the Outlet which contribute to the Cash Account must be rolled-over before the production of the Cash Account. This applies to dormant stock units a well as those that have been used during the period.

3. The office manager will control the roll-over of the dormant stock units.

Pathway Comment
None

Reference No 816

Pathway Response
1. EPOSS will have access to a full set of outlet records for a rolling period of 18 months.

2. Information will be retrieved as complete set of records for the specified outlet account period.

3. The information for the previous two outlet accounting periods will be available for review on demand. Information dating back further than this will be available at 24 hours notice.

4. EPOSS will record all significant events and all data entries.

5. EPOSS will implement a tiered level of access control. Each facility will have an associated access level and the user will require a corresponding (or better) privilege level to access the facility. Combined with the user logon requirement, this will provide a controlled environment for all users of the system.

6. EPOSS will provide the facility for an authorised user to maintain information about the users. This facility will allow the introduction of new users, the modification of user attributes (including password and privilege level), the deletion of users, and the suspension of a user's access to the system.

There will be a similar facility for stock units.

Pathway Comment
None

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Reference No 817

Pathway Response
1. EPOSS will allow discounting for those products which are defined to be discountable in the reference data.

2. EPOSS will implement an appropriate discounting mechanism for each discountable product. In it's most generic form this will take the form of a user specified percentage at the time of transaction. In specific transactions, a percentage will be derived from the reference data as the default. The application of a user specified percentage discount for all discountable products in a customer session will be supported.

3. In a similar way to above, allow a user specified discount value at the time of transaction. In specific transactions, the value will be derived from the reference data as the default. The application of a user specified discount value for all discountable products in a customer session will be supported.

Pathway Comment
None

Reference No 818

Pathway Response
1. EPOSS will have access to reference data imported from TIP via TMS. EPOSS will support date and time stamping of reference data in the form of activation and expiry dates. The activation and expiry dates are part of the reference data.

2. EPOSS will produce a report of the reference data in use at an Outlet. The format of the report will allow recent changes to be presented clearly. Changes (and notification) will normally be delivered to the Outlet electronically.

3. EPOSS will maintain reference data used to control the behaviour of most aspects of EPOSS and transactions. EPOSS functions will be driven by reference data parameters whenever the functionality can be generalised. This will allow many aspects of the behaviour of EPOSS to be modified via reference data changes rather than software.

4. EPOSS will maintain the consistency of reference data to report on and warn of errors. Interdependencies between reference data elements will dictate whether reference data record deletions (and other operations) are possible.

The distribution of reference data to other counter workstations is the responsibility of the TMS/Journalising middleware. Similarly, reference data record integrity is handled by the TMS/Journalising middleware.

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Pathway Comment
None

Reference No 819

Pathway Response
1. EPOSS will support the different cash account formats (i.e. London, Provincial, and CRU) currently used. The use of spare cash account lines to report on new products will normally be facilitated by reference data changes distributed via TMS. The cash account tables and validation rules applying to individual cash account lines will be maintained as part of the EPOSS reference data.

2. The mapping of the cash account lines to product and transaction data will be maintained as reference data.

3. EPOSS will maintain the cash account period numbers and their associated start and end dates as part of the reference data. A cash account period is normally a week. To cater for those occasions when the Outlet is authorised to combine two or three weeks into a single accounting period EPOSS will produce a single cash account report covering all transactions in the combined period. It is proposed that the cash account week number of the final week is associated with this cash account report.

It is understood that some client reports require the actual cash account week number to be identified. EPOSS will print the actual cash account week number for these reports.

4. EPOSS will initially produce a printed and an electronic version of the cash account report.

5. EPOSS will include a 2D bar-code on the printed report. The format of the data contained within the barcode is to be specified by POCL, but it is anticipated that it will contain a data-compressed set of all of the cash account report.

6. EPOSS will allow trial cash accounts to be produced. Production of the final cash account can be followed by an end-of-week facility which will 'move' the outlet forward into the next accounting period.

Note. Stock units will normally have been rolled-over into the next accounting period before the trial and final cash accounts have been produced. This is necessary in order to allow the staff in the Outlet to continue with their everyday tasks.

Pathway Comment
None

Reference No 820

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Pathway Response
1. EPOSS will implement a tiered level of access control. Each facility will have an associated access level and the user will require a corresponding (or better) privilege level to access the facility. Combined with the user logon requirement, this will provide a controlled environment for all users of the system.

2. EPOSS will not hinder the Outlet's ability to maintain trading if the OPS is not available.

3. Following an Incident, EPOSS will:
a) allow the user to return to a recent trusted position
b) implement appropriate measures to reduce the risk of data corruption
c) resume operation in a controlled auditable way as quickly as possible.

4. Backup of data will be handled by the data replication facilities of the TMS/Journalising middleware. This will allow seamless recovery from Incidents such as localised failure. A return to a known and trusted reference position will be provided by the setting of appropriate data markers.

5. EPOSS will implement measures to provide a robust committal process that reduces the risk of unrecoverable system errors.

6. EPOSS will implement measures to reduce the amount of data re-entry following recovery from a system failure.

7. EPOSS will monitor the integrity of the data and will inform the user of any implications with respect to the state of the data.

Pathway Comment
None

Reference No 821

Pathway Response
1. Pathway recognises that the centralisation of the administration of local schemes is a complex problem and needs extensive investigation to assess whether it is operationally achievable in an efficient manner. Therefore, it is proposed that local schemes will be implemented as a set of blank template products that can be tailored and activated when required. Facilities to account for and report on these transactions will be provided.

EPOSS will be configurable such that it could:
a) restrict the availability of specific transactions for an Outlet.
b) allow the use of specific transactions to be optional for an Outlet.

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c) allow local tailoring of specific transactions for an Outlet.
d) introduce new functionality as agreed with POCL.

2. EPOSS will ensure that transaction data and data derived from transactions is in the appropriate form for use by systems outside of OPS. It will also provide facilities to read and interpret data originating from systems outside OPS.

Pathway Comment
The following information is provided in order to assess the complexity of administering local schemes centrally.

Currently there are seven regions each administering approximately 20-30 schemes as indicated in the following table:

Region	Approx. No. of Clients	Approx. No. of Schemes
North East	25	26
North Wales and North West	24	24
Midlands	18	21
Scotland and Northern Ireland	13	14
South East	22	22
South Wales and South West	27	27
North Thames and East Anglia	22	23
Total	151	157

In general, all post offices within an area will offer the local schemes. A few offices within the area may be excluded from the scheme, and a few offices from neighbouring areas will be included in the scheme.

The FAD code of an office is a seven digit number of the form OOO AAA C

where OOO = Numeric Office code
AAA = Numeric Area Code
C = Check digit

An analysis of the FAD codes has provided the following information:

1. There are a total of 145 areas in all regions.
2. The largest number of offices in an area is 404.
3. The average number of offices in an area is 135.
4. The smallest number of offices in an area is 4.

For a centralised administration and reference data distribution function for local schemes to be implemented, with each participating office in each scheme being individually identified, a database estimated at 30,000 to 40,000 records is required.

Each local scheme will consist of approximately 150 records with a maximum of almost 500 records.

Reference No 822

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Pathway Response
1. EPOSS will support IM. It will allow goods to be ordered, received and despatched by consignment. It will allow the receipt and/or return of cash, value stock and security stock products as managed by the POCL Inventory Management System.

2. EPOSS will provide the IM system with information about the replenishment needs of an Outlet via the declaration of cash and stock on hand.

3. EPOSS will record and account for an external transfer within the office and an affected stock unit.

4. EPOSS will allow the Outlet to order goods at product level for specified 'required by' delivery date. It will produce a supporting order note. EPOSS will be notified by the IM system confirmation of receipt of the order including the consignment order number and the proposed despatch date.

5. On receipt of the goods, the EPOSS will allow the accompanying documentation to be reconciled against the system held order details. EPOSS will record the receipt of goods as a remittance within the appropriate stock unit, and its cash and stock levels will be adjusted accordingly.

6. EPOSS will support the receipt of advisory office level stock adjustment messages from IM.

Pathway Comment
None

Reference No 823

Pathway Response
1. The storage of EPOSS transaction data and data derived from transactions is the responsibility of the TMS/Journalising middleware. It is the responsibility of this middleware to ensure that the data is made available to other Services which require access to the data.

2. EPOSS will implement appropriate measures in an attempt to maintain the integrity of data in the event of an Incident and avoid corruption of data due to interruption of an incomplete process.

In addition to the actual data to be recorded EPOSS will include information which is used to ensure the integrity of the data. The additional information consists of a message sequence number and a message CRC check digit.

Pathway Comment
None

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Reference No 824

Pathway Response
1. EPOSS will allow the price of posting a mail item to be determined from information including the class of mail, the weight, and (if not inland) the destination. The weight will be provided by a connected electronic scale. Where the scale is shared between counter positions, it will be the responsibility of the scale to handle contention and accept or deny a connection to a counter workstation.

2. EPOSS will ensure that a connection to the scales is only requested when needed by a transaction and will proceed with such a transaction when the connection is made. EPOSS will ensure that the connection to the scale is released promptly when it is no longer required.

Pathway Comment
None

Reference No 825

Pathway Response
1. EPOSS will record all sales. All transactions will be recorded using a Point of Sale function. This function will provide a consistent method for invoking fixed price product sales, simple open value transactions and complex transactions. The recording of information for all transactions will be handled in a consistent manner.

2. Where transaction data will be captured through a peripheral reading device, the invocation of the transaction will be event-driven.

3. Each counter transactions will be maintained within its respective customer session.

4. Transaction data captured during other services will be recorded via EPOSS.

5. Transactions recorded in the journal will be identified by customer session.

6. The EPOSS desktop will provide customer session management which will maintain:
a) a log of all of the transactions performed since the start of the customer session
b) the session balance in the form of an amount to "take in" or "pay out"
c) the allowable methods of payment for settlement

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7. In general, an outstanding customer session balance can be settled by a single MoP or a combination of MoPs (e.g. part cash and part cheque). In some circumstances a transaction (e.g. savings account deposit) can require settlement in its own right irrespective of other transactions in the customer session. In addition, EPOS will enforce a set rules for a transaction which will determine the MoPs allowed for that transaction.

8. EPOSS will allow the introduction of new types of MoP by implementing the MoPs in a generic manner similar to other products/transactions. As such, EPOSS will allow new MoPs to be introduced dynamically via reference data and applets.

9. EPOSS will support multiple simultaneous customer sessions at the same counter position. It will allow a customer session to be suspended and resumed as required. When one or more customer sessions are suspended the clerk can continue to start and end further sessions for other customers.

10. EPOSS will provide a Void (or cancel) facility for the current customer session. Some transactions in the session may not be "voidable" due to accounting or business rules.

11. EPOSS will allow reversals and refunds. These operations will only be possible if POCL and Client accounting and business rules allow them.

12. EPOSS will support primary products with associated mandatory and optional products. For example, the £1.00 postal order product will have an associated 25p postal order fee product, or the association of a product representing the notional value of an MVL disc for accounting purposes. EPOSS will support the linking of as many associated products to a primary product as is appropriate.

EPOSS will support cross-selling in the form of messages and prompts associated with selected products. For example, the selling of theatre tickets could prompt the question: "And how are you travelling there, sir/madam?" which could result in the sale of a bus or rail ticket.

132. EPOSS will have the facility to read data from all the input devices (and their storage media) that are part of the OPS.

143. EPOSS will allow the manual entry of weight values where the scales are not linked. In fact, EPOSS will allow manual entry of any information that is normally captured via a peripheral to cater for the cases where the peripheral is not connected, or has failed, or is unable to read for other reasons (e.g. illegibility).

154. EPOSS will support the introduction of new Client services. These will be integrated into the EPOSS product set so that they can be invoked by the appropriate event.

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In most cases the introduction of a new product will be achieved through the distribution of reference data updates via TMS. In addition to reference data updates functionality can be introduced dynamically using applets (and again these can distributed via TMS).

Pathway Comment
None

Reference No 826

Pathway Response
The Pathway solution for OPS is based around a PC configuration at each counter position. Each PC will have a number of spare RS232 ports and these may be used for the connection of future peripherals. Connection to Avery-Berkel Parcel Scales has already been demonstrated.

Pathway confirms that the OPS will be capable of connecting to specialist peripherals which support dual connection. The capability for such peripherals to be dual connected is primarily a function of the design of the peripheral, its physical connections and supporting firmware.

Access to these peripherals will be restricted to those counter PC's which are suitably configured.

Pathway Comment
None

Reference No 827

Pathway Response
1. The overall Pathway solution can be developed to provide support for a variety of authorisation methods including stop lists, go lists and other forms of authorisation in support of future POCL products. Detailed discussion would be required with POCL and/or the Client on the form of such authorisation processes and the precise maintenance and usage of all supporting data.

Where such products exploit the "nominated post office" relationship between a customer and a specific post office the design of any authorisation process would seek to hold such data locally to reduce network costs and optimise transaction times.

2. The Pathway solution can support links to external computer systems. Such links are already in existence and are achieved through the use of a service specific TMS agent.

Pathway Comment
None

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Reference No 828

Pathway Response

Pathway confirms that it will maintain the confidentiality, integrity, validity and completeness of data throughout all storage, processes and transmissions, including during periods of service failure and recovery from service failure.

The techniques that have been proposed by Pathway in particular circumstances, include physical and personal security measures, file integrity checking, data encryption, digital signatures, CRC checking, disk encryption, systems design for selective management and visibility of data.

Pathway Comment

None

Reference No 829

Pathway Response

Pathway confirms that it will ensure that all relevant information produced at the request of the Authorities shall be evidentially admissible and capable of certification in accordance with the Police and Criminal Evidence Act (PACE) 1984 and the Police and Criminal Evidence (Northern Ireland) Order 1989.

Pathway confirms that at the direction of the Authorities and subject to reasonable regard to the data volumes and storage durations incurred, audit trail and other information necessary to support live investigations and prosecutions will be retained for the duration of the investigation and prosecution irrespective of the normal retention period of that information.

Pathway Comment

1. It is understood that PACE does not apply under Scottish law but similar arrangements will be made for outlets in Scotland.

Reference No 830

Pathway Response

1 Contingency plans

Pathway will, in co-operation with BA/POCL establish comprehensive plans that:

will ensure that all services are supported by contingency plans, including where appropriate, fallback transactions, that will minimise or negate the impact of failure in any part of the services

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will ensure that such plans are compatible with an overall PFI service continuity framework
are based on impact and risk assessments agreed between Pathway and BA/POCL
identify ownership of all plans
include activation procedures and time periods within which contingency measures will be activated
include a testing strategy for both initial testing on implementation and deployment and for regular testing during normal ongoing operations
include:
* prevention measures
* preparedness measures
* contingency measures
* recovery of normal service
* change control procedures
* contact lists
* service levels including contractor liability per associated agreements
be subject to joint review by Pathway and BA/POCL

2. Contingency designs

Pathway has described the contingency arrangements for BPS that will be used to ensure continuity of service to the Authorities. Please refer to document entitled Stream Meeting Notes dated 19/12/95, the section on Contingency.

In addition Pathway confirms that it will provide contingency within PAS for non-availability of the CAPS system by producing payment authorisations on CAPS's behalf in response to such an order. The PAS system has been redesigned to produce potential strings of payments from CAPS input. The strings will be logically of two payments, the second being transcended by new input or held in readiness in the event that BA order that payment authorisations be produced. The design provides for payment strings of any length.

Pathway is mindful that such situations may apply to other of the Authorities' systems and undertakes to seek agreement on comparable measures.

Pathway Comment
None

Reference No 831

Pathway Response
This response refers to the version of requirement 831 received as part of spr016 which superseded that received in spr010. In addition reference is made to Interface Specification, POCL Interface Requirements for BA/POCL System, Version 1.2, 31 January 1996

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PATHWAY SOLUTION:

Pathway will develop the necessary systems and operational processes to support the interfaces as specified in this requirement and the POCL Interface document. Pathway's initial response and associated costing will be based on the interfaces specified in version 1.2 of this document.

Pathway assumes that subject to the comments made below this document (or an agreed successor) will form the basis of the ITT, Tender and a subsequent Contract. Following Contract award it will become subject to joint change control between the Authorities and Pathway.

Pathway recognises from section 1.2.2 of the POCL Interface document that further functionality may be required and will be pleased to discuss the necessary operational and commercial implications as details become known.

The development and implementation of POCL interfaces will principally take the form of TMS Agents which act upon transactions originated within the Outlets or which receive transactions or data from POCL or Client systems.

Transactions from Outlets will be generated either as a part of the counter application (e.g. BES, AP) or from a local OSS counter application (e.g. Purchase Order).

The detailed formats of all interfaces will be agreed with POCL. Pathway notes the requirement in section 2.1.2 and D5 of the POCL Interface document that the ARTS model will be used where applicable as the standard for record interfaces.

Specific Interface support

1. Inventory management (IM) to/from Outlets via TMS

Interfaces will be provided to support the transmission from outlets of:

- purchase orders
- consignments received and sent
- consignment enquiries
- stock declarations

and the receipt at outlets of:

- purchase order confirmations
- consignment details
- stock adjustment

in respect of:

- money
- value stock
- security stock (including foreign exchange)
- retail stock

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Pathway confirms that it will provide for the addition or other stock types, specifically including forms and leaflets, and other, non-trading, items (which may include consumables, furniture etc.). Pathway notes that the degree to which the details of such additional types will be available for data input assistance and validation shall be negotiable. Pathway will also provide for the removal of such stock types.

The linkage between TMS and IM will be supported by an IM specific TMS Agent. This will periodically extract any IM specific messages from Outlets and forward them to IM.

This IM TMS Agent will also receive messages from IM, reformat them as required by TMS and dispatch them to the relevant Outlet. The IM TMS Agent will run continuously during agreed hours providing an on-line level of service.

2. Transaction Information System (TIP) system interfaces to/from TMS and outlets.

Interfaces will be provided to support the transmission from outlets of:

TMS Transactions (POCL Client summary returns)
Automated Product data (Authorisations within outlet within POCL client)
Outlet Transactions

and the receipt at outlets of:

Reference data about outlets
Reference data for TMS, the IM interface, APS and EPOSS
error notices
texts and/or files for distribution to outlets (instructions, procedures etc.)

Pathway will support this requirement by a TIP specific TMS Agent. This will undertake the periodic processing of the TMS journals on the Correspondence Servers to provide the outputs to TIP. Data will be passed daily at time or times to be agreed.

The TIP TMS Agent will normally receive a daily file of data from TIP at a time to be agreed. Exceptionally it will receive messages from TIP, the messages being emergency-type reference data updates, at a time or times to be agreed.

Note: it is understood that an electronic cash account will not be transmitted to TIP.

3. Interfaces between outlets (via TMS) and POCL Clients

Interfaces will be provided to support the transmission from outlets of:

Transaction data

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Authorisations Requests
Authorisation Confirmations/Exceptions

and the receipt at outlets of:

Authorisations
Client-specific Reference Data

Pathway will support this requirement by a POCL Clients specific TMS Agent. This will undertake the periodic processing of the TMS journals on the Correspondence Servers to provide the outputs to POCL Clients. For each POCL Client a single file of Transaction Data will be passed during an agreed daily time window. The POCL Client TMS Agent will send authorisation requests and confirmations/exceptions in an on-line manner to be defined.

The POCL Client TMS Agent will also receive from each POCL Client messages containing either authorisations or client specific reference data in an on-line manner to be defined.

Pathway notes the formative and proprietary nature of these POCL Client requirements. See Pathway comment regarding the distributed nature of PAS authorisations in the Pathway solution.

4. TIP/TMS interface for authorisation data

The capability for POCL to effect reconciliation between itself and its clients is provided by the TMS outputs to TIP for Automated Product Data (C1.2), Outlet Transactions (C1.3.5.5), with reconciliation totals in C1.2.7 & 8, see Section 2 above.

Pathway notes the exclusions both in requirement 831 and the POCL Interface document.

From requirement 831

EFTPOS (although stated as not part of the initial procurement Pathway notes the terms of requirement 692).
Benefit receipt/declaration storage facilities. Pathway intends to agree procedures with BA and POCL for the handling of benefit receipts, mandate-receipts, temporary tokens and PUN receipts.
Reconciliation and exception reporting. Pathway's proposals were developed during the stream meetings and were last documented in the BPS Stream Paper dated 8 January 1966.
Operational management information.
Inspection of transaction and event logs for audit and security purposes.
Transitional arrangements in relation to the automated payments/ALPS host. Pathway is planning on the basis that the data transfers described in 3 above will be with the APT Host initially. Requirement 899 specifies that the stop lists for OBCS will be transferred from DSS to TMS.
Transitional arrangements for cash account processing. Pathway's proposals are also contained in the BPS Stream Paper dated 8 January 1966.

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From the POCL Interface document (where not stated in requirement 831)

File and message switching interfaces. These are covered in requirements 471 and 478.
Links to BA's Card Management System. The links are supplied by Pathway's Card Management Service and Benefit Encashment Service. Pathway intends to agree procedures with BA and POCL for the issue of cards.

Pathway confirms that all interfaces will be agreed with POCL and notes that the associated specifications are subject to change.

Pathway Comment
General

Pathway's solution will be implemented in ORACLE7. Pathway notes the expectation that the IM application will be based on ORACLE7 and the possibility that the TIP1 application will be similarly implemented. Economies of operation based upon use of ORACLE7 functions should be considered.

Pathway would welcome discussions on the development strategy and timescales for the development of the overall IM system. The development of counter applications and TMS links will need to be closely co-ordinated with POCL's own programme. Pathway would also anticipate that an incremental development programme could be achieved with the level of automation available in the Outlet progressively increasing.

Specific

(2) In sections C1.2.4 and C1.2.5 of the POCL Interface document reference is made to the use of the Beneficiary NINO as a means of identifying a customer. Pathway assumes that the customer identity for an automated payment transaction will be that by which the customer is known to the POCL client, the identity drawn from the magnetic or smart card, or smart key forming the token for this class of transaction.

Appendix (C 2.2.x) does not contain an entry for the interface structures for text and/or files.

(3) The distributed nature of the Pathway solution for benefit payments does not use the model of payment request followed by payment authorisation. The authorised payment record, as logically issued by CAPS, is held locally in the outlet. Completed payment transactions or exception transactions (e.g. for expired payments) are recorded in the journal. These will form the basis of the response to TIP as described in C1.3.5.4.

Clarification is sought as to the applicability and usage of payment transaction data (C1.3.5.6) to hold information in relation to inpays and BT Bills. Certain forms of Girobank inpays comprise many associated documents (e.g. Business Deposits

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supported by cheques). Is it the intention for such supplementary information to be captured?

How will the purchase order (which uses outlet order id) and the consignment received (which uses consignment id) be linked ? (C3.1&2)

A copy of the Workload Brief referenced in section 1.5.1 of the POCL Interface document would be appreciated. Details of volumes would be appreciated, particularly in a form corresponding to that described in the POCL Interface document. (The future volumes in the BA/POCL workload brief (currently version 4.1, 22 January 1996) are by function not transaction.)

Reference No 832

Pathway Response
The automation of transaction processing at the counter will allow the following business processes:

1) The data captured at the Outlet will be complete and accurate within the context of the activity being recorded. For example, transaction data will include information which uniquely identifies each transaction.
2) The transfer of data will be handled by the TMS/Journaling middleware. It will ensure that the data transfer is secure, complete, accurate and robust.
3) EPOSS will provide validation of transaction data for both format and content. Validation of the format of data will normally be handled at the data entry level by the EPOSS Desktop using information from the product definition reference data. EPOSS will also support the validation of the content of the data in on-line and off-line operation.
4) EPOSS will record transactions and events in a way that is resistant to tampering. In the event of fraud, this information will be used to establish that the service was operating as intended.
5) EPOSS will support transactions which force the printing of a customer receipt. A copy of the receipt will be printed for retention in the Outlet. All of the transaction details will be recorded in the journal and these can also be used for the resolution of problems.
6) The Outlet, stock unit, and user will be all be identified when recording transactions and any activities involving cash and value stock. This will enable accountability to be maintained for the handling of cash, value stock and transaction documentation.
7) EPOSS will record a complete set of transactions for a customer session at the point of sale. This will include all methods of payment.
8) EPOSS will implement a tiered level of access control. Each function will have an associated access level and the user will require a corresponding (or better) privilege level to access the facility. Combined with the user logon requirement, this will provide a controlled environment for all users of the system.

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EPOSS will also provide the facility for an authorised user to maintain information about the users. This facility will allow the introduction of new users, the modification of user attributes (including password and privilege level), the deletion of users, and the suspension of a user's access to the system. There will be a similar facility for stock units

9) The TMS/Journaling middleware will provide transparent data replication within the Outlet and transmission to TMS. This will provide a robust environment for Outlets with two or more counter positions. For Outlets with a single counter position EPOSS will augment the transmission to TMS with transparent replication of data to an auxiliary storage device (e.g. diskette drive). Recovery will also be free of operator intervention. EPOSS will rebuild the system using the data from TMS and will augment this with information from the auxiliary storage device. The process described above removes the need for staff to perform back ups.

10) Each user, counter position and counter equipment device will be uniquely defined within the Outlet.

11) EPOSS will allow each stock unit to be balanced as often as is required within a cash account week. Balancing will involve the reconciliation of transaction data, cash and stock movements against the actual cash and stock held. The balancing process will provide the opportunity for review and amendment before final review and authorisation.

12) Transaction data will be transmitted to TMS in a timely and efficient manner using a secure method.

13) Transaction data that has not been transmitted to TMS will be clearly identifiable.

14) A recorded transaction will be reconcilable against any supporting vouchers (i.e. stubs, forms, counterfoils) generated or collected during the transaction. Where necessary the vouchers will be made available for central processing and validation.

15) EPOSS will maintain an up-to-date record of each stock unit's contents. It will provide facilities to report the current balance position of each stock unit. It will also provide an instant office snapshot facility which will provide a view of the last known office balance position on demand.

16) All movements of cash, stock and other items will be recorded and clearly identified. See responses to requirements 691, 807 and 822.

17) EPOSS will produce all specified summaries when required. If required, summaries will contain only those transactions not already summarised. The process will take into account the client cut-off's such that transactions already reported and despatched prior to the cut-off are not included on subsequent summaries.

18) EPOSS will support and identify items posted to suspense accounts.

19) Pathway will ensure that the system complies with all the appropriate legislation.

20) The Outlet will continue to operate using the fallback procedures following a system failure. This will include the manual recording of all events and transactions, and this can be considered to be an "audit trail". On recovery, the system will record the fact that the system failure took place, and any events (such as transaction entry) which are part of the recovery process will be identified as such.

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Pathway Comment
None

Reference No 833

Pathway Response
EPOSS will support a training mode. It will support "trainee" users and "training stock units". Operations on training stock units and any associated transactions will be recorded. Balancing of training stock units will be permitted but this information will be excluded from the office balancing and accounting process.

Pathway Comment
None

Reference No 834

Pathway Response
1. Adequate Contingency

The Pathway solution and supporting services provide comprehensive contingency arrangements for all outlets. These include :-

A distributed design which insulates the majority of counter transactions from any failures external to the Outlet.

Comprehensive Help desk support to provide transaction authorisation where an Outlet is out of action.

Highly resilient designs for TMS, PMS and CMS including multiple servers and resilient local and wide are networks.

Transition of a post office will be undertaken on a "whole office" basis and will be capable of being performed at any point during the weekly cash account cycle. The sooner after the weekly cash account is struck the less the retrospective re-application of transactions will be required, whether this re-application is manual or automated.

Because of this approach, contingency during transition of a post office does not represent a discrete requirement.

Facilities will be provided to enable information from offices with ECCO+, Capture, PO Balancer (and similar programs) to be extracted, converted and used as part of the automation initialisation process. The automated migration of such data will be implemented if sufficient information is available about its storage and the number of offices affected is large enough to warrant the creation of the appropriate migration software.

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The extraction of data from the office's existing systems will be carried out in a non-intrusive manner such that the integrity of the systems being replaced will not be is not compromised and will be available for live use until the manager is satisfied that the new system has been adequately established. In particular systems will permit more than one migration sequence to be attempted such that a failed attempt does not compromise the live system.

It is envisaged that all cash account products will be "transactable" (in at least a minimum form) as soon as the office EPOSS automation is operational.

2. Implementation of parent and satellite offices

The roll-out plan will be jointly agreed with BA/POCL and will take account of relationships between Outlets (e.g. parent/satellite).

Where a post office is automated prior to one or more of its associated satellite offices it will be provided with a facility for the entry of paper-based information received from the non-automated satellite offices.

Where a satellite office is automated prior to its parent office it will be provided with a facility to produce paper-based reports for its parent office.

3. Plain Paper Summaries

Each Outlet will be equipped with a back-office printer capable of producing plain paper summaries. The content of these summaries will require discussion and agreement with POCL.

4. 2-D barcodes

Each Outlet will have the ability to print a 2-D bar code on the plain paper summary. the content of the barcode will require discussion and agreement with POCL.

Pathway Comment
None

Reference No 835

Pathway Response
1. Benefit encashments and other automated products will be integrated into the EPOSS Desktop and will utilise its customer session management and transaction recording facilities such that:
a) The EPOSS Desktop will automatically record the transaction details.
b) A local transaction record will be stored for summarisation and balancing.

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c) The information recorded locally will be consistent with the information provided (via TMS) to PAS and other systems.
d) Transaction times will be minimised. The transaction application will be invoked automatically on the peripheral device read event. Transaction data will be obtained during the device read such that manual data entry is reduced. In the case of benefit encashment transactions within a nominated post office the payment authorisation information will be available locally, so that external data communications are avoided.

2. EPOSS will support the provision of transaction summaries for comparison with other records. It will provide summaries showing detail and totals for the following items:
a) motor vehicle tax discs on hand;
b) milk tokens on hand;
c) cheques;
d) benefits transactions made via BES.

3. Summaries will be enhanced in the process of automating transactions to show information about items issued, held, received, returned and spoiled. Individual serial numbers will be included where appropriate.

Pathway Comment
None

Reference No 836

Pathway Response
1. Pathway will investigate and assess the level of integration that can be achieved between the CRISP system and EPOSS. In the case where the CRISP system is truly standalone it is anticipated that the sharing of information will be achieved via file or communications media. If the CRISP system is to coexist with EPOSS on the same windows NT platform then integration will take the form of sharing data via OLE automation.

2. There is a very broad range of secondary businesses run by Agents in post office Outlets. This means that it is probably not a good approach to attempt to cater for every type of business as an integral part of EPOSS. The facility will be provided to allow appropriate applications for other business to coexist with EPOSS on the same Windows NT platform. Transactions from these applications will be identifiable as separate from EPOSS transactions particularly with respect to accounting procedures.

3. The information recorded for each transaction will be dependent on the transaction itself. In general, it will include the following:
a) Outlet, clerk, and counter position.
b) Date and time.
c) Unique Product Identifier.
d) Value.
e) Quantity.

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f) Product, client and/or scheme reference codes (if applicable) .
g) Various customer details (if applicable)
h) Methods of payment. In many cases the settlement will be applied to the whole customer session rather than individual transactions.

4. EPOSS will support the introduction of new Client services. These will be integrated into the EPOSS product set so that they can be invoked by the appropriate event. In most cases the introduction of a new product will be achieved through the distribution of reference data updates via TMS. In addition to reference data updates, functionality can be introduced dynamically using applets (and again these can distributed via TMS).

Pathway Comment
We should beware increasing the complexity and therefore the cost of the OSS to all post offices for the benefit of just a small number of post shops. At present the contractor has very little information on the CRISP system (2 pages in the SSR) and this is not sufficient to formulate a specific response to the requirement. Pathway would like to discuss the CRISP requirement with the Programme to take this forward.

Reference No 837

Pathway Response
1. EPOSS will support the production of the following predefined reports:

a) Transaction level reports by stock unit printed on clients' stationery using the counter printer or, if the physical size or layout of the stationery demands it, the A4 Outlet printer.
b) Transaction level reports by stock unit printed on plain paper using the counter printer or, if the physical size or layout demands it, the A4 Outlet printer.
c) Reports on the current level of value stock products by stock unit.
d) Reports of transaction volumes and values.
e) EPOSS will produce cash account reports.
f) Reconciliation reports.
g) Reports on cash and value stock movements.
h) Ad-hoc MIS reports as agreed with POCL.

2. EPOSS will support the printing of reports in accordance with POCL and Client requirements on frequency subject to the capacity of the printer provided. The printing or output of reports will be at the users discretion. Client reports will be produced on a daily and weekly basis and it where appropriate the facility will be provided to print several weekly reports within a accounting period.

Pathway Comment
None

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Reference No 838

Pathway Response
1. EPOSS will allow the entry of additional information associated with transactions. It will permit some of this information to be entered at a later time. EPOSS will not permit information to be entered which will compromise the integrity of any balancing or accounting processes. EPOSS will support the post-event entry of transaction information such as the weekly total of inland parcels posted as prepaid by franking meter label.

2. EPOSS will support the entry of data for transactions (including local schemes) where the only volume is recorded for accounting purposes.

Pathway Comment
None

Reference No 839

Pathway Response
EPOSS will provide retail functionality similar to that used in PostShops. This will be available for delivery at a later date to be agreed with BA/POCL. The retail functionality will:

support the existing post shop products
be extendible to allow for the introduction of new retail products and other changes in the product range
allow retail items to be mixed with non-retail (e.g. BES) transactions at the counter within the same customer session
record the sale of each retail product as a separate transaction against the user and the stock unit
support price (and other information) lookup for retail products
adjust the office retail stock levels in real-time in response to receipt, return and selling of retail items.
allow office stock level interrogation on demand
support a weekly office "stock-take" activity
reconcile retail transactions as a single line entry in the Receipts table in the stock unit balance, office balance and the cash account

It is understood (from Req 836) that the integration of the CRISP system used in PostShops and the EPOSS system will be assessed. EPOSS will also endeavour to provide the type of retail functionality which will support the following:
a) Till functionality.
b) Discounting.
c) Coupon management.
d) Multibuys.
e) Promotions.

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f) Marketing.
g) Reporting.

Note
The retail product set is considered to be separate from the stock unit product set and will be maintained and accounted for on an office wide basis.

Pathway Comment
We should beware increasing the complexity and therefore the cost of the OSS to all post offices for the benefit of just a small number of post shops. At present the contractor has very little information on the CRISP system (2 pages in the SSR) and this is not sufficient to formulate a specific response to the requirement. Pathway would like to discuss the CRISP requirement with the Programme to take this forward.

Reference No 840

Pathway Response
The BES will provide the facility to check card validity using the following tests against CMS data:
card status must be active
Sherman value must equal the issued value, recorded within CMS
card must not have expired
card issue number must be equal to the current issue number

The BES will provide the facility to verify the identity of the customer presenting the card by testing one or more of the following personal detail attributes supplied by CAPS:
date of birth or elements thereof
postal address or elements thereof
sex, as implied from style & appearance or title.

Pathway Comment
None

Reference No 841

Pathway Response
1. The benefit encashment procedures require a payee to sign the receipt of payment and confirmation of entitlement in the presence of the clerk and for the clerk to check the signature against that on the payee's card.

2. Pathway confirm that verification of an authorised person will only be required once per counter visit to enable that person to collect all valid payments to which he/she is entitled

3. The benefit payment procedures may require different levels of customer verification according to customer role, e.g. beneficiary or agent, or the office at which collection is made (nominated or

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foreign office). Where a customer is acting in different roles within a single counter visit, additional verification may be required to support payment collection in certain roles. This will not require any re-verification of information already provided during a session but may require the provision of additional verification information later in the session if, for example, a customer initially collects payment as beneficiary and then collects payments for another beneficiary as an agent.

Pathway Comment
None

Reference No 842

Pathway Response
BES will provide cardholder verification methods as described in Req. ref. 840 (i.e. using elements of the CAPS supplied data on cardholder date of birth and address). Some or all of the information may be requested from the customer according to encashment circumstances. This procedure will be automatically invoked by BES for certain agreed classes of higher risk transaction (e.g. foreign payments, or following a card read failure) and may also be invoked by the counter clerk by touching a "button" on the screen for use in any transaction where the clerk is suspicious (e.g. following an indistinct signature match).

At the appropriate point in the encashment dialogue, BES will prompt the counter clerk to ask up to two questions relating to elements of the verification data; these will be chosen so as to avoid set patterns of the same question and to minimise input from the counter clerk e.g. by use of check boxes or small numbers of characters to be entered. (It will be possible to request a further verification question should the counter clerk have incorrectly keyed the answer.)

The use of cardholder verification methods will be fully covered within the system training and will be explained to customers positively within the literature accompanying card issue.

Pathway Comment
None

Reference No 843

Pathway Response
1. The BES application will prompt the counter clerk to impound the card under agreed circumstances, for example when the card has been previously reported to CMS as stolen. There are additional circumstances where the card should be impounded but which will not automatically be known to the BES application (e.g. inconsistencies between embossed card details and magnetically

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encoded details). In these circumstances the counter procedures will incorporate checks on certain aspects of card usage and the BES application will provide information to the counter clerk to support these procedures.
Both sets of circumstances will be agreed with the contracting authorities; Pathway's initial proposals are provided below.

2. Card impounding instructions issued by BES. Our initial views on circumstances which would lead to a prompt for card impounding are as follows:

card status set as reported lost, stolen or permanent card stop/withdraw issued
failure to match Sherman value (indicating forged card)
obsolete (i.e. superseded) issue number present on card (indicating fraudulent use of an old card)
card expiry date passed

3. Card impounding within the counter procedures. Other circumstances in which the card should be impounded are:

mismatch of card embossed details and customer details provided by BES (indicating reprogrammed card magnetic data)
visible card defacement or alteration, such as additional overlaid signature strip.

4. Normal issue of replacement cards is also expected to include the retention of the expired card.

Pathway Comment
None

Reference No 844

Pathway Response
BES will present details of all payments to which a particular customer is entitled. This will include (as appropriate) payments of all benefit types made to the customer as beneficiary, appointee or agent.

Pathway Comment
None

Reference No 845

Pathway Response
The BES application will allow termination of the transaction by the counter clerk prior to the point of transaction commitment. This is the specific point in the transaction sequence, following the customer signature for entitlement and receipt and its checking against the card, at which the transaction encashment

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record is committed to the journal and the physical transfer of payment to the customer occurs.

Besides being able to terminate the transaction prematurely at the request of the customer, the transaction may be terminated prematurely by the POCL clerk if he is not satisfied that the card is genuine, if the customer fails verification checks, if the system notifies him that the card should be impounded, or if the signature on the card does not match that on the receipt.

A receipt, whether signed or not can be voided and the transaction voided.

In the case of a voided transaction where a receipt has already been printed, BES will prompt the clerk to enter the receipt for overprinting as void and retain a copy. The clerk will be prompted to enter a reason code.

Where BES prompts the counter clerk to retain the card, for example if it has been reported lost or stolen, it will also produce a receipt for the clerk to sign and pass to the customer, with a copy retained for storage.

Pathway Comment
The BES counter procedures will accommodate requirements for the appropriate retention / storage / disposal of any printed receipts produced prior to a transaction termination. [See also Req. Ref. No 850]

Reference No 846

Pathway Response
The BES counter application will record every encashment in the local journal, which will be replicated to the central TMS, from whence it will be reported to PAS and TIP.

The encashment records will be matched against the original authorisations, producing a file of matched payments and a separate file of any unmatched payments for further investigation. Pathway have proposed that these files of matched and unmatched payments are transferred to TIP. These files will also form the basis of the encashed payment report returned to CAPS.

Pathway's solution takes several steps to ensure that this transport of encashment data (and expiry data) is reliable, based upon replicating journal entries within a group comprising the post office counters and three correspondence servers.

In multi counter offices there is the inherent resilience in the multiple system units with their journal entries replicated.

In single counter offices the fixed disk drive on which all journal entries are made can be removed to a replacement system unit without loss of data. To cover the possibility that the

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replication of journal entries to the TMS layer may not have taken place when a disk drive fault is encountered by software, the unreplicated journal entries will be explicitly replicated from a main store area before software halts the system.

At the TMS layer the grouping of correspondence servers allows for a post office's data to be held on the "home" correspondence server for that office, another in its geography but in a separate fire protection zone, and a third in another geography.

PAS itself is duplicated over two geographies.

Pathway Comment
None

Reference No 847

Pathway Response
The BES counter application will provide a commit function to allow the clerk to indicate confirmation of transaction. This function will include all necessary prompts to the clerk to retain the signed top copy of the receipt and issue a copy to the authorised person.

Pathway Comment
None

Reference No 848

Pathway Response
The BES will enable customers to encash their benefit entitlement when due. Benefit authorisation data will normally be held within BES for a day or two before the entitlement due date and the authorisation data incorporates a payment validity start date which precludes payment prior to that date. The transfer of the majority of payment authorisations from CAPS to PAS will be timed to support the above schedule.

There are circumstances involving the late notification of "next day" payments up to 0400 on the day of collection where Pathway may be logically unable to enable a customer to encash at a particular time on the due date. However, Pathway will make available all accepted payments for collection by 0800 that day, subject to agreed volumes of late notifications. Pathway will use all reasonable endeavours to make payments available by the start of BES business in each office. Clearly for offices that operate BES during the period from 0000 to 0800 on the day collection is due it will not be possible to guarantee their availability, and accordingly Pathway has no alternative but to lodge a formal non-compliancy. The time within the date due at which a payment first becomes available may also need to be agreed if different offices operate different opening hours and foreign office

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collections are permitted. The Pathway solution will allow for this need.

Pathway Comment
This is provided in more detail in requirement response 757 together with proposed modus operandi.

Reference No 849

Pathway Response

The payment authorisation data provided via PMS and used by BES will include information on the dates of the last (x) foreign payments made, so as to enable BES to calculate which payments are available for valid collection away from the customers nominated office. The BES application will limit foreign encashments to (x) within a rolling (y) week period. Values of (x) and (y) will be set by the Contracting Authorities.

Payments forwarded from CAPS which have the restricted post office indicator (RPOI) set will override the above mechanism. This will have the effect of restricting such marked payments to the customer's nominated post office, irrespective of current (x) and (y) values. Pathway assume that no further action is implied by this indicator, for example BES is not required to exclude any such payments from the count of (y) to be used in the calculation of any future restrictions relating to foreign encashment (where RPOI is not set).

Note that foreign encashments will not be permitted to casual agents.

Following a search for local payment authorisation data within the encashing office, BES will request the Correspondence Server layer to search for valid payments due to the Authorised Person. When payment(s) are located the correspondence server will affirm the continuing validity of the authorisation by retrieving the current payment authorisation from the Authorised Person's nominated office.

Note that this requirement is met by a combination of BES and PAS facilities (described in Req. Ref 770)

Pathway Comment
Where a payment may also be collected by proxies with different nominated offices to the beneficiary, there is the question of whether such transactions conducted at other offices will cause the foreign payment count relating to the beneficiary to be incremented; clarification is required from BA on this point.

Reference No 850

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Pathway Response
The BES counter procedures include the local storage of receipts during the counter sessions and the BES application will produce batch headers providing details of receipts generated within the particular sessions. Procedures will be agreed with BA/POCL for the local batching and filing of such receipts and their dispatch to secure storage.

The batch headers will provide counts of receipts to facilitate checking.

Pathway Comment
Further discussion is required to define the appropriate procedures for receipt batching, filing and storage, in particular whether there is any requirement for receipts to be batched and stored by benefit type (or types), within FAD code or other office identification.

Further discussion is required to set formal cut offs to the BES business day so that these end of day tasks can be conducted.

Reference No 851

Pathway Response
Under normal circumstances the encashment transaction data is recorded on the local journal (outlet transaction file) and this information is replicated to the central TMS service and transferred to PAS.

Under failure conditions using manual authorisations at the PMS help desk, encashment authorisation data is written to the central TMS service and replicated to the local outlet journal immediately after the failure is rectified. BES will use this data to support matching of centrally authorised transactions with the local office encashment details of the same transaction set. Where encashment transactions were manually recorded at the outlet (e.g. following failure of the OPS platform) this matching will be performed manually using the local receipt copies against the transaction list transferred to the office from the central TMS records. Where encashments were recorded locally by BES (e.g. where the ISDN has failed but the OPS is operational) this matching process can be automatic. In both cases any inconsistencies will be flagged for investigation and rectification.

In all cases the outlet transaction data will be the source of encashment reporting to PAS and CAPS and also the local cash account.

Pathway Comment
None

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Reference No 852

Pathway Response
The Pathway distributed solution provides a high degree of backup capability to support continuity of benefit payments processing in the event of failure of all, or any elements, of BES. Within the post office each counter position can operate independently using local payment authorisation data replicated between counters. PMS is based upon resilient hardware configurations and has a complete backup centre to protect against major failure. The solution is designed to minimise the impact of network failures so that only exception transactions such as urgent or foreign payments are likely to be affected by a failure of the network connection to a particular outlet.

Manual backup processes are defined using authorisation via the Help Desk, located across 2 geographic sites, to support those situations where the non-availability of counter equipment or ISDN network connections may compromise the encashment service.

Pathway have proposed migration to an IC memory card, which offers the ability to securely hold certain elements of PAS data, enabling encashments to continue in the event of widespread disruption to public infrastructure or a prolonged outage of CAPS or Pathway central services.

A comprehensive discussion of failure scenarios and the levels of fallback authorisations have been provided in one of the Pathway papers to the demonstrator BPS and End-End strands (ref: Pathway - BPS Stream Papers dated 19/12/95)

Pathway Comment
Detailed descriptions of fallback and contingency arrangements for BES are provided in the above document, which may be read in conjunction with this response.

Reference No 853

Pathway Response
BES makes use of the underlying Office Platform Service which provides for a separate PC configuration at every working counter. In the event of a failure of some or all of the OPS equipment, the following recovery procedures will support the auditable recovery of benefit data.

Counter failure in multiple counter offices

In multiple counter offices, the normal benefit payment service will continue as the priority function on other operational counters. Failure of a counter PC will be recorded at the SIS help desk and will result in the unit being replaced. Following unit replacement all data for that counter (e.g. benefit data, counter transactions, reference data etc.) will be automatically

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replicated to it from the other counter PCs prior to returning the counter to normal operation.

The replacement of a PC (or any item of OPS equipment) is also recorded in the Pathway Asset Register maintained by SMS. This, together with the Help Desk records, will provide an audit trail for any recovery of BES data resulting from OPS failure.

Where the OPS failure involves the PC supporting the ISDN gateway, or if there is a separate failure of the ISDN service, exception transactions such as foreign and emergency payments will be authorised centrally via the PMS help desk using telephone contact. Authorisation data (code and payment value) will be recorded centrally within the TMS journal and entered into the BES application locally by the counter clerk. All other aspects of the transaction will handled normally, including receipt production and writing the local encashment record to the journal.

Counter failure in single counter offices

During an OPS failure in single counter offices, all payments will be authorised and recorded centrally via the PMS help desk in a similar manner. Receipts will be produced and issued manually at the local office.

General

In all cases, once the failure has been rectified, authorisation and encashment data is replicated between TMS and the outlet counter PCs so that the journals are consistent prior to service recommencement on the failed unit. Reconciliation of any manually produced receipts and centrally authorised transactions is provided by BES and is described in more detail in requirement response 851.

Pathway Comment
Attention is drawn to the BPS stream paper description of contingency procedures, the most recent version being dated 8 January 1996.

Reference No 854

Pathway Response
BES will provide arithmetic checks to ensure that the sum of individual encashment amounts equal the total encashment figure, where multiple benefits are being encashed.

Pathway Comment
None

Reference No 855

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Pathway Response
The data within BES is not accessible to the PO clerk. Payment authorisation data is digitally sealed prior to transfer into BES and cannot be altered by the post office clerk. Encashment data is written to the journal by the BES application based upon the authorised payment(s) made to a customer. Once written to the journal this data cannot be accessed by the clerk and is not accessible to other applications or to users within the local office.

Data entered into BES by the clerk under failure conditions (e.g. a payment value provided manually by the PMS help desk) will be reconciled against the central TMS records created via the Help Desk system to ensure integrity.

Pathway Comment
None

Reference No 856

Pathway Response
BES will support encashment, subject to additional personal verification checks, following a card read failure. In these situations the card details are manually keyed by the counter clerk. BES activates the personal verification check automatically and then retrieves any payments due to the customer in the same way as a normal (card swipe) transaction. Any transaction of this type will be recorded in the journal with the keyed data flag set.

The clerk will have been instructed to be especially vigilant in exception situations (e.g. card read fail) and will closely examine the physical attributes of the card and the signature. Examples of valid cards will be included in the counter procedures and supporting information to assist in this process.

A card stop will be detected in the normal manner following the keyed entry. The clerk will also be able to contact the Help Desk for guidance as required.

Where repeated read failure of the same card occurs (proposed limit is 3) a new card will be issued automatically. It is also intended that patterns of frequent keyed data entry without associated hardware fault will be reported for investigation (see Req. 895).

Pathway recommends that the keyed data should be the PAN plus the check digit, card issue number and expiry date, the latter item being checked for validity.

Pathway Comment
See also requirement response 772.

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Reference No 857

Pathway Response
Sponsors have clarified (fax Dave Pryce 5:22pm 23 February 1996) that the use of the word confirmation means confirmation before authorisation.

Accordingly Pathway confirms that in the Pathway solution benefit transactions are authorised locally within BES (or under certain failure conditions via replicated authorisation data within TMS). Consequently there is no requirement for a confirmation transaction from the outlet to PAS before authorisation.

Pathway Comment
This particular requirement is not applicable to the Pathway solution. The fact that in approximately 95% of cases one or more on-line exchanges are not required at the time of authorisation is a major advantage both in terms of response times and communications costs.

Reference No 858

Pathway Response
Where a foreign encashment is attempted BES will retrieve the appropriate payment(s) due after checking the encashment rules (see Req. Ref. 849). It is intended that this happens automatically after the local search within BES indicates that this customer is not at his nominated office. The counter clerk will be informed that payment details are being retrieved from the customer's nominated office, but the identity of this office will not be displayed. In the event that no payments are due to the customer, or that the foreign encashment limit has already been reached, BES will advise the clerk accordingly to inform the customer.

Pathway Comment
Pathway will provide that the messages output both to the clerk and, if required, on the receipt may be readily modified.

Reference No 859

Pathway Response
BES will transfer encashment data from the outlet to PAS (see Req. Ref. 846). This will include data specified by the Contracting Authorities.

The data transferred is expected to be that defined in the CAPS to PAS/CMS interface definition, Version 4, 8/11/95 specified as a single encashment group, one or more encashment payment groups and zero or more Tokens groups.

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Pathway Comment
None

Reference No 860

Pathway Response
Pathway will provide help desk facilities to support the operation of BES. The PMS help desk will provide facilities to support queries from counter clerks, particularly where equipment failure precludes normal system operation, and to support specific queries from BA staff which cannot be dealt with via the CAPS or other system interface. The CMS help desk will provide facilities to support queries relating to lost, stolen, damaged or stopped cards and facilities for ordering replacement cards where necessary. The POCL Strategic Infrastructure help desk will deal with queries relating to equipment malfunction in the underlying OPS.

Pathway Comment
None

Reference No 861

Pathway Response
BES will provide support for alternative payee arrangements, where specified by the DSS. This will enable valid benefit cards of either the beneficiary or the alternative payee to be used to encash a payment. Alternative payees will be subject to the same encashment procedures as the beneficiary, including personal verification data where appropriate (e.g. keyed card data entry or foreign encashment).

Pathway Comment
Further controls on alternative payee arrangements have been discussed with BA (e.g. requirement to provide a mandate of authority from the beneficiary) but these have been agreed to be unnecessary. It is assumed that the primary beneficiary can exercise sufficient control over encashment arrangements by the inclusion or exclusion of an alternative payee on the benefit.

Reference No 862

Pathway Response
If no payment is due to the customer, BES will prompt the clerk to return the card to the Authorised Person. Where disputes or enquiries arise the clerk will advise them to contact their local Benefit Office. (Note that in certain exception conditions the clerk may be instructed to impound the card rather than return it to the customer - Ref. Req. 843)

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Pathway Comment
None

Reference No 863

Pathway Response
The BES system can only be accessed by a genuine and valid benefit card or temporary token. BES will check the following attributes of the benefit payment card for consistency and integrity against the CMS details:

PAN
Sherman number
Issue number
Expiry date

Cardholder name will be displayed for checking against the embossed name on the card.
When card data is manually keyed the Sherman number cannot be entered but additional personal verification checks are made automatically through the use of "blind verification" screens (see Ref Req 842 for details of cardholder verification methods).

BES will similarly check the equivalent attributes provided on the temporary token via suitable encoding (e.g. barcode), covering:

Unique token id
Expiry date.

Pathway Comment
Pathway has proposed methods to support the use of temporary tokens and the implications of this on the data flow from Benefit Offices to PMS/CMS. In particular the requirement to link the use of a temporary token to a specific emergency payment (or for emergency access to a normal payment following card loss) will require an agreed system data flow between benefit offices and PMS/CMS, for which the currently specified system interfaces require enhancement. Pathway's solution incorporates these methods.

Reference No 864

Pathway Response
BES will only permit encashment using data transferred to it from PMS which is secured using digital signatures. BES will not permit the substitution of other data within the local office environment and uses the security measures provided within Riposte and Windows NT to maintain payment data integrity. The system also uses ISDN calling line identity checking and PPP authentication support on the communications sessions used to transfer payment data to BES.

Pathway Comment

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None

Reference No 865

Pathway Response
BES will accept and process payment authorisations for appointees as for normal beneficiaries. BES will also accept payment authorisations which include permanent agents in addition to the beneficiary. In this case PMS will have added card and personal verification details for all authorised payees and will have transferred this information to BES.

In the case of collection by a permanent agent BES will display those beneficiaries for whom the agent is entitled to collect (including the beneficiary himself). BES will prompt the clerk to ask the customer to select the beneficiary for whom the permanent agent wishes to collect and to check the associated mandate.

For the beneficiary selected BES will retrieve, display and process the payment(s) in the normal way using the mandate form as the basis of receipt.

Encashment by casual agents is supported, subject to additional personal verification checks, when they present the beneficiary's card, supplementary identification and the appropriate authorisation signed by the beneficiary. The appropriate form of receipt is generated and the transaction recorded with the casual agent flag set. Casual agent encashment will be restricted to the nominated office of the beneficiary.

Pathway recommends that an appointee's role is recorded on the receipt to allow the beneficiary and appointee declarations to be merged.

Pathway Comment
None

Reference No 866

Pathway Response
The payment authorisation data provided from CAPS via PMS will be used to determine which customers should be issued with milk or other tokens and the number required. BES will indicate this information to the counter clerk alongside the payment amount and will be printed on the receipt. The number and type of tokens issued will be recorded by BES in the benefit encashment journal entry within TMS and the payment of tokens will be reflected in the stock unit maintained by EPOSS.

Pathway Comment
None

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Reference No 867

Pathway Response
BES will allow customers to make changes to their nominated post office, subject to subsequent BA approval.

The customer will either ask for a change in nominated post office by presenting himself at his new chosen post office or, if he is also notifying a change of address, will also present a completed form (P80MA equivalent). If the customer is notifying only a change in his address, then no further action is taken by Pathway: conveying changes in address is not part of the PFI requirement, although POCL will have a separate responsibility to transfer forms to DSS.

Changes of nominated post office will be actioned at the counter incorporating a swiping of the customer's card to identify the customer. The change will be notified to CAPS in the position within the payment notification stream at which it occurs, for subsequent acceptance or denial by DSS. Changing the nominated office will reset the foreign payments count to zero. BES will retrieve outstanding payments from the former nominated post office if an encashment are now required, these payments not being deemed foreign ones. The change of nominated office will be recorded in PMS and CMS to direct future payment authorisations to the new office and any future card / PUN reissues to the new office.

A customer who is subject to restricted post office procedures will not be permitted to change his nominated post office.

Pathway recommends that a change of nominated post office transaction will count as a "card event", such that after a permitted number (say 3 within 18 months) BA can identify the cardholder for interview.

Pathway Comment
In this style of operation, there is a need to agree the mechanism which ensures consistency of data between CAPS and PMS/CMS. The BA/POCL Service Interface Definition Version 1, 9th Feb 1996, includes a specific acknowledgement which will serve this purpose. There is a requirement to formalise this mechanism with agreed interface formats.

Pathway would welcome further discussion on the procedures by which address changes will be conveyed to DSS.

In certain cases, for example where a replacement benefit card is awaiting collection at the old post office or is in the process of issue and despatch to that office or a PUN is in delivery to the old customer address, immediate transfer of benefit collection operations to the new nominated office will require supporting actions.

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Reference No 868

Pathway Response
The design of BES within the overall automated benefit payment procedure is aimed at minimising customer enquiries. In particular the provision of supporting information within leaflets and the provision of full payment data and next payment due date on the receipt will reduce enquiries. Where a card is presented at the normal post office and payment is not due information can be provided to the customer via the clerk to avoid further system dialogue and enquiries. This can include the date and place of last payment and due date of next payment (see also Ref. Req. 881)

The proposed solution as deployed by An Post has experienced a low level of associated customer enquiries.

The system will aim to strike the appropriate balance between the provision of adequate information to the customer during normal interactions, the requirements to maintain system security over payment related information and the need to avoid spurious use of BES where no payments are due.

Pathway Comment
Technical Design - Is customer statement request still intended to be provided ? and if so could be mentioned. What else falls into this category?

Reference No 869

Pathway Response
1. Pathway notes that BA/POCL are not concerned with the performance of individual subsystems per se, but that their primary concern is with the overall performance of the service as it impacts upon their own systems, clients staff, agents and customers. Pathway notes that targets for the level of internal performance between its subsystems will therefore not be set by BA/POCL , but that internal subsystem performance will be judged by BA/POCL as it affects overall service performance.

2. Pathway will specify the internal performance requirements of any subsystem that is re-tendered. Pathway will maintain and report actual measured performance for TMS in respect of its interfaces with other subsystems.

3. Pathway will specify the performance requirements and tolerances for :
    3.1 Hours of operation of the TMS
    3.2 Response time required between TMS and
        3.2.1 PAS
        3.2.2 CMS
        3.2.3 OPS

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3.3 The number of outages of TMS, identifying types of outage monitored

3.4 The availability of TMS.

4. Pathway confirms it will report against all the requirements and tolerances identified in (3) above.

5. Pathway will maintain detailed technical documentation of the interfaces from TMS to PAS, CMS, OPS and all attachable computer systems. In the event of any changes to any interface to TMS, this will be notified to BA/POCL in advance with updates to technical documentation made within 10 working days of the change being implemented.

Pathway Comment

The paragraph numbering in at section 3 has been rationalised.

Reference No 870

Pathway Response

1. EPOSS will be implemented such that it operates efficiently and accurately with the minimum of user interaction with the keyboard and other devices. It will endeavour to reduce the transaction times wherever possible such that the serving of a customer is not slowed down overall. The system response to peripheral input will be maintained at an acceptable level.

2. EPOSS will provide summarisation and balancing facilities in an efficient manner so as to avoid unnecessary re-processing due to data adjustments.

3. Normally, EPOSS will record the time of completion for each transaction. This means that the time from the end of one transaction to the end of the next can be measured. EPOSS will also record the beginning of a customer session as the point where the first transaction is invoked. Whilst this does not provide a strictly accurate measure of transaction time it can used for simple analysis. It is recommended that the analysis of transaction times be carried out centrally using information extracted from TMS. This will allow transaction times to be compared across Outlets so that averages, trends and substantial performance deviations can be reported.

If a higher level of detail is required then mechanisms can be implemented to capture all recordable user and system events (device input/output, keystrokes etc.). It is recommended that this is type of mechanism is only used on a temporary basis for monitoring purposes.

4. EPOSS will perform transactions in a predictable and consistent manner such that the elapsed time from invocation to completion for the same transaction (i.e. same type, similar data entry, similar office size and office load conditions) does not vary to a statistically significant extent. Where the transaction time does

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not meet this criteria then Pathway and BA/POCL will investigate and agree an appropriate course of action.

Pathway Comment
The requirement that transaction times at an outlet shall be no more than 10% greater than the average across all outlets is not acceptable. The measurement of the requirement would be a formidable task. The EPOSS only makes a contribution to overall transaction times and it is not therefore clear what would be measured. An unscrupulous supplier could meet the requirement by slugging the EPOSS response times to achieve consistency of response time overall.

Reference No 871

Pathway Response
1. EPOSS will be implemented such that the version of any reference data being referenced from outlets will be the latest applicable version of such reference data. The version of such reference data will be considered fully updated when all applicable updates have been applied. If one day's worth of updates have not been applied then the version will be deemed to be one day behind and so on.

On any business day:
95% of outlets will be referencing a version which is fully updated
99% of outlets will be referencing a version which is no more than one day behind
100% of outlets will be referencing a version which is no more than two days behind

2. Transaction data will normally be forwarded to POCL central systems (e.g. TIP) soon after the completion of the business day on which the transactions occurred as part of one or more batch communications transmissions. Transaction data not available for the first transmission will be included in a subsequent transmission.

Data which is included in the first batch transmission to take place after the time of the completion of the business day will be deemed to be in the first batch transmission and so on.

Transaction data from the outlets will reach POCL central computer systems as follows:

the data from 90% of outlets will be contained within the first transmission
the data from 90% of outlets will be contained within the first or second transmission
the data from 90% of outlets will be contained within the first second or third transmission

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3. Batch transmission times will be agreed for each POCL central system, but will not be scheduled to complete before 0430 on the morning of the day following the business day in question.

For each POCL client:

99% of all transactions must complete within the first transmission
100% of all transactions must complete within the first or second transmission

Pathway Comment
It will be necessary to define the time or times when the business day is deemed to end.

It will be necessary to define the start and finish times for the first, second and third transmission windows.

Pathway notes that the definition of transmission of batched transaction data does not anticipate transmission to commence before the end of the business day in which the transactions occurred.

Where an outlet does not report end of day by the time the latest time for this signal then Pathway will compile the transaction record on the basis that end of day was signalled at that time. It will be necessary to define the time or times for the signal which may or may not be the same as end of business day.

Reference No 872

Pathway Response
All Personal Details records, and any associated data, passed to Pathway and marked as Nationally Sensitive will be handled in accordance with the latest version of the DSS IT Security Standards.

The national sensitivity indicator will not be used in any way to support counter processing.

The verification process at the counter will not include sex, as NSI procedures are often attached to transsexuals. Instead style or title will be used which has a high but not perfect association with sex. The guiding principle shall be that an individual who is subject to NSI procedures shall not be distinguishable at the counter from one who is not.

The NSI indicator will only be accessible to BA and Pathway staff accessing the PMS and CMS help desks. Access to an NSI record will only be available to a minority of BA and Pathway staff with a sufficient clearance for whom lists will be maintained. Access will be enforced by role management. Such staff will be positively vetted.

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Access to NSI records will by default fail and cause reference to a supervisor and an explicit auxiliary procedure by a cleared member of staff will be required to access the record. In other respects the record will not be distinguished. The reason for default failure will itself not be disclosed.

No information will be passed over the telephone by Pathway staff on such records, even to BA staff.

The NSI will be set and unset only by BA staff with sufficient clearance.

Pathway Comment
During the transitional period when CAPS will not provide support to immediate enquiries payment transactions it will be necessary to agree a modus operandi for authorised access to NSI records. On the one hand the long term formal security standard requires that Pathway pass no information over the phone even to BA staff, however, fraud investigation for example will require access to this information.

An approach whereby list of authorised BA personnel who may be provided with NSI record information can be provided to Pathway to allow this selective access.

A similar authorised list approach may be suitable for notifying Pathway of records on which the NSI attribute should be set and unset. (In the normal steady state only BA personnel with sufficient clearance will have access to this facility.)

In any case Pathway will operate role management within its PMS and CMS Help Desk staff such that only those cleared to do so may access NSI records.

Reference No 873

Pathway Response
Pathway's solution for BES provides a flexible and secure environment for a wide range of counter applications. A modular design enables new counter applications to be introduced in some or all Outlets as required by POCL and to use the general security and resilience features provided by BES.

The introduction of new services will be based on discussion and agreement between Pathway and POCL supported by the necessary commercial and operational agreements.

The impact of the introduction of any new service, as it may effect the existing systems and procedures in an Outlet, will be assessed by Pathway and a systems and service introduction strategy will be agreed between Pathway and POCL.

Outpayment services may be introduced within the same BES and TMS architecture as are used for all other services. These

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transactions will use the generic transaction replication and recovery facilities provided by TMS. Where required TMS Agents will provide links to the POCL Client for inward and outward dataflows.

Pathway Comment
None

Reference No 874

Pathway Response
The process for terminating a card will be initiated when CMS receives a card control transaction with the appropriate card status field set. Upon receipt a card status record will be created and sent to the nominated home post office of the card owner. These will cover the variety of card status conditions (e.g. stopped, suspended, terminated) where some action is required in the Outlet.

The presentation of a card initiates the retrieval of benefit payment records (if present) and any card status records into the BES application.

Where a card status of terminated is found the counter clerk will be instructed to
carry out the actions as previously agreed with BA.

Pathway intend that a card status record of terminated will remain in the home post office until the card expires and the record will then be automatically deleted.

Pathway Comment
None

Reference No 875

Pathway Response
Temporary Tokens are issued by BA offices either in support of an urgent payment or as a substitute for a lost/stolen/damaged BA card, where the card holder requires a "card" in advance of normal card re-issue.

In this latter case the reporting of the original card loss etc. will result in a card stop being issued to protect any outstanding payments.

Should it be necessary to impound a temporary token (e.g. due to loss/stolen/damage etc.) then the beneficiary will report this fact to the issuing BA office. The BA office will contact the CMS help desk who will issue a change token status record (e.g. stop / suspend etc.) using the same procedures as are routinely used for card stops. This will prevent malicious use of a lost etc. token.

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Should such a token be presented BES will check for any such token status records and prompt the clerk to carry out the associated instructions agreed with POCL/BA.

Pathway Comment
Temporary Tokens are issued by BA offices either in support of an urgent payment or as a substitute for a lost/stolen/damaged BA card, where the card holder requires a "card" in advance of normal card re-issue.

In this latter case the reporting of the original card loss etc. will result in a card stop being issued to protect any outstanding payments.

Should it be necessary to impound a temporary token (e.g. due to loss/stolen/damage etc.) then the beneficiary will report this fact to the issuing BA office. The BA office will contact the CMS help desk who will issue a change token status record (e.g. stop / suspend etc.) using the same procedures as are routinely used for card stops. This will prevent malicious use of a lost etc. token.

Should such a token be presented BES will check for any such token status records and prompt the clerk to carry out the associated instructions agreed with POCL/BA.

Reference No 876

Pathway Response
BES provides a generic set of facilities to pay benefits irrespective of type or value of individual benefit.

Pathway do not anticipate any significant changes being required to BES to support the introduction of new or changed benefits providing the general use of the record structures, data fields and counter procedures remains consistent.

Pathway and BA will jointly discuss the introduction or change of any benefit. Pathway will conduct an impact assessment to determine any commercial, system or operational implications and review the results with BA following which an introduction plan will be agreed.

Pathway Comment
None

Reference No 877

Pathway Response
Pathway will provide a Token Management System which will support the receipt, local management and customer issue of BA cards. The facilities that will be provided include :-

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Receipt of bar-coded card batches, identifying intended post office and quantity
On-line activation to CMS
Customer issue supported by PUN
Local reporting and administration to support card withdrawal prior to issue, card non-collection etc.

Pathway anticipate that any card issue requirements for other POCL clients can use these facilities providing the overall card processes are consistent.

Pathway and POCL will jointly discuss the introduction of any new card issue service. Pathway will conduct an impact assessment to determine any commercial, system or operational implications and review the results with POCL following which an introduction plan will be agreed.

Pathway Comment
None

Reference No 878

Pathway Response
Benefit encashments will be integrated into the EPOSS desktop and will utilise its customer sessions management and transaction recording facilities such that :

The EPOSS desktop will automatically record the transaction details
A local transaction will be stored for summarisation and balancing
The information recorded locally will be consistent with the information provided (via TMS) to PAS and other systems

Pathway Comment
None

Reference No 879

Pathway Response
Benefit Payments details are held within the beneficiary's nominated post office. When an encashment occurs various details are written to the journal which include :-

Post Office ID
Position ID
Transaction ID
Authorisation ID
Date
Time
Clerk

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etc.

For payments made in the nominated office, these local details will be recorded in the encashment record which is written to the journal.

For foreign payments, a link is established from the foreign office, via TMS, to the nominated office (which holds the payment details) and a similar encashment record is written to show that the payments have been encashed in a foreign office. This encashment record will now contain the Post Office ID etc. of the foreign encashing office and ensures that no local encashment can take place should the Authorised Person's card subsequently be presented at the nominated office. There will be another record written in the foreign office of encashment; it is on this record that the payment notification to PMS and CAPS and local cash account processing will be based.

Subsequent processing of an Outlet's encashment records can identify which payments were encashed by a foreign post office.

Encashment recording under failure conditions, using authorisation via the PMS Help Desk, is covered in Ref. Req. 851

Pathway Comment
None

Reference No 880

Pathway Response
Transaction data from the Outlets and sent to TIP via TMS will follow the specifications defined in the BA/POCL Interface Requirements document.

Pathway's initial response and associated costing is based on the interfaces specified in version 1.1 of this document supported by version 1.8 of the System Strategy Infrastructure : Interfaces diagram; however this document is missing much of the information required.

Pathway Comment
Pathway would welcome the earliest availability of the missing information that relates to the three interfaces described in version 1.1 of the Interface Description document. This will enable the final operation and commercial implications to be defined.

Reference No 881

Pathway Response
BES will be capable of producing a nil receipt when, following a card swipe/keyed entry, no benefits are found to be due.

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Pathway Comment
None

Reference No 882

Pathway Response
BES will be capable of producing a replacement receipt to satisfy a customer request. This facility will be selected by the counter clerk and will then require the customers card to be swiped/keyed.

This facility will be limited to the outlet where the original encashment took place and will be restricted to the most recent encashment.

The wording to be used for a replacement receipt will need to be agreed between Pathway and BA, as will the period of time following an encashment during which a replacement receipt can be issued. Pathway currently expect to retain a local copy of transaction data in the Outlet for approx. two weeks.

The issuing of a replacement receipt will be recorded in the journal.

Pathway Comment
Agreement on wording and time validity will be required. Also the counter procedures relating to the office copy of a replacement will need to be agreed with BA/POCL.

Reference No 885

Pathway Response
1. Pathway endorses the principle that service targets should relate to the operation of the system as a whole as perceived by BA/POCL as overall service performance at the PFI service boundaries.

2. Pathway will specify the internal performance requirements of any sub-system that is retendered. Pathway reserves the right to modify service targets for overall performance at the PFI service boundaries in the event that such a subsystem is retendered and/or let to a third party. Pathway will maintain actual measured performance for PAS and report it where it interfaces to the PFI boundary.

3. For PAS Pathway will specify performance requirements and tolerances for:

3.1 Hours of operation and function provided by PAS in support of other internal subsystems. (Note that hours of operation of PAS and certain functionality is the subject of requirement 884.)

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3.2 Response time required between PAS and:
TMS
CMS

3.3 The number of outages of PAS, identifying types of outage monitored.

3.4 The availability of PAS

4. Pathway will report against all performance requirements which represent a PFI boundary service target.

Pathway Comment
None

Reference No 887

Pathway Response
1. Pathway endorses the principle that service targets should relate to the operation of the system as a whole as perceived by BA/POCL as overall service performance at the PFI service boundaries.

2. Pathway will specify the internal performance requirements of any sub-system that is retendered. Pathway reserves the right to modify service targets for overall performance at the PFI service boundaries in the event that such a subsystem is retendered and/or let to a third party. Pathway will maintain actual measured performance for PAS and report it where it interfaces to the PFI boundary.

3. For CMS Pathway will specify performance requirements and tolerances for:

3.1 Hours of operation and function provided by CMS in support of other internal subsystems. (Note that hours of operation of CMS and certain functionality is the subject of requirement 886.)

3.2 Response time required between PAS and:
TMS
PAS

3.3 The number of outages of CMS, identifying types of outage monitored.

3.4 The availability of CMS

4. Pathway will report against all performance requirements which represent a PFI boundary service target.

Pathway Comment
None

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Reference No 888

Pathway Response

1.INTRODUCTION

This response documents the key service requirements for Pathway's Payment Authorisation Help desk service.

2.HELP DESK SERVICE

2.1General.

Pathway will provide a Payment Authorisation help desk service to answer 80% of calls within 10 seconds as the first point of contact for customers of the service. Customers include DSS / Benefits Agency and PO Counters staff .Two levels of service will be provided.

2.2.1st.Level Service

Pathway will provide a 1st level service for enquiries which can be resolved within 5 minutes and will cater for 1st level members being off duty.The 1st level member who takes the call will own the problem / query from initial logging through to resolution to the customer's satisfaction.

The help desk contact will be over the telephone.

2.3. 2nd Level Service

Pathway anticipates that only a small percentage of calls will require more than 5 minutes to resolve at a second level of service.

Such calls will be referred electronically from the first level service to the 2nd level service. 2nd level staff will progress such queries to resolution within 30 minutes.

2.4. Hours of Service

Pathway will provide a continuous help desk service as specified below :

1st level -)8.00 - 18.00

2nd. level - 08.00 - 18.00.

Clarification is required about days of week for level 1 level 2 service provisions : we recommend 08.00 to 18.00 hrs Mondays to Fridays and

08-00 to 13.00 hrs on Saturdays to answer any enquiries from PO Counters staff, whilst open for BA business on Saturdays.

Pathway is unable to make an open ended commitment to extend the level 2 service to whatever is needed at 2 working days notice.

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In emergencies Pathway will provide a level 2 service outside normal hours ,given 5 hrs notice.

2.5. Problem and Query Management

Pathway will provide a problem / query management system to record / query details such as:

-unique problem / query serial reference, generated automatically by the problem / query management system;
-customer reference ,contact,address , location and telephone number ;
-help desk contact;
-description of the problem/query, including frequency of occurrence;
-serial references of similar faults and previous occurrences;
-problem / query category;
-estimated elapsed time to solve problem/query;
-any change of referral point;
-date and time of referral.

PATHWAY will update the problem /query management system with the following information, as appropriate :

-date and time of update;
-help desk contact updating record;
-textual description of the work done,or the fact that the problem /query had to be referred elsewhere and who has taken it on;
-date and time problem/query was cleared;
-date and time the solution was accepted by the customer (although we will need to agree a definition for “accepted”)
-actual elapsed time to solve the problem / query.

Pathway will manage the resolution of any problem using documented procedures agreed with the AUTHORITIES. These procedures will be comprehensive in that they will cover all aspects of problem resolution from initial logging through to closure. Escalation procedures will be included. A problem / query will only be cleared when a customer has confirmed satisfaction with the resolution.

2.6. Resilience

Pathway will ensure 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 and computer systems. The contingency plan will be agreed with the AUTHORITIES and will state how quickly the service will be restored in the event of an incident. The plan is currently based on two sites for each help desk with staff multi-skilled in both CMS & PMS help desks.

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2.7. Training

Pathway will comply with training for the AUTHORITIES ' staff as per our response to Requirements Catalogue number 734. Pathway will develop training plans for its own staff.

2.8. Personnel

Pathway will ensure that all staff have suitable and appropriate skills and training and that sufficient skilled resources are available to cater for holidays, sickness and natural wastage within the CONTRACTOR's organisation.

2.9. Service Targets

Pathway proposes that service targets should be established as follows :

- 80% of calls answered within 10 seconds
- >99% of calls answered within 30 seconds
- abandoned calls (where the caller rings off) < 5%
- 95% of calls assigned to level 1 within 5 minutes
->99% of calls assigned to level 1 within 10 minutes.
- 95% of calls assigned to level 2 within 30 minutes
->99% of calls assigned to level 2 within 45 minutes.

3. Service Monitoring

3.1. Service Performance Statistics
3.1.1.
Pathway's Help desk service will be monitored and reviewed over monthly periods. Statistical evidence of its performance against agreed measures will be produced by analysis of the data captured by the Help desk system and by the telephony system.

3.1.2. The analysis will be presented to the Contracting Authorities in an agreed format within 5 working days of the end of the period.

3.1.3 The data upon which the analysis is made will be maintained within a relational database system supporting SQL type enquiries. This will enable Pathway to view the data in a flexible way and provide reports as agreed with the Authorities.

3.1.4. Help desk records will be maintained for a period of 18 months.

3.2. Customer satisfaction surveys.

Pathway will be pleased to participate with the Contracting Authorities in devising and conducting customer satisfaction surveys.

3.3. On -line Access and Ad - hoc reports.

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3.3.1. Pathway will be pleased to discuss the provision of on-line access to its problem management systems for named representatives for the purposes of planned audit and inspection.

3.3.2. Reasonable requests for single ad-hoc service reports will be welcomed and will normally receive a response within 3 working days.

Pathway Comment
1. Need to clarify reason(s) for Authorities' request for on line access to the Problem Management System and take into account the limitations of the Data Protection Act. See para 8 of Authorities' Responsibilities section below.
2. Authorities may wish to consider a less expensive option to the Problem Management System as described above. See para. 1 of Significant Costs section below.
3. The number, nature and frequency of requirements for ad hoc reports needs further clarification.

Reference No 889

Pathway Response
1.INTRODUCTION
This response documents the key service requirements for Pathway's Card Management Help desk service.

2.HELP DESK SERVICE
2.1General.

Pathway will provide a Card Management help desk service to answer 80% of calls within 10 seconds as the first point of contact for customers of the service. Customers include both Benefits Agency and members of the public although we anticipate that PO Counters staff will also require access to the help desk in certain situations. Two levels of service will be provided.

2.2.1st.Level Service

Pathway will provide a 1st level service for enquiries which can be resolved within 5 minutes and will cater for 1st level members being off duty.The 1st level member who takes the call will own the problem / query from initial logging through to resolution to the customer's satisfaction.

The help desk contact will be over the telephone.

2.3. 2nd Level Service

Pathway anticipates that only a small percentage of calls will require more than 5 minutes to resolve at a second level of service.

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Such calls will be referred from the first level service to the 2nd level service. 2nd level staff will progress such queries to resolution within 30 minutes.

2.4. Hours of Service

Pathway will provide a continuous help desk service as specified below :
1st level - 24 hrs a day, 7 days a week; all year round (Xmas Day excepted)

2nd. level - 08.00 - 18.00. : Clarification is required about days of week for level 2 service provision : we recommend 08.00 to 18.00 hrs Mondays to Fridays and
08-00 to 13.00 hrs on Saturdays to answer any enquiries from PO Counters staff, whilst open for BA business on Saturdays.

Pathway is unable to make an open ended commitment to extend the level 2 service to whatever is needed at 2 working days notice.

In emergencies Pathway will provide a level 2 service outside normal hours ,given 5 hrs notice.

2.5. Problem and Query Management

Pathway will provide a problem / query management system to record / query details such as:

-unique problem / query serial reference, generated automatically by the problem / query management system;
-customer reference ,contact, address , location and telephone number ;
-help desk contact;
-description of the problem/query, including frequency of occurrence;
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-problem / query category;
-estimated elapsed time to solve problem/query;
-any change of referral point;
-date and time of referral.

PATHWAY will update the problem /query management system with the following information, as appropriate :

-date and time of update;
-help desk contact updating record;
-textual description of the work done, or the fact that the problem /query had to be referred elsewhere and who has taken it on;
-date and time problem/query was cleared;
-date and time the solution was accepted by the customer (although we will need to agree a definition for “accepted”)
-actual elapsed time to solve the problem / query.

Pathway will manage the resolution of any problem using documented procedures agreed with the AUTHORITIES. These procedures will be

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comprehensive in that they will cover all aspects of problem resolution from initial logging through to closure. Escalation procedures will be included. A problem / query will only be cleared when a customer has confirmed satisfaction with the resolution.

2.6. Resilience

Pathway will ensure 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 and computer systems. The contingency plan will be agreed with the AUTHORITIES and will state how quickly the service will be restored in the event of an incident. The plan is currently based on two sites for each help desk with staff multi-skilled in both CMS & PMS help desks.

2.7. Training

Pathway will comply with training for the AUTHORITIES ' staff as per our response to Requirements Catalogue number 734. Pathway will develop training plans for its own staff.

2.8. Personnel

Pathway will ensure that all staff have suitable and appropriate skills and training and that sufficient skilled resources are available to cater for holidays, sickness and natural wastage within the CONTRACTOR's organisation.

2.9. Service Targets

Pathway proposes that service targets should be established as follows :

- 80% of calls answered within 10 seconds
- >99% of calls answered within 30 seconds
- abandoned calls (where the caller rings off) < 5%
- 95% of calls assigned to level 1 within 5 minutes
->99% of calls assigned to level 1 within 10 minutes.
- 95% of calls assigned to level 2 within 30 minutes
->99% of calls assigned to level 2 within 45 minutes.

3. Service Monitoring

3.1. Service Performance Statistics
3.1.1.
Pathway's Help desk service will be monitored and reviewed over monthly periods. Statistical evidence of its performance against agreed measures will be produced by analysis of the data captured by the Help desk system and by the telephony system.

3.1.2. The analysis will be presented to the Contracting Authorities in an agreed format within 5 working days of the end of the period.

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3.1.3 The data upon which the analysis is made will be maintained within a relational database system supporting SQL type enquiries. This will enable Pathway to view the data in a flexible way and provide reports as agreed with the Authorities.

3.1.4. Help desk records will be maintained for a period of 18 months.

3.2. Customer satisfaction surveys.

Pathway will be pleased to participate with the Contracting Authorities in devising and conducting customer satisfaction surveys.

3.3. On -line Access and Ad - hoc reports.

3.3.1. Pathway will be pleased to discuss the provision of on-line access to its problem management systems for named representatives for the purposes of planned audit and inspection.

3.3.2. Reasonable requests for single ad-hoc service reports will be welcomed and will normally receive a response within 3 working days.

Pathway Comment
1. Need to clarify reason(s) for Authorities' request for on line access to the Problem Management System and take into account the limitations of the Data Protection Act. See para 8 of Authorities' Responsibilities section below.
2. Authorities may wish to consider a less expensive option to the Problem Management System as described above. See para. 1 of Significant Costs section below.
3. The number , nature and frequency of requirement for ad hoc reports needs further clarification.

Reference No 890

Pathway Response
1. AP transactions

All transactions that take place in an Outlet will be automatically and securely replicated to TMS throughout the day. Transactions, once committed locally as part of a customer session, will be immediately replicated to any other counter position PCs in the outlet and periodically to central servers in TMS. Each transaction will have a unique and increasing sequence number and TMS facilities ensure that transactions cannot be replicated out of sequence.

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The end of day process in each Outlet will transmit any remaining transactions, any end of day control totals and an end of day marker.

TMS Agents will extract information from the central TMS journal and prepare the files (including transaction and value totals) for subsequent dispatch to POCL and their Clients. Any outlets for which an end of day marker has not been received will be identified and investigated.

2. POCL and Client synchronisation

It is anticipated that the AP datafiles will be accumulated during the day by the TMS Agent and that the files for POCL (i.e. for TIP or equivalent) will be generated following Outlet closures.

Transactions for POCL clients (e.g. AP Clients) and for POCL are all derived from the same source data (in TMS) and will there fore be consistent. File dispatch to POCL and POCL Clients will be determined by the operational windows agreed with these parties but will always occur at least once every 24 hour period.

The agents which extract and transmit TMS data to clients and TIP act independently and can access the same source data simultaneously. This ensures that the data received by TIP is entirely consistent with the data transmitted to the clients.

In addition to the outlets' transaction records, client cut-off records will be transmitted to TMS from outlets (by stock unit and by balance period). The client cut-off records will indicate the despatch of foils, stubs and vouchers to the appropriate processing centre. These client cut-off records can be used to control the extraction and transmission of TMS data by the agents.

Pathway Comment
None

Reference No 891

Pathway Response
1. General requirements

1.1 Pathway will ensure that all captured data (that is inward data across service interfaces) is complete, and accurately reflected in the appropriate outward interfaces. These specifically to include:

transaction data of all transaction types and modes including stock and money levels

reference data changes, both local (from an individual outlet) and from an authority

- from BA in respect of PAS and CMS
- from POCL TIP except for any transient arrangements, e.g. OBCS stop lists

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such data consistency will be maintained at the levels of interface and across interfaces according to requirement, e.g. data captured in EPOSS is accurately reflected in the interface between OPS and TMS

1.2 Pathway will provide for the synchronisation of data flows and storage, by applying timing data (date and time stamps) and time sentinels (end of day records) as appropriate. This specifically to include:

monitoring data transfers and accounting for data brought forward, received, passed on and carried forward across the PFI service boundaries

monitoring data transfers and accounting for data across interfaces internal to Pathway

for example, EPOSS transaction data transferred to TMS and subsequently transferred to TIP

where a single data stream is "switched" to more than one recipient, Pathway will reconcile or eliminate any differences due to timing between transfers, providing information to each recipient such that they can reconcile with other recipients of the same data even though such recipients may process the data at different times and frequencies

for example, POCL will require (at least) daily volume and value totals of APS transactions sent to its clients, by batch-within-client optionally subtotalled by service-within-batch, such that POCL may reconcile at these total and subtotal levels independently.

1.3 Pathway will ensure that data is consistent between the levels where transaction or stock and money level data is held, maintained or transferred at more than one level. This specifically to include:

transaction data and summaries of it

It should be noted that the Pathway solution maintains transaction data in its original, non-updated and most finely divided form within TMS both at the post office and correspondence server layers, and that all derivations are from this invariant base.

1.4 Pathway will perform daily cut-over reconciliations for any on-line interfaces with external systems, for example between TMS and any EFTPOS merchant acquirer. In particular, interfaces with POCL clients which transfer data up to declared cut off points will contain reconciliation data to check that the data received corresponds with that sent.

1.5 Pathway will report reconciliation results to the relevant Authority(ies) including any discrepancies and doubtful items and reports on progress on resolution of outstanding items. These to include reconciliation results:

between Pathway and the Authorities

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between Pathway and other external interfaces (e.g. POCL clients) to enable the Authority(ies) to maintain their commercial relationships
between Pathway internal service components (to inform/assure the Authorities on status)

1.6 Pathway will apply appropriate integrity controls at all interfaces and provide information demonstrating integrity. Pathway and the relevant Authority for each interface will agree protocols and controls.

1.7 Pathway will control the implementation of configuration changes, including changes to reference data. This to include:

checking and reporting the implementation of changes against instruction
maintaining the integrity of other reconciliation processes across configuration changes, including demonstrating this in testing

1.7 Pathway will meet all reconciliation requirements in contingency situations as well as in normal working.

1.8 Targets for all reconciliation requirements are:

full reconciliation with 100% of items accounted for
provision of reconciliation at detailed levels, for example at transaction level for transaction data
Pathway will resolve any differences, doubtful items, or errors produced by its reconciliation processes
Pathway will provide reconciliation reports and identification of doubtful items to the relevant Authority(ies) by 9 am of the day following that in which the reconciliation exception occurred
Pathway will use all reasonable endeavours to resolve any doubtful items and errors promptly

2. Post Office Outlet Reconciliation Requirements

2.1 Pathway will ensure that stock and money levels are reconciled with transaction data. This will be:

at the transaction level
at the customer session level
at the stock unit level
at the outlet level

Note: the requirements for balancing within an office are defined in the EPOSS and OSS requirements, those for stock and money movements between offices will be reconciled by the POCL Inventory Management System using data provided to it from EPOSS and OSS via TMS.

2.2 Pathway will provide the fundamental controls for stock and money brought and carried forward, transaction data and transfers to/from suspense as detailed in the EPOSS and OSS requirements as well as facilities to allow permitted reversals and

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rectifications. Such controls will be available in fallback or recovery after failures.

2.3 The reconciliation of stock and money for transactions will be, in effect, instantaneous, with a record of the levels of stock and money within a stock unit being maintained as the transaction is committed.

3. BPS reconciliation requirements

3.1 Pathway will reconcile tokens by type as well as monetary amounts. At present two types of milk tokens are defined.

3.2 Pathway will identify any differences between entitlements passed by CPCS to PAS and encashments received by PAS on an individual item basis (Authorised Payment Id) supplied by CPCS. These will include:

amounts encashed as notified by TMS in normal circumstances
any adjustments raised directly by Pathway to resolve errors or due to maintenance activities (e.g. removal of time expired items)
actual payment amounts encashed where there are any unresolved errors, by Authorised Payment Id, making clear the actual amounts paid (whether rightly or wrongly) so that BA can deal properly with beneficiaries

3.3 Pathway will reconcile the payment amounts authorised to offices by PAS via TMS against amounts encashed as advised by offices via TMS to PAS.

Pathway will notify both BA and POCL of any adjustments made to PAS resolving errors.
the methods of processing any Pathway corrections will be agreed between Pathway and the Authorities
. it may be necessary to or desirable to pass some through service components and/or to agree timing or provide cross references , and so forth
. it will be necessary to agree the notification channels for different cases, e.g. what should be notified to POCL via TIP
Pathway will handle the small number (less than 10 per day) of encashments reported after nominal expiry, either because of the office being off-line or because a customer could not obtain payment at an unexpectedly closed office on the payment’s last day of validity.

3.4 Pathway will provide a common basis for settlement between the Authorities:

ensuring that the amounts encashed as received by PAS via TMS are reflected unchanged in the EPOSS transaction records as delivered to TIP via TMS
any data recovered from other records, e.g. receipts must be verified against other sources such as the TMS record of the authorisation as well as reconciled with the PAS record

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this may include identification and resolution of any differences by individual item (i.e. by "Authorised Payment Id" as supplied by CPCS)

synchronising the PAS and TIP streams to agreed settlement process deadlines

the basis for settlement of benefit transactions will be payment authorisations versus benefit encashments/expiries (plus reconciliation exceptions).

3.5 Pathway will ensure that any archived transaction-related documentary evidence (e.g. receipts) held by Pathway is held so as to facilitate retrieval:

ensure the accuracy and completeness of the records as defined by the automated streams

retrieve 99.99% of signed receipts on request from Pathway-managed archive within five days.

The form in which receipts may be stored (microfilm and paper in addition to direct access disk, optical WORM,) and the corresponding service levels are the subject of an added value service in course of proposal by Pathway.

(The key or keys used to retrieve receipts will include NINO and encashment identifier. Several payment authorisations of several benefit types are required to be handled in one encashment).

4. TMS reconciliation requirements

4.1 Pathway will maintain controls on operations including connection to and loss of communications with offices or with other service components to alert Pathway operational management to situations and/or events requiring its attention.

4.2 Pathway will apply controls on file and data transfers at all technical levels and, using relevant counts and financial totals, at business levels. Pathway notes that POCL will rely on information provided via TMS interfaces to its TIP and IM systems for reconciliation and control of various office business processes.

4.3 Pathway will ensure that information provided to POCL via TIP makes explicit what transaction data has been sent to its clients.

5. Card management reconciliation requirements

5.1 Pathway will reconcile BA card and management actions against instructions received from BA and via the CMS Help Desk.

details of the Pathway solution will be agreed as between Pathway and the Authorities

the scope will include both normal benefit cards and temporary tokens

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5.2 Any POCL role as a subcontractor in card management processes will be agreed separately between POCL and Pathway including any reconciliations required as part of that process.

6. Commercial reconciliation requirements

6.1 Pathway will provide information to enable reconciliation of services provide by Pathway with charges made by Pathway, for example Pathway may need to account to BA for the number of cards issued, and in various other states, in order to agree charges.

6.2 Pathway will act, and be seen to act, as an agent for the relevant Authority(ies) in reconciliations with other parties including the Authorities themselves, and provide the necessary information for them to exert appropriate management control over operations performed on their behalf:

Pathway will undertake the operational aspects and take responsibilities as each defined in the Contract

Pathway will ensure that the commercial relationships between the Authority(ies) and third parties are not compromised.

Pathway Comment

Attention is drawn to the stream paper entry for system reconciliation which was last discussed on 8/1/96 and which is in course of revision.

The treatment of data flow synchronisation has been substantively reworded hopefully to define more closely the requirement.

The distinction between the terms of paragraphs 3.2 and 3.3 requires clarification. Pathway cannot discern the distinction in intent.

Pathway expects that there will be cases of reconciliation exception relating to apparently correct data accepted on day 'x' which are discovered on day 'x+n'. An example is a payment authorisation defined for a nominated office which was in being when the payment was accepted and processed but which had been closed before the payment could reach it. Thus report of reconciliation exception is related to time of discovery, not time of acceptance of the data on which the discovery is made.

Office level stock and money movements are defined in the OSS.

Manual receipt checking on recovery from failure will initially be against the TMS record created by the PMS Help Desk.

Receipts are for encashments which may cover several payment authorisations and benefit types.

Much card management activity will emanate from the CMS Help Desk.

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Reference No 893

Pathway Response
1. Pathway will ensure that all transaction references, such as encashment identifiers and payment authorisation references, beneficiary identities and associated time stamps and equipment identities, are consistent across all interfaces to enable efficient communication about particular items in reconciliation and settlement processes:

the EPOSS transaction identifier will be included with the benefit encashment identifier as passed to PAS from EPOSS and thence to CPCS. If the encashment relates to more than one payment authorisation then these shall be linked to the EPOSS transaction reference and the benefit encashment identifier.
the EPOSS journal and the corresponding data sent to TIP shall include:
- the Authorised Payment Ids passed by CPCS to PAS
- the NINO of the beneficiary in addition to any agent collecting in order to help BA access the payment authorisation in their system
- the payee role provided by CPCS

Pathway will ensure that the BES receipts will contain the encashment identifier and the associated EPOSS transaction identifier to enable payment authorisation(s) to be traced in both BA and POCL records. These identifiers will not be intrinsically meaningful to members of the public.

Note: the EPOSS session summary receipt will contain sufficient information to allow any individual transaction to be identified. This means that a specific BES encashment transaction and its constituent payments can be located using the session receipt.

Pathway Comment
This has been reworded to include further distinguishing transaction identifiers and to make explicit the distinction between transactions and encashments and encashments and payment authorisations.

Both beneficiary and collecting agent identities will be returned.

The term Agency code identifies the Paying Agency (DSS, WPA, SSA).

Reference No 894

Pathway Response
1. Pathway's Management Information System (MIS) will capture the data necessary to facilitate effective contract and service management. It will employ exception reporting for business performance and monitoring reviews.

1.1 Contractual information presented via the business review route will embrace:

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a) Service Level Performance (by event, priority, classification and type)
b) Service Delivery Analysis (by product, function, outlet and role)
c) Contractual Alerts and Escalations (by Red, Orange and Amber classification)
d) Systems Operation (by type, performance and availability).

1.2 Information relating to business reviews will be analysed via exception reporting during the life of the event. Where this relates to alerts and escalations it will be supplemented by a declared owning problem/project manager. Critical dependent systems will be subject to full SLA monitoring and reporting via the review forum.

2. Requests by POCL for information during the life of the contract, and relating to service management of the contract, will be handled and processed in an effective and efficient manner. Formal requests for information will be via the business review route and delivered against pre-declared agenda requirements. Please note that Pathway does not commit to providing an MIS service after the life of the contract unless provision for this is explicitly made within the Contract.

2.1 Special and ad-hoc information needs would have to be fully understood and sized before contractual commitment can be made. The scope, volume, timing and frequency of such requests would be part of the task activity before such commitment. Currently this is neither defined or qualified.

3. Pathway will provide information that would facilitate infrastructure activities by POCL in matters embracing resource, network and productivity. Where these topics are an integral part of service delivery events they will automatically be included in the business review forum. Additional or supplementary requests would fall under the criteria of paragraph 2.1 above.

3.1 Data will be available that enables service analysis against the key attributes of POCL outlets. Flexibility will be maintained by making data organisationally independent. Thus any organisational based information will be defined and qualified by construct at the time of information search enquiries.

4. Pathway will, via the review forum, provide service delivery information that would facilitate extrapolation for marketing planning activity. Full trend and plan projections against forecasts and budget could result. Pathway EIS would be an enabler for the task but not a deliverer of it; limited by current defined requirements. Future needs, by definition, are not known.

Pathway Comment
1. Note the caveat at section 2 relating to MIS service after the life of the Contract. What would be the commercial basis of a service "after contract"?

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2. There are one or two areas where apparently "open ended" commitments have been requested.

Reference No 895

Pathway Response
Pathway confirms that the BPS will be capable of monitoring and reporting upon irregular encashment patterns. BES will provide, in addition to the immediate monitoring of various encashment conditions, a range of information relating to individual encashments which is returned to PMS/CMS. This data will be used in various analyses within PMS to detect and report upon the requested encashment patterns.

The manner in which such encashment reports will be transferred to POCL DSS and audit/ Security/Operations will need to be agreed. Such data could be transferred electronically if appropriate or in the form of printed reports. Elements of this data lie beyond that which is specified for reporting to CPCS via the defined PAS/CMS to CPCS interface.

Responses to the specific requirements follow:

1. Non encashment of a means tested benefit for a period of (4 weeks).
2. Non encashment of a non means tested benefit for a period of (6 weeks).

If the duration of the payment validity period (i.e. up to the payment expiry date) is greater than the period of monitoring (4 or 6 weeks), this test would be implemented as an additional check in the same way that uncollected payments are checked against expiry date. However, there may be some merit in ensuring that the validity period and encashment monitoring period are aligned. Pathway also note that, based upon the payment data sent by CAPS, there is currently no way of identifying whether a particular payment authorisation is for a means tested benefit or not. To enable the service provider to make the above checks the data sent from CAPS will need to include a flag indicating whether this payment relates to a means tested benefit or not.

3. Change of nominated post office and encashments for a period of (6 weeks) where there is no notification of address being received by CMS from CPCS.

Pathway have made various comments and proposals about the procedures for notification to, and confirmation by, CPCS in respect of changes to nominated post offices (Ref Req: 867). Pathway confirm that subject to the satisfactory resolution of those comments, the BPS will provide the facility to monitor and report on encashments following such a change of nominated post office.

4. High Risk transactions

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High risk transactions have flags associated with them which are acted upon or set by BES; certain combinations are excluded from payment collection (e.g. foreign encashment by casual agent). The incidence of all such high risk transactions, and combinations thereof, can be recorded within PMS and appropriate reports generated. However, as certain reports require the maintenance of payment history records or conditions within PMS, Pathway would wish to agree the specific conditions which are to be monitored and the length of associated history so that the appropriate transactions can be implemented without the general and open ended requirement to maintain history transactions for all payments.

5. Encashments where a stop is in operation

After acceptance of a payment stop, all attempted encashments against that payment will be refused and exception reports generated.
After acceptance of a card stop, all attempted encashments using that card will be refused and exception reports generated. This will not prevent valid encashment of a payment by alternative payee or permanent agent using their own cards.

6. Encashment of a payment where a subsequent loss report is received

It is assumed that this condition relates to a subsequent reported card loss after a payment encashment using that card. BPS will detect and report on this, although in general it will not be possible to determine with certainty from the encashment data whether the payment was fraudulently encashed. In general PAS is not required to maintain a history of transactions, so the above facility is provided for card loss where this occurs before the encashment has been reported back to CPCS (i.e. normally within the same working day). In particular this caters for the case where a card loss is reported and a fraudulent encashment made in the short interval prior to the confirmed placement of the stop

Where subsequent investigation of the encashment is required (after the encashment details have been reported to CPCS), the transaction retrieval facilities within TMS will provide full details of the counter operation(s) related to the encashment.

7. Presentation of a non genuine card

BES will identify and report attempted usage of a non-genuine card, that is a card for which the card data is internally inconsistent and/or inconsistent with CMS data (Ref req 863 confirms the checking operations which will be carried out). Where such use is detected within the counter procedures, for example by inconsistency between the embossed and magnetic details (as displayed on the screen), BES will provide facilities for the clerk to enter this fact which will be reported within the irregular encashment mechanisms.

8. Apparent presentation of a duplicate card

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This will be detected by multiple attempts to retrieve the same payment, causing the system to flag an encashment irregularity.

9. Keyed transactions and out-of-hours operation

These events will be reported. It is suggested that consideration be given to reporting any BES transaction occurring outside specified service hours, not just those involving keyed transactions.

10. Multiple keyed or telephone authorised transactions

These will be recorded and reported unless there is consistent error report of equipment or service failure at the outlet concerned.

11. Transactions at non-live or out-of-commission post offices

Attempted transactions at such offices will be recorded.

12. Usage of duplicate clerk ids

The OPS will not permit log-on of users with identical identification devices or numbers. Such attempts will be monitored and reported for investigation

Pathway Comment
None

Reference No 896

Pathway Response
Pathway will develop an electronic publishing and communications strategy jointly with POCL to establish the business requirements and feasibility.

You will see by reference to our response to requirement 471, that at first sight that electronic information is not cost effective and does not meet requirements for fallback operation or for situations when staff will wish take paper documentation home to read in their leisure time.

Pathway Comment

None

Reference No 897

Pathway Response
Pathway confirms that it's security objectives are in conformance with the security objectives stated in the BPS Security Statement

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There will be an appropriate countermeasure to each relevant threat identified in the security statement.

Pathway has already tabled the document "BPS Security Proposal" version 1 dated 21/12/95.

Pathway Comment

None

Reference No 898

Pathway Response
1. OBCS will be implemented using TMS and OPS and will based on the current ESNS in use in ALPS post offices.

2. The implementation of OBCS will comply with the Style Guide.

3. Help Desk support will be provided to all users of OBCS.

4. OBCS will be available at every counter position in every automated outlet during the normal opening hours of that outlet.

Pathway Comment
None

Reference No 899

Pathway Response
1. Local Stop List proposal

Pathway propose that a local stop list strategy be adopted in order that the risks and costs associated with maintaining and accessing the entire stop list at every outlet are removed. Each post office will have a local stop list relevant to Order Book beneficiaries who have nominated it as their home post office. Foreign Order Book encashments will be checked against remote stop lists accessible via TMS.

1.1 Receipt of Stop List

Pathway's preferred approach would be for the DSS ESNCS system to add the nominated post office details to each stop notice record. Alternatively, Pathway will add the home post office details for each stop list record by reference to data supplied by CAPS for CMS/PMS.

This will then be sorted and distributed to each post office using the same distribution process as will be used for the electronic benefit payments.

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1.2 Local stop list processing

The OBCS counter application will maintain its local stop list using these updates. The stop list for each post office will also be held within the central TMS system and used when a foreign order book encashment is required.

This approach significantly reduces the number of post offices requiring a daily update and the amount of local processing required for each update.

1.3 Local NINO file

In addition each post office will be established with a file of all beneficiaries who have nominated it as their home post office. This will be derived from the data supplied by CAPS to CMS and will be established during the initial roll-out period. The OBCS application will use this file to determine whether a foreign encashment stop list search is required.

Updates to this file will be derived from changes notified to CMS using either "new beneficiary", "no further interest" or "change of nominated post office" notifications. These will be distributed and applied locally.

2. A communications link will be established between the Pathway stop list system and the DSS computer every night to receive the stop list file. Processing of this file will then take place followed by distribution to the affected outlets via TMS.

A specification of the network interface to be used and the criteria for acceptance or rejection of this file will be required by Pathway.

3. Stop list updates will be processed, distributed and locally applied in the order in which they are received. In order that the version of the stop list is unambiguous, Pathway request that a version number or equivalent is supplied within the header of each stop list file.

4. Pathway understand that the maximum size of the stop list will be 1.5 million entries.

5. Pathway understand that the maximum size of a stop list update will normally be 100,000 entries. The Pathway solution for the OBCS stop list is not as sensitive to the size of the stop list as other solutions, such as that used by ESNS. Pathway would require notification if DSS expected the stop list size to exceed 100,000 entries.

6. Pathway understand that a null content file may be sent comprising solely of header and footer records.

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7. Pathway will provide comments on the stop list update interface document when it is made available.

Pathway Comment
In proposing this solution to OBCS Pathway have adopted an approach which exploits the distributed architecture of OPS and in addition minimises the volume of data transfer and local processing.

In order that minimum network access occurs it will be necessary for each outlet to have a local file of Order book NINO's which should ideally have been prepared prior to roll-out.

Accordingly Pathway request that a file of Order Book beneficiary NINO's together with their nominated home post, such as would be supplied to CMS, be provided in order that this preparatory work can be undertaken.

Should this approach not be possible, an alternative approach might be feasible which would involve each outlets local NINO list being constructed incrementally as Order Books are presented and issued.

Pathway would welcome discussions on these proposals in order that the optimum approach to OBCS can be agreed.

Reference No 900

Pathway Response
Pathway will quote for OBCS as a separate service.

The functionality required of OBCS will be provided in a local counter application which will run on OPS and will conform to the same technical architecture as other OPS supported counter applications.

The Pathway OBCS application will provide a facility to deal with barcoded order books presented for payment for encashment of benefits at automated outlets.

The general model for OBCS is as follows :-

When an order book is presented the bar code is read and checked against the local stop list. If a match is found then the relevant action is taken.
If no match is found the barcode value is checked against the local NINO file. If an entry is found the OBCS transaction is valid and can proceed.
If no entry is found, this usually indicates a foreign payment encashment. OBCS will then initiate a search on the stop lists held within TMS. If an entry is found then the relevant action is taken. If no entry is found then the OBCS transaction is valid.

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1. The barcode will be scanned, validated and checked against the stop lists :-

- whenever the order book is received at the outlet

If during this process no entry is found on the local NINO file a flag will be included in the OBCS transaction. This will indicate that there is an inconsistency between the CMS supplied data and the order book data. This situation will be investigated by Pathway and BA.

- when the order book is issued to a beneficiary
- when the order book is presented for payment

2. Whenever the barcode on an order book is scanned OBCS will provide a visual and an audible indication of the result of the scan.

The audible indicator will differentiate between "success/normal" and "failure/exception" based on the absence or presence of a stop list entry. Whilst the preferred location for the counter PC is close to the clerk (typically under the counter), there may be some post offices where this is not possible due to the construction and layout of the counter environment. In these situations the audible indication may not be as effective.

Consequently the principle method of advising the clerk of the outcome of a barcode scan is the visual indication provided by the OBCS application. This will present the clerk with the results of the scan and present the allowable options (e.g. impound or cash & impound).

3. OBCS will provide the facility to enable order books to be scanned upon receipt and checked against the local stop list. The results of these scans will replicated to the central TMS server throughout the day and will be extracted and transmitted to the DSS computer. This will conform to the format and service levels specified in <document reference to be supplied by DSS>.

3.1 If the order book is on the local stop list OBCS will instruct the clerk to impound the book, hole punch the book and return it to DSS.

3.2 OBCS supports the recording of re-direction of an order book to another outlet or its return to DSS.

3.3 Following three successive barcode read failures OBCS will instruct the clerk to enter the barcode information manually. Subsequently the clerk will be informed to hole punch the book and return the book to DSS. OBCS will record the book as unreadable.

3.4 OBCS does not impose any limits on the number of books that can be processed in a day.

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4. When an order book is issued the bar code will be scanned and OBCS will check this against the local stop list. A transaction record will be created, replicated to the central TMS and these records subsequently extracted by a TMS OBCS Agent for transmission to BA.

OBCS will support the rules for making payments and retaining order books as shown below :-

4.1 missing

4.2 OBCS imposes no limits on the number of order books issued at a post office.

5. When an encashment is made the bar code will be scanned and OBCS will check this against the local stop list (for a home encashment) and against the remote stop lists (for a foreign encashment). A transaction record will be created, replicated to the central TMS and these records subsequently extracted by a TMS OBCS Agent for transmission to BA.

5.1 Pathway is unclear how OBCS can determine that a barcode is not valid (other than its presence on a stop list) or that an order book is counterfeit simply from scanning the barcode.

Is it the intention that the clerk should have the ability to record that they have determined the bar code is invalid or the order book is counterfeit ? If so, a requirement describing the data that OBCS should capture and any instructions to be given to the clerk should be provided.

5.2 If the order book barcode is not on a stop list, OBCS will instruct the clerk to pay and prompt for the number of vouchers to be encashed. This will be a default of one (1) which the clerk can override with any valid number. The clerk will also be prompted to enter the benefit service code which will be used by EPOS for subsequent outlet accounting etc.

5.3 If the order book barcode is on a stop list and shown as recalled OBCS will instruct the clerk to pay up to the date supplied in the recall record on the stop list. OBCS will prompt for the number of vouchers to be encashed. This will be a default of one (1) which the clerk can override with any valid number including zero (0).

5.3 (duplicate) If the order book barcode is on a stop list and shown as stopped OBCS will instruct the clerk to impound the book without payment, hole punch the book and return it to BA. The transaction will be recorded and sent to DSS as described above.

5.4 If there are three consecutive failures to read the barcode OBCS will prompt the clerk to key the barcode information. If the barcode is on a stop list then the previous processes (5.3, 5.4) will apply. The system will instruct the clerk to pay one voucher, hole punch the book and return it to DSS.

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6. Pathway will respond to this requirement upon receipt of the interface document.

Pathway Comment
Some clarification required as indicated, together with general comments in Req 899.

Reference No 901

Pathway Response
1. Pathway request clarification of the activities that would determine an order book is counterfeit and the role that OBCS is required to have in this process. If required, OBCS can support a transaction which would enable the clerk to record that an order book is believed to be counterfeit. It is not clear what information is required to be recorded about this event.

2. When an order book with no barcode is presented for encashment OBCS will prompt the clerk to enter the number of vouchers to be encashed. A default of one (1) will be presented which the clerk can override.

3. As part of the end of day process, each outlet will calculate the number of vouchers encashed for non-barcoded order books. This will be replicated to central TMS which in turn will return this information to DSS.

3. (duplicate) This information will be supplied in accordance with the interface specification ref. < to be supplied by BA>.

Pathway Comment
Some clarification required.

Reference No 902

Pathway Response
1. As stated the process for logging of order books will be largely dominated by the physical actions of handling order books. Pathway cannot provide a transaction cycle time for a process which is dominated by non-system activity. In addition, for this service level to assume that the order book does not appear on the stop list would seem to at odds with the normal operation of OBCS and in particular contrary to requirement 3 of
Req Ref No: 900.

OBCS will take no longer than 1 second for 95% of reads and no longer than 5 seconds for 99% of reads to notify the clerk that an order book is valid, measured from the time the barcode is read to the point when OBCS displays the results of the barcode scan.

2. This requirement would seem to be logically inconsistent in terms of the use of the stop list.

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When issuing an order book, OBCS will check the local stop list as per requirement 4 of Req Ref No: 900. OBCS will take no longer than 1 second for 95% of reads and no longer than 5 seconds for 99% of reads to notify the clerk that an order book is valid, measured from the time the barcode is read to the point when OBCS displays the results of the barcode scan.

3. When making an encashment, OBCS will check the stop lists as per requirement 5 of Req Ref No: 900. OBCS will take no longer than 1 second for 95% of reads and no longer than 5 seconds for 99% of reads to notify the clerk that an order book is valid, measured from the time the barcode is read to the point when OBCS displays the results of the barcode scan.

Pathway Comment
Clarification required as described above

Reference No 903

Pathway Response
1. Pathway propose that a local stop list strategy be adopted in order that the risks and costs associated with maintaining and accessing the entire stop list at every outlet are removed. The OBCS stop list process will be implemented such that the local or remote stop lists being referenced by an outlet have been updated by stop list updates supplied from the DSS computer.

Each post office will have a local stop list relevant to Order Book beneficiaries who have nominated it as their home post office. Foreign Order Book encashments will be checked against remote stop lists accessible via TMS.

Further details of Pathway's proposal for the OBCS stop list are contained in the response to Requirement Reference 899.

Pathway propose the following service levels :-

The OBCS local stop list in any outlet will be defined as up to date if any changes for that post office contained in the last DSS stop list file, received by Pathway within the agreed service levels, have been applied by the start of that outlets business day.

On any business day 99% of outlets will be able to access an up to date local stop list (for home encashments) and an up to date remote stop list (for foreign encashments).

2. OBCS transactions will recorded locally in the outlet and replicated to the central TMS servers throughout the day. An OBCS TMS Agent will extract OBCS transactions, perform any consolidation processing and forward the file to the DSS computer. This will be done in accordance with specification ref.<BA to supply>.

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Pathway propose the following service levels :-

On any business day 99% of all OBCS transactions that occurred on that day will be transmitted to the DSS computer.

The time by which this transmission should take place is subject to discussion and agreement with DSS. Agreement is also required on the ownership and specification of the network connection to the DSS computer.

Pathway Comment
None

Reference No 904

Pathway Response
1. Collection of all payments

The Pathway solution for PAS, comprising the central PMS system and the local BES application, will allow collection of all payments that an Authorised Person is entitled to collect and will ensure that :-

each payment is cashed once, and the encashment amount as advised by CAPS is notified to the clerk.
partial encashment for a single payment is not permitted.

2. Encashment rules

The local BES application will enforce the following rules.

2.1 All payees must encash all moneys due if the total is less than the BA encashment limit (currently £1000, subject to change by BA as required): or elect to make no encashment.

2.2 If the total exceeds the encashment limit BES will provide the following choices :-
(i) The customer may take all moneys due
(ii) The customer may take nothing
(iii) The customer may take payments , in multiples of weekly entitlements, oldest first, up to but not exceeding the encashment limit.

2.3 The exceptions to the above are :-
(i) Social fund payments
(ii) Alternate Payee's

In these cases BES will allow encashment of all moneys due irrespective of the BA encashment limit. BES will also allow these cases to choose not to encash all moneys due.

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3. Agent selection of beneficiary

When an Agent presents their card, BES will retrieve all payment records that the Agent is entitled to collect. Where payments to more than one beneficiary are found, BES will present the clerk with summary details (NINO and Name) of the beneficiaries and require the Agent to select for whom they wish to collect. The payment process will then proceed normally followed by a further selection if required.

Pathway Comment

Reference No 905

Pathway Response

The Pathway solution for the OPS system includes a facility for linking associated services and product offerings with any particular transaction type, such that the User is prompted to offer customers such services at the time of transaction.

The extent of such additional services to be provided will be agreed with the Authority.

Pathway will accept full responsibility for the accuracy and integrity of data supplied to the User through the OPS. The accuracy and integrity of product information and data supplied by BA/POCL and faithfully represented to the User by the OPS shall be the AUTHORITY's responsibility and liability.

Pathway Comment
None

Reference No 906

Pathway Response
Pathway's roll-out strategy is based upon a geographic area-by-area approach. This enables the speedy and reliable introduction of BES cards to recipients within a complete area, without the need for further customer analysis. That is, no qualification is needed to ascertain if the intended recipient's normal Post Office has been automated. Pathway will begin the introduction of cards to recipients as soon as the counter infrastructure in an area has been completed. The harmonisation of card roll-out is further enhanced by a public awareness campaign which is co-ordinated with roll-out to each geographic area. The public awareness campaign will not discriminate against non-card holders.

Pathway's implementation programme effects delivery and installation of counter equipment on the same day unless specifically requested otherwise. This may be the case for example

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in large offices where we understand that a weekend installation is preferred.

Referring to the text of the requirement, it should be noted that we have not interpreted "new" terminals to mean "unused" terminals. Pathway may supply equipment which has been used in other post offices, particularly in the case of office relocation, upgrade or other changes.

Pathway confirms that Installation covers physical placement, connection to the system and testing.

Pathway Comment
None

Reference No 908

Pathway Response
Pathway confirms that BES will produce a receipt containing information as specified in requirement 764.

Additionally a clerk identifier and the time of the transaction will be recorded.

Additionally a unique transaction identifier will be generated and recorded to enable recovery following equipment failure.

Pathway Comment
None

Reference No 909

Pathway Response
Pathway has proposed a solution to this general requirement based upon a permanent agent taking on a group collection responsibility, but a number of concerns and questions will require further discussion and agreement.

1. General

In the context of benefit encashment for a group of beneficiaries, it is proposed that the Authorised Person will require pre-registration as a particular class of proxy able to operate in this group collection mode. This pre-registration is necessary to link the Authorised Person's collection rights to the group of individual benefit payments for which he is an authorised payee, to facilitate collection by an agent on the Authorised Person's behalf and to enable appropriate mandate and receipt/declaration procedures to be supported.

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Pathway would wish to discuss and agree the precise interpretation that should be placed on the term Authorised Person when acting in this group collection capacity.

2. Collection by Permanent Agent

A Permanent Agent (e.g. a nursing home manager) will be identified in the payment records
of beneficiaries (e.g. residents of the nursing home) through his NINO being present as an authorised payee in each beneficiary's payment record. In order that a different payment process can be undertaken by BES from a normal agent encashment it will necessary for CAPS to identify that this relationship is different from any other Permanent Agent relationship that the same customer may have (e.g. Son as an agent for his parents).

Pathway believe that this can be achieved by introducing a new class of permanent agent - a
permanent group agent. Such an agent would have been approved by BA and would have an agreed set of beneficiaries registered in his group. All beneficiaries within the group, plus the permanent group agent, would share the same nominated post office; encashment at foreign offices would be precluded for such group collections. A beneficiary could only assign one permanent group agent; although other proxy relationships could be retained, if required.

With this new flag set in the payment authorisation record BES can now distinguish payment records that are to be grouped together for payment purposes. After reading the permanent group agent's card BES will provide a list of beneficiaries within the group, for whom payments are available, for checking against the mandate(s).

Any other process requiring the counter clerk to select payment records which are to be grouped as part of the encashment process, or separately to create a beneficiary group, is believed to be error prone and time consuming, particularly with regard to mandate and receipt procedures.

Furthermore, the requirement to support collection by an agent of the Authorised Person requires a means of identifying the relationship between the agent and those beneficiaries for whom the Authorised Person would collect. This will need to be distinguishable from any possible casual agent relationship(s) with individual beneficiaries on a one to one basis. This requirement can also be met by the use of the permanent group agent.

3. Use of Mandates

Pathway was notified during the BPS strand meetings that collection by an Agent will require use of a Mandate. This is signed by the beneficiary and entitles the Agent to collect a specific encashment on behalf of the beneficiary. Discussion with BA is required to understand whether such individual encashment

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mandates are required for beneficiaries who are associated with a group agent. The principle of transferable authority will need to be considered as well as the likelihood of still requiring individual beneficiary receipts containing the benefit value. It would be possible to introduce a form of group mandate with space for multiple signatures on a single document, although this would preclude the option of printing an individual receipt on each mandate as proposed for other forms of agent collection.

The permanent group agent would not be required to sign the individual mandate receipts but would be required to sign the single summarised receipt (see below).

If mandates are to be used then the counter procedure will need to be agreed concerning any printing that is required and the method of linking the BA copy of each mandate to the summarised receipt. In addition the normal process by the clerk of ensuring that all the mandates were present for the payments due would be necessary.

If each mandate is to be receipted then BES could print the unique transaction number on each one and on the summarised receipt.

4. Summarised receipt

If the above approach to grouping payments is accepted the BES can provide an extended payment process. A single summarised receipt will be produced which will identify each beneficiary on whose behalf the transaction has occurred and payment made. A single declaration will be printed on the summarised receipt for signature by the group agent. Discussions will be required to agree the precise wording that should be used.

5. Collection by Casual Agent

The proposed approach is based upon the casual agent operating as an agent of the Authorised Person and hence as an indirect agent to the beneficiaries. This enables use to be made of the pre-defined relationship between the Authorised Person and the beneficiaries, which would not be possible if the casual agent operated individually on behalf of each beneficiary.

In these circumstances, the casual agent would produce the Authorised Person's card, plus beneficiaries mandate(s), if required, plus a separate mandate from the Authorised Person conferring his group collection rights to the casual agent. In all other aspects the system would function as described above, with the possible exception of the declaration wording and the requirement for additional personal verification checks. Pathway proposes that casual agents operating in this mode would require to produce two independent identity documents, one including a photograph.

Pathway Comment
This requirement requires further discussion to understand how the beneficiary grouping required might be achieved. Agreement will

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also be needed on the new counter procedures, mandate usage, receipt wording and receipt handling.

Pathway would also like to understand the precise role of casual agents in these circumstances and any limitations that might be desirable. In view of the substantial payment value which could be involved there are clearly significant fraud risks associated with collection by casual agents. An alternative approach which Pathway would wish to discuss is the (pre-) nomination of an alternative payee to act on behalf of the permanent group agent, when indisposed, for such group collections. The alternative payee would have a card in his own right, be previously known to the system and use the same nominated office for added surety.

Reference No 910

Pathway Response
1. BES will access a local reference value to determine the BA encashment limit. Amended values may be provided by BA. Agreement will be required on the mechanism by which a revised value is provided to Pathway.

2. Pathway understand that some encashments will not be limited (see response to Requirement 904). Those benefit types that are not limited by the general encashment limit will be determined by BES by access to local reference data. Amended values may be provided by BA. Agreement will be required on the mechanism by which revised values are provided to Pathway.

Pathway Comment
Agreement required on the mechanisms to update these variable data items.

Reference No 911

Pathway Response
Pathway confirms that its will maintain accounting and reporting integrity across changes in the versions of operating software and hardware. Such changes will include upgrades or rollbacks of whole services or other subsystems, changes to software and reference data, operating controls and so forth.

This will include implementation of changes to effect rollback to a previous version, and operation of the whole PFI service where parts have been updated or rolled back. Reference data shall be upgraded or rolled back in step with the objects or operations to which it refers.

Attention is drawn to the Risk Responses 40 and 48 which deal in detail with the logistics of new software introduction and software update and distribution respectively.

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Each transaction will be matched against the version of the product that was active at the time of the transaction. This link will be maintained to allow transactions against different versions of a product to coexist and be correctly accounted for.

Pathway Comment
None

Reference No 912

Pathway Response
1 Pathway will arrange for the electrical safety testing of all of its equipment installed on Contracting Authorities' sites enabling the Contracting Authorities and Postmasters to meet their legal obligations under the Electricity at Work Regulations 1989.

2 The Regulations

2.1 The Electricity at Work Regulations 1989 are a statutory instrument arising from the Health and Safety at Work Act 1974. The purpose of the regulations is 'to require precautions to be taken against the risk of death or personal injury from electricity in work activities'.

2.2 The regulations impose duties on employers in respect of 'systems, electrical equipment and conductors and in respect of work activities on or near electrical equipment'.

2.3 To meet the requirements of the regulations, which came into force on 1st April 1990, it is necessary to assess all electrical equipment, including information technology equipment, with a view to eliminating possible hazards. In practice this will usually necessitate a program of recorded inspections and where appropriate, tests.

2.4 Full and accurate records must be kept, if for no other reason than the 'duty holder' can demonstrate that 'all reasonable steps were taken and all due diligence exercised to avoid the commission of an offence under the Act'.

2.5 The onus for compliance is with the employer, who is responsible for the correct use of the equipment and the safety of employees. The regulations define the employer or his nominated employee(s) as the duty holder.

3 Scope of the service

3.1 The Electricity At Work Inspection And Test Service enables Pathway's customers to meet their legal obligations under the Electricity at Work Regulations 1989.

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3.2 The service provides for inspection, test and labelling of each item of electrical equipment. Full records will be presented to the customer on completion of the service.

3.3 During the service, the Pathway service deliverer will carry out the following activities:

Visual inspection of all Pathway installed equipment and mains cords on the customer site
Tests systems on the customer site using appropriate tools and test equipment. Testing of each item is undertaken by application of the relevant test procedure
Attaches a colour coded sticky label to each item inspected and tested to indicate success (of inspection and relevant test) or failure
Replaces faulty detachable mains cords, incorrect value fuses and damaged plugs
Re-terminates plugs where necessary
Renders inoperative any electrical item which fails the inspection and test and brings this to the attention of the customer and arranges for its replacement
Records test results against a unique identifier for each item

3.4 Once these activities are complete the service deliverer provides the Postmaster with the test results. Test results will also be made available to the Contracting Authorities and will be maintained in Pathway's database.

3.5 The service is delivered during normal office hours, however, Pathway may agree to provide the service outside those hours on request. The schedule for safety test visits will be agreed in advance with Postmasters and the Contracting Authorities' Service Managers.

3.6 All remedial maintenance work carried out on site will comply with the standards prescribed and will ensure that the requirements of the Act continue to be met upon return to service.

3.7 Pathway will report on the progress of its safety test schedule at each monthly service review meeting.

Pathway Comment

The regulations apply to all items of electrical equipment on the site. Pathway will be pleased to quote for the extension of this service to cover all other electrical items not supplied by Pathway.

Reference No 913

Pathway Response

1. Introduction.

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Pathway seek clarification on a number of points relating to this requirement. "Comprehensive" user documentation does not specify the required level of detail which Pathway is being asked to provide. Please specify any and all expectations in this regard.

"Other Users" is too open-ended to be meaningful please quantify and qualify who these users are.

Pathway believes the requirement is addressing the need for two different types of documentation - a "Technical" manual, covering all aspects of the automated platform, and an "Operations" manual covering POCL (and client?) procedures. Please confirm that this is correct.

2. Availability

2.1 Users of the automated platform

100% availability whilst the automated platform is in use implies an expectation that (at least some of) the documentation is on-line i.e., accessed via the automated platform. Is this a requirement?
Pathway presume that if the system is unavailable (scheduled or otherwise) users may still require access to the documentation.

Given the interpretation of the requirement for Technical and Operations manuals, is there a common medium requirement? (i.e., one or both on-line/paper?)

2.2 Other users

This requirement would seem to inhibit documentation availability only to those times that the automated platform is in use? Whilst this is presumably not the requirement, some of the "other users" would not have access to the automated platform at their normal place of work. Pathway wish to know the total number of documentation users over and above those counter staff and other nominated recipients of the automated platform.

What are the expected volumes for the technical and operations manuals?

Is distribution to be made to individuals, counters, offices or by some other criteria? Pathway wish to know the expected staff turnaround within the documentation user base.

Pathway wish to understand the current user documentation set that is to be replaced/replicated, and the current distribution thereof.

2.3 Contingency/disaster recovery arrangements

Whilst Pathway will advise and recommend arrangements, there are clear POCL business guidelines that must be adhered to for disaster arrangements. Please provide current expectations and guidelines.

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3. Content of User Documentation

To provide documentation which covers "all business transactions at Post Office sites" is far wider than the expected brief for documentation relating to the automated platform. Pathway would wish to set up and agree a framework for user documentation in order to develop a documentation strategy that covers the requirements of both Technical and Operations manuals. The documentation strategy would seek to identify which aspects of the total documentation requirement can be met on-line, and those that would be best served via a paper medium.

Is the content of the current Post Office Operations manual to be replicated? Do POCL Users have views on desirable changes to the content and format of the manual that Pathway is requested to consider?

4. Accuracy

Pathway recognise the importance of assuring accuracy of documentation and will be responsible for the accuracy of the documentation pertaining to the automated platform. However, accuracy of data relating to Post Office procedures and information relating to other business transactions, supplied by POCL, will be the AUTHORITY's responsibility.

Pathway seek to understand the process for documentation approval to be adopted by POCL and the timescales associated with this.

5. Design of documentation

5.1 Visual identity

Pathway request a copy of POCL's "Design Applications Guidelines" and "Visual Identity" policy. To what extent must application UMI conform to these policies? As far as is possible, Pathway confirm that documentation produced for counter staff (and other staff) usage will conform to the agreed design and visual identity policies.

Pathway wish to clarify whether the Pathway logo is permitted on any/all documentation produced by Pathway.

5.2 Communications Policy

Pathway would be pleased to receive a copy of the "A guide to Head Office Communications Team" document as soon as possible to establish whether proposed documentation conforms.

5.3 Environment Policy

Pathway user documentation will comply the relevant parts with the Post Office environmental policy summary document which has been lodged with Pathway during the procurement.

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6. Documentation for a new product/service

Pathway will produce and agree with the AUTHORITIES a Product/Service Introduction Plan (P/SIP) for each new product or service to be introduced on to the automated platform. Part of the P/SIP will address new or amended documentation needs, and their timescales for development and production. It is not practical to contract to a specific number of days notice by either party for documentation as it will vary by the extent of the new product or service.

Comments relating to understanding of documentation approval process at (4) above, apply here also.

The statement at 6.4 of the requirement that documentation should be available immediately prior to the service going live is impractical and needs clarifying. Pathway suggest the removal of the word "immediately" from this requirement.

7. Updating User Documentation

Pathway expect most planned documentation changes to be the subject of a P/SIP. Where documentation changes are not as a result of any such new product or service, then the extent of notification will clearly vary by the extent of the proposed change and the impact/urgency of the change.

Drafting and Approval process requirements of POCL have already been requested above, and apply here also.

7.2 Emergency Updates

Pathway cannot commit to making available documentation changes of undetermined size to all users within 24 hours of notification. Pathway seek clarification of what might be deemed an "emergency update" in order to scope and propose a suitable response.

8. Requests for new/replacement copies

This requirement is too open ended for an affirmative response. Pathway seek some restriction on user-requested copies, and wish to understand how current requests are satisfied.

9. User satisfaction

Pathway understand the importance of establishing and maintaining a satisfied user base, but seek clarification on a number of issues associated with this particular requirement, as follows:

a) Who is to conduct the user survey, and what process, format and sample size is required?
b) Many of the topics to be covered relate to subjects expected to be covered in POCL's style guide(s) - to what extent will this affect Pathway's compliance?

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c) What penalties (if any) are imposed should the survey result not reach the required 90% target?
d) How are results expected to be presented and used?

Pathway Comment
The requirement is too open ended in several areas to allow a compliant response.

Reference No 914

Pathway Response
1 Introduction

1.1 This response documents the key service characteristics of Pathway's Operational Systems Helpdesk service.

2 Helpdesk Service

2.1 General

2.1.1 Pathway's Operational Systems Helpdesk will provide a single point of contact providing assistance and fault management to all customers of this service. Customers will include both Authorities' staff and those of POCL's Clients with access to the services supported.

2.1.2 The Helpdesk service will embrace fault management, advice and guidance and overall operational service management, information and administration. It will operate a full call logging service 24 hours per day, 365 days per year (except Christmas Day).

2.1.3 Contact with the Helpdesk will be by 'local-call' telephone (e.g. an 0345 number). The average response time will be targeted at 95% of all calls answered within 10 seconds and the remainder targeted to be answered within 20 seconds. A target of less than 5% of calls during peak hours will be abandoned calls.

2.1.4 Three levels of service will be provided extending from Level 1 addressing simple calls through more complex level 2 calls to level 3 calls which involve support from outside of the Helpdesk environment.

2.1.5 Operational Service availability, details of scheduled interruptions and progress towards full service resumption will be communicated by the Helpdesk to its customers. The Helpdesk management team will assist BA/POCL in negotiating scheduled interruptions to service with their customers.

2.2 Level 1 Service

2.2.1 Level 1 calls may be categorised as those which are relatively simple and straightforward to explain and diagnose and which can be fully resolved in less than 10 minutes by the call

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taker who will have sole responsibility for the call's progress to resolution.

2.2.2 As end-users become more familiar and experienced with Pathway's systems, the time required to explain simple resolutions will decrease and may approach an average of 5 minutes. Calls taking longer than 10 minutes to resolve will be categorised either as Level 2 or will signify a potential skills problem within the Helpdesk or the post office. Calls identifying potential skills problems will be evaluated by Pathway and raised for discussion at the monthly service review meetings.

2.3 Level 2 Service

2.3.1 Level 2 calls will generally be more complex problems and potential faults. Pathway's Helpdesk will make extensive use of 'Expert Systems' diagnostic tools to assist in their resolution and these may require more detailed and extensive analysis, taking more time.

2.3.2 Calls are transferred to Level 2 electronically within the same Helpdesk Call Management System. All of the details of the call are preserved and available at Level 2. Calls at all levels are presented to the diagnosticians in the form of a prioritised stack of outstanding work-in-progress.

2.3.3 Typically, Level 2 problems will take less than 30 minutes to resolve but in extreme cases may take longer, up to one hour. Much of the diagnosis will be carried out 'off-line' from the originator, and may involve one or more interim telephone calls from the Helpdesk to clarify symptoms or elicit extra information.

2.3.4 Level 2 calls will be analysed to identify trends and patterns which may indicate the need for improvements in the diagnostic process. New problems identified will always be analysed to determine whether an appropriate Level 1 solution is possible to save time in future instances.

2.3.5 As for Level 1, Level 2 calls which take longer than 1 hour to resolve will be categorised either as Level 3 or will signify a potential skills problem within the Helpdesk or the post office. Calls identifying potential skills problems will be evaluated by Pathway and raised for discussion at the monthly service review meetings.

2.4 Level 3 Service

2.4.1 Level 3 service is invoked when the call can not be fully resolved wholly within the Helpdesk but requires escalation either to a higher level of technical support or to an engineer to perform a maintenance visit.

2.4.2 Calls will be transferred to Level 3 support electronically complete with all of the details of progress made at levels 1 and

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2. Calls will be prioritised and categorised so that they can be actioned within standard agreed timescales.

2.4.3 All level 3 calls will be monitored to ensure that the Service Level Agreement is met. The call will also continue to be monitored post resolution to ensure that repeat or intermittent failures are identified as quickly as possible.

2.4.4 Level 3 calls will be analysed to identify patterns and trends of failure either within specific post offices or with system items.

2.5 Hours of Service

2.5.1 Pathway will provide a continuous call logging service 24 hours per day every day of the year except Christmas day.

2.5.2 Level 1 and level 2 service will be available between 0500 and 2400 every day of the year except Christmas day.

2.5.3 Calls may be received directly from users or from POCL help desks and help lines. Calls received which are outside of the responsibility of the Helpdesk will be transferred to the appropriate authority.

2.5.4 The hours of service may be changed on request given 2 working days notice. Emergency cover may be provided at 5 hours notice.

2.6 Problem Management

2.6.1 Pathway will employ a specially developed Problem Management System to log and manage all calls to the Helpdesk. The system is an enhanced version of one of ICL's current call management systems.

2.6.2 The system data model is comprehensive and records all of the necessary data associated with calls during their life. Call data is recorded as a collection of 'progress details' each date and time stamped and 'signed' by the call taker providing a complete audit trail.

2.6.3 The system will maintain call details including the following :

Problem Site Identifier
Call serial number (combined with Site ID provides unique call identifier)
Site details such as address, telephone number and Postmaster's name
Site contact name
Date and Time problem occurred
Date and Time problem reported
Helpdesk contact

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Problem description
Problem Type (such as Hardware, Software, Advice & Guidance etc.)
Identity of any equipment or software associated with the problem
Reported and assessed impact on the customer's business
Priority of the call
Estimated Fix time (for level 3 calls)
Current actionee within Pathway
Referral details
Progress information (date and time stamped and attributed)
Call resolution actions
Date and Time equipment returned to service
Date and time call closed (accepted by the customer)

2.6.4 The Helpdesk system also contains details of engineer schedules. It provides an interface to the 2-way radio paging system used to assign calls to engineers and to the spares system used to control the allocation of spares.

2.6.5 The problem management system will also be used to record and manage incidents relating to systems operational problems including those associated with the uploading and downloading of data to post offices and interfaces to BA, POCL and POCL Client systems.

2.6.6 All calls will be given one of three priority classifications depending upon the impact and urgency of the problem with respect to the caller's business :

A Caller's business is disrupted and cannot continue normal working

B Caller's business is impaired but a work around is available

C Caller's business is suffering only minor inconvenience

2.6.7 Throughout the life of a call, Pathway's Helpdesk staff will monitor its progress. The customer will at all times know precisely what is expected to happen next by regular updates of progress. The Helpdesk will always advise the customer of any changes.

2.6.8 All aspects of the operation of the Helpdesk will be comprehensively documented in a manual of procedures which will be agreed with the Contracting Authorities and which will be maintained in accordance with Pathway's objective of registration to ISO9000 quality standards.

2.6.9 Major incidents, such as the total failure of systems within a post office, will immediately be classified as alerts and will be assigned to a problem manager. All alerts will be managed in accordance with agreed documented procedures covering all aspects of the fallback operation of the post office, including the re-allocation of its responsibilities to other post offices.

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2.6.10 A problem will remain open at the Helpdesk until agreed with its originator that is has been resolved satisfactorily. The call will continue to be monitored even after closure to ensure that a repeat or consequential problem is not reported.

2.7 Systems and Services Supported

2.7.1 In addition to the problem and call management database, Pathway will create and maintain databases containing user, asset, configuration and change management information.

2.8 Resilience

2.8.1 The Helpdesk will operate a fully resilient service across two geographically remote sites with duplexed database servers, networks and telephony systems and separate telephone exchanges and electrical power supplies.

2.8.2 Each site will normally accommodate half of the Helpdesk staff and management team but will have spare capacity to accept increased workload in the event of disaster at the other site.

2.8.3 The sites will be served by dual telephony and Automatic Call Direction equipment which will perform call load balancing between them.

2.8.4 Each site will be connected with Pathway's central systems via dual high speed carriers and will be resilient to single network, system or site failures.

2.9 Training

2.9.1 During roll-out, Pathway will deliver training to BA and POCL staff. This will include guidance on how to make most effective use of the Helpdesk services.

2.9.2 Simple step by step instructions will be documented in the Pathway Operational Procedures Manual, a hard copy of which will be located in each post office and BA office.

2.9.3 Pathway's Helpdesk staff will receive in depth training in all of the operational systems.

2.9.4 The staffing levels at the Helpdesk will be set to accommodate peak workload resulting in periods during the shifts where activity is relatively light. These periods will be used by staff for skills development and training.

2.10 Personnel

2.10.1 Pathway will ensure that all Helpdesk managers and staff have the appropriate skills and experience. Each member of staff

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will receive in depth training in Pathway's solution and operational procedures.

2.10.2 All staff will have individual personal development programmes and training plans recording their progress in achieving progressively higher standards of skills.

2.10.3 Staffing levels will be set to accommodate workload peaks, staff absence due to sickness and holidays and natural wastage.

2.11 Service Targets

2.11.1 Pathway proposes that service targets should be established as follows.

90% of calls answered within 10 seconds
>99% of calls answered within 30 seconds
Abandoned calls (where the caller rings off) < 5%
95% of Level 1 calls resolved within 5 minutes
>99% of Level 1 calls resolved within 10 minutes
95% of Level 2 calls resolved within 30 minutes
>99% of Level 2 calls resolved within 60 minutes

3 SERVICE MONITORING

3.1 Service Performance Statistics

3.1.1 Pathway's Helpdesk service will be monitored and reviewed over monthly periods. Statistical evidence of its performance against agreed measures will be produced by analysis of the data captured by the Helpdesk system and by the Telephony system.

3.1.2 The analysis will be presented to the Contracting Authorities in an agreed format within 2 working days of the end of the period.

3.1.3 The data upon which the analysis is made will be maintained within a relational database system supporting standard SQL enquiries. This will enable Pathway to view the data in a flexible way and provide reports based on problem type, customer group and location, closure time, etc.

3.1.4 Pathway will make extensive use of this data to identify actions to improve process efficiency and effectiveness.

3.1.5 Helpdesk records will be maintained for a minimum of 18 months.

3.2 Customer Satisfaction Surveys

3.2.1 Pathway will be pleased to participate with the Contracting Authorities in devising and conducting quarterly customer satisfaction surveys.

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3.3 On-line Access and Ad-hoc reports

3.3.1 Pathway will be pleased to discuss the provision of on-line access to its problem management systems for named representatives for the purposes of planned audit and inspection.

3.3.2 Reasonable requests for single ad-hoc service reports will be welcomed and will normally receive a response within 3 working days.

Pathway Comment
1 It is not clear from the requirement what is the purpose of the Authorities' request for on-line access to the Problem Management System.

2 The number, nature and frequency of the requirements for ad hoc reports is unclear and needs further clarification.

Reference No 915

Pathway Response
1. Introduction

The CONTRACTOR and AUTHORITIES shall define and agree training requirements for both POCL and BA training. Key measures identified by the CONTRACTOR and agreed with the AUTHORITIES will be used to assess the effectiveness of the training programme as a whole.

2. Training Services

2.1 General

The CONTRACTOR and the AUTHORITIES shall agree acceptable standards of competencies in the use of the automated platform. The CONTRACTOR will be responsible for training POCL and BA Trainers to an acceptable standard. However it will be the responsibility of the AUTHORITIES to ensure quality and competence levels are maintained both by non CONTRACTOR Trainers and their delegates.

The CONTRACTOR will be responsible for designing and developing course materials/training event to POCL/BA's approval. Any Updates to training or additional supporting documentation will be supplied by the CONTRACTOR and approved by the AUTHORITIES.

2.3 Specific Responsibilities

It is not envisaged that "day to day" development of training materials will be required although ongoing quality assessment and maintenance will be undertaken by the CONTRACTOR.

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The CONTRACTOR will ensure that all nominated parties are advised of training activities. Such periods of notification, content thereof and identification of nominated parties shall be the AUTHORITIES responsibility prior to Contract Award.

Management of training will be the responsibility of the CONTRACTOR in liaison with the AUTHORITIES. However Training Invites, Site selection/preparation and provision of Kit will be the responsibility of the CONTRACTOR.

Management Information (Training) will be the responsibility of the CONTRACTOR. Information passed to POCL/BA will shall be defined by the AUTHORITIES and subject to change control procedures.

Attendance of regular training review meetings will be the responsibility of the CONTRACTOR and will be part of the overall implementation review process. Training is an integrated part of the implementation and roll-out programme therefore it is not envisaged that the training will be isolated from project reviews.

Agreement and sign off by the CONTRACTOR will be part of the implementation plan.

Monitoring and review of performance will be jointly undertaken by the CONTRACTOR and the AUTHORITIES.

Identification of improvements to the training programme will be part of an approved quality process and is part of the CONTRACTOR's responsibility.

3. Key Measurables

3.1 Timeliness

The CONTRACTOR shall ensure that training is delivered in accordance with the roll-out of the automated platform. Such training will be delivered no more than 5 working days before live usage.

3.2 Quality

Course delegates will be requested to complete a questionnaire on the training environment, and the CONTRACTOR shall ensure an 85% positive response.

The CONTRACTOR shall not be responsible for adverse comments/user dissatisfaction relating to AUTHORITIES premises.

The CONTRACTOR shall agree positive training matrices with the AUTHORITIES prior to Contract Award. The CONTRACTOR shall ensure 95% compliance with these matrices as measured through satisfaction questionnaires.

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(Drafters Note): CONTRACTOR seeks clarification of penalties imposed for non-achievement of performance matrices.

3.3 Cycle Time

Training should take no longer than a period of 4 hours to enable a delegate to achieve the minimum standard of competence. It is the CONTRACTOR's responsibility to achieve the overall agreed level of competence e.g. 90% for knowledge related areas for transactions of the automated platform.

After implementation, ongoing training will be the responsibility of the AUTHORITIES any update training will be the responsibility of the CONTRACTOR.

3.4 Contingency/disaster recovery

Notification of course cancellations by the AUTHORITIES must be issued within an agreed timescale between the CONTRACTOR and the AUTHORITIES. A minimum of 48 hours notice must be provided for 98% of cases. The same will apply if the CONTRACTOR cancels a course with notification of an alternative date.

The CONTRACTOR shall not cancel more than 2% of the scheduled courses in accordance with the implementation roll-out plan. However if an installation is cancelled due to POCL/BA changes then this is the responsibility of the AUTHORITIES and should not be included in the 2% targeted for the CONTRACTOR.

It is the CONTRACTOR's responsibility to reschedule alternative training venues if a site becomes inoperative at no extra cost to the AUTHORITIES.

3.5 Data Accuracy and integrity

There will be no reduction in system performance as a result of training mode being used. Training mode will be used in the same way as live mode with the exception of "training" stock data.

It is the CONTRACTOR's responsibility to ensure there are no factual errors at the time of acceptance and release.

3.6 Competence levels

It is the CONTRACTOR's responsibility to meet the agreed objectives/competence level of the course and for delegates to demonstrate this capability as part of an end of course review. A competence test will be carried out at the after care visit to meet the agreed competence level of 90% for knowledge related areas for transactions of the automated platform.

The CONTRACTOR shall agree competence matrices with the AUTHORITIES prior to Contract Award. The CONTRACTOR shall ensure 90% compliance with the matrices as measured through a competence test/questionnaire.

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(Drafters Note): CONTRACTOR seeks clarification of penalties imposed for non-achievement of competence matrices.

The CONTRACTOR has the responsibility to meet level 1 of the standard Kirkpatrick model. This will be achieve by the end of course review/appraisal. Level 2 of the standard Kirkpatrick model will be met by the after care visit/competence test. However if the standard Kirkpatrick model has been adapted by POCL/BA then details shall be provided to the CONTRACTOR by the AUTHORITIES.

4. Communication

It is the AUTHORITIES' responsibility to provide agreed format on performance criteria along with written permission from Multiples that assessments can be carried out on their staff.

Distribution and format for providing this information shall be agreed between the CONTRACTOR and the AUTHORITIES prior to Contract Award.

Regional Office status reports will shall be defined by the AUTHORITIES and agreed with the CONTRACTOR. Status reports will be provided by the CONTRACTOR in a timely manner to a nominated contact. This will be distributed within 5 working days after each training event.

It is the CONTRACTOR's responsibility to provide training invites to a nominated contact within the Post Office 4 weeks prior to the proposed training event. It is also the CONTRACTOR's responsibility to confirm attendance in writing at least 1 week prior to the training event.

5. Monitoring Training Services

Monitoring of training Services will be carried out as part of the implementation programme. It is the CONTRACTOR's responsibility to supply information to the AUTHORITIES in an agreed format and to agreed measures. This format will be subject to change control.

6. Training Review Meetings

It is the CONTRACTOR's responsibility to hold regular management meetings to review progress and performance. This will be carried out on a regular basis and to an agreed timetable.

Regular review meetings regarding implementation should be the responsibility of both the CONTRACTOR and the AUTHORITIES.

7. Escalation Procedures

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Failures in service levels will be the responsibility of the CONTRACTOR and the AUTHORITIES's nominated SLA manager to resolve.

Issues or actions which fail to be rectified will be passed to the agreed CONTRACTOR and AUTHORITIES Service Management Team for escalation.

8. Change Management

This will be managed as part of the implementation programme and will be the responsibility of the CONTRACTOR.

Pathway Comment
None

Reference No 916

Pathway Response
1. SUMMARY

1.1 Pathway is in broad agreement with the objectives detailed in the Programme's Marketing and Education Plan 1996.

1.2 Pathway proposes that the objectives are achieved using an integrated customer education campaign which is based on the effective layering of a wide range of Public Relations and Advertising media including:
- TV (National and Regional)
- Radio (National and Regional)
- Ad-shells Posters
- National Press Briefings/Interviews/Press Releases
- Local Press Briefings/Interviews/Press Releases
- National Press Adverts
- Local Press Adverts
- Point of Sale Leaflets and Posters for Post Offices, Benefit Offices, Doctor's Surgeries, etc.
- Direct Mail
- Card Merchandise (e.g. plastic wallet to hold card/information leaflet/receipts)
- Launch Events

1.3. Pathway's integrated campaign recognises that raising awareness of the new service is not sufficient. The campaign must ensure that all the target audience know how the new service will effect them, when the new service will effect them, and understand the new activities required of them.

1.4 The specific objectives and activities of the campaign will be agreed as part of the process started on 31 January 1996 with Pat Dugdale and the BA/POCL Communications Team.

1.5 Detailed costings will be provided as part of the response to the ITT.

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2. INTRODUCTION

Pathway understands BA's key drivers of right money, right person, right time and right place, and we recognise that this can not be achieved wholly without comprehensive product education. BA is responsible to a number of high profile individuals and groups (e.g. Secretary of state, DSS, Parliament, Statutory & Voluntary Groups, and the taxpayer) making the successful implementation of new products all the more important. In addition, a successful product education campaign should integrate with BA's core values of Customer Service and Value for Money.

3. OBJECTIVES

The objectives of the Pathway product education activities are:
3.1 Educate and inform opinion formers to overcome anxiety relating to change on behalf of the special interest groups they represent.
3.2 Create awareness amongst customers of the new products being introduced, explain the rationale behind them, and how they, the customer, benefit.
3.3 Educate customers as to the "hows and whens" relating to the new products thus enabling a swift and efficient take up.
3.4 Create an overall positive environment of goodwill towards the new products within society.
3.5 Minimise the cost of achieving these objectives.

4. KEY ISSUES

The key issues for product education are the diversity and vulnerability of the target audience. Our research has shown that the new products will effect a wide spectrum of individuals, in a wide spectrum of circumstances, showing a wide range of emotional intensity with respect to both the current and the introduction of new products. Accordingly, it will not be a straight forward task to develop consistent education messages which are equally relevant and popular with all customer groups.

In addition, for many of the target audience a highly charged emotional state surrounds the anticipation of receiving their benefit. They fear the loss of livelihood if their benefit is delayed, as in some cases they are entirely dependant on the benefit moneys, and in many cases are already in arrears in lieu of their benefit. Clearly, with such a highly anxious state of mind being prevalent, and with such high levels of dependency, the product education campaign must be extremely comprehensive, and ensure understanding and acceptance in all the target audience.

Finally, all product education will need to be progressed in all appropriate languages as agreed with BA.

5. THE PATHWAY APPROACH

To ensure messages get to all the target audience, and to minimise costs, we propose the use of an integrated campaign which can pull together a blend of advertising media including national and regional TV, direct mail letters and leaflets, radio, ad-shells,

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national press, card merchandise (plastic wallet to hold card/leaflet/receipts), and point of sale posters and leaflets for Post Offices, BA Offices, Doctors' surgeries, etc. This approach ensures that we reach the highest number of customers whilst minimising the costs and establishing a consistent message across a diverse customer base.

In addition, it allows us to maximise the effectiveness of each media type, allowing each media to be used for the role to which it is most suited (i.e. television is effective at increasing awareness, but is not as effective as a direct mail pamphlet for allowing the customer to become familiar with the mechanics and details of the new product). An integrated campaign also gives flexibility, allowing us to learn as we progress from region to region and from product to product, and to update the product education media quickly and cost effectively. Clearly a campaign heavily dependant on TV would not have that flexibility and would incur significant costs for any changes.

The agency we are working with is McCann-Erickson (Manchester) who we feel are uniquely qualified to meet the objectives of the campaign, and indeed this was evidenced in October when they were awarded top prize in the Integrated Advertising category at their industry awards.

However a cost effective and flexible campaign by the recognised leaders in this field is not enough in itself. Incorrect or badly received product education messages would be very damaging, so Pathway is keen to base all our messages on themes which we can prove will be effective and well received. Accordingly our messages and themes will be built on the comprehensive research of; customers of BA, customers of POCL, the general public, the voluntary groups, and community leaders.

Pathway recognises that research is not a one-off, tick-box activity, it is a long term commitment. Accordingly, research is on-going and will continue to be important, forming a key part of product education to ensure we are getting it right, and that we are learning any lessons which emerge from the implementations, and especially the pilot. Feedback from the public, from Post Office Counters Staff and Benefits Agency staff will be vital to our long term success, and their involvement and views are a key aspect of the Pathway approach.

In summary, an integrated approach maximises the ability of the campaign to reach different types of people. The research will identify messages with which the public can identify, and it will provide valuable feedback throughout the campaign. Through the flexibility of the integrated campaign and the feedback from our on-going research, we will be able to tailor the messages of our campaign to ensure we benefit from lessons learnt in each implementation and are able to address new issues as they arise. Finally our approach will allow us to maximise the value for money you get by delivering high effectiveness and the lowest cost. We believe that these benefits are essential to the public, to BA, and to POCL, and because of our comprehensive approach, and in-

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depth understanding of the task required, we believe they are unique to Pathway.

5. IMPLEMENTING THE PATHWAY APPROACH

The involvement of voluntary groups and opinion formers is crucial. Their input and enthusiasm for the new products is essential to the success of any product education campaign. Accordingly Pathway is building relationships with these groups and indeed has invited their representatives to our Feltham offices to review and input to our solution, to ensure it best meets the needs of the customers they represent. As the voluntary groups are often the first port of call for the public when they are experiencing difficulties, their understanding of the new products and involvement in the up-front development will be key to successful product education.

Prior to the pilot, creative strategy will be developed for all media, and qualitative research carried our to ensure the creative strategy and concepts will be effective and well received. This will include such activities as generating and researching further card names and colour schemes as appropriate (e.g. a separate product identity for pensioners).

In order to develop a point of view on the most appropriate pilot sites, Pathway will be using the Mosaic demo-graphic profiling system to undertake an analysis of the Newcastle area households which have children. This system was demonstrated to representatives of the BA/POCL programme team on the 12th and 20th of December last year.

Pathway believes that successful product education will require a partnership between BA, POCL and ourselves. The three organisations have a wealth of expertise and experience to draw on for this type of activity, and to preclude the involvement of any one of the three in contributing to product education would reduce the effectiveness of the campaign.

Once the strategy for the pilot has been agreed, Pathway would propose the following activities:

5.1 Review product education media planning in liaison with POCL and BA. Confirm pilot and roll-out regions.

5.2 Quantitative test of product education concepts for impact and communication.

5.3 Confirm communications programme.

5.4 Develop ancillary creative materials.

6. CONCLUSION

Pathway understands the business drivers of BA and POCL and will integrate these drivers into the product education campaign. Our approach is based on establishing a Product Education Partnership between BA, POCL and ourselves in order to ensure that we utilise all the experience of these organisations in getting the campaign right. An integrated approach is essential in order to maximise effectiveness and value for money, and in McCann-Erickson we

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believe we have the agency best able to deliver this type of campaign successfully.

Pathway Comment
None

Reference No 917

Pathway Response
PATHWAY SOLUTION:

1. The objectives detailed in section 2 of the Programme's Marketing and Education Plan 1996 do not cover this requirement.

2. The specific objectives and activities of the campaign will be agreed as part of the process started on 31 January 1996 with Pat Dugdale and the BA/POCL Communications Team.

3. Pathway proposes that the objectives are achieved using an integrated customer education campaign which is based on the effective layering of a wide range of Public Relations and Advertising media including:
- TV (National and Regional)
- Radio (National and Regional)
- Ad-shells Posters
- National Press Briefings/Interviews/Press Releases
- Local Press Briefings/Interviews/Press Releases
- National Press Adverts
- Local Press Adverts
- Point of Sale Leaflets and Posters for Post Offices, Benefit Offices, Doctor's Surgeries, etc.
- Direct Mail
- Card Merchandise (e.g. plastic wallet to hold card/information leaflet/receipts)
- Launch Events

4. Pathway is aware that POCL has commissioned a new Advertising Agency for their next campaign. To avoid the cost and confusion arising from overlap, clarification is sought between the boundaries of this requirement and the brief for POCL's new Advertising Agency.

5. Detailed costings will be provided as part of the response to the ITT.

Pathway Comment
None

Reference No 918

Pathway Response
PATHWAY SOLUTION:

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1. Pathway recognises the importance of a partnership approach to communications, marketing and education, and we are keen to establish a close working relationship with the BA/POCL Communications team who will be managing this activity on behalf of the AUTHORITIES.

2. The key premise to this partnership is that each partner should focus on their respective areas of expertise. The synergy of this approach will result in a campaign which is more effective than that which could have been managed by either the AUTHORITIES or Pathway on its own.

3. Pathway recommend that the central core of communications, marketing and education activities will be managed by McCann-Erickson (Manchester), who will be responsible for the creative and delivery elements of all communications, marketing and education material. They will respond and contribute to the briefs agreed by the partnership, and be subject to its sign-off.

4. Pathway recognises the strategic need for the partnership to be responsive to events as they occur, and accordingly we recommend that the partnership is empowered to a level agreed between the AUTHORITIES and Pathway.

5. The partnership will need to be comprised of suitable staff from the BA/POCL Communications Team and Pathway.

6. Pathway recommend that the terms of reference and split of responsibilities for the partnership are agreed as part of the process started on 31 January 1996 with Pat Dugdale and the BA/POCL Communications Team.

7. Detailed costings will be provided as part of the response to the ITT.

Pathway Comment
None

Reference No 919

Pathway Response
1. The Programme's Marketing and Education Plan 1996 makes reference to reaching recipients using proven channels used by the sponsors. Clarification is sought of the current methods of reaching Welsh speaking recipients used by the sponsors.

2. Girobank produces all its product marketing and education literature in Welsh as well as English. Pathway will leverage the experience of its share-holder, Girobank, to ensure all Marketing and Education material is compliant with the Welsh Language Act 1993.

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3. Detailed costings will be provided as part of the response to the ITT.

Pathway Comment
None

Reference No 920

Pathway Response
1. Pathway recognise the importance of providing high quality advice, information, and materials to DSS and SSA staff, POCL employees, subpostmasters and other agents and their staff. Accordingly this activity is part of the Pathway Management of Change Programme.

2. Pathway recognise that such advice, information, and materials will be required on a number of levels depending on the role of the DSS and SSA staff, POCL employees, subpostmasters and other agents and their staff.

3. The detailed planning of this activity will need to be done in partnership with the BA/POCL Communications Team.

Pathway Comment
None

Reference No 921

Pathway Response
1. The Pathway solution for OPS will provide a secure timeout facility for counter PC's and Back-Office PC's. This will comprise a user activated timeout which will enable the user to clear the screen and leave the terminal for a short (configurable) period. The user session is reactivated by the user entering their password. Any applications are left active.

2. The clerk will reactivate their session by entering their password.

3. The display presented when the timeout facility is activated will be different to any normal desktop or application screen.

4. Should the clerk who initiated the timeout be unable to re-activate the facility, the following actions may be taken :-

After a configurable period of time during which there is no active session it will automatically log-out. A journal message will be created indicating this.
. The postmaster may assume responsibility for any uncompleted session, the stock unit or share thereof, by entering his own user name / password.

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Once the terminal has logged-out any authorised user may then use that terminal.

All the above events will be written to the journal.

Pathway Comment
None

Reference No 922

Pathway Response
Pathway confirms that the acoustic noise emission of any item of OPS equipment supplied by Pathway will not exceed 60dB(A) measured at a distance of 1 metre.

Pathway Comment
None

Reference No 923

Pathway Response
Pathway confirms that it will agree with the Authorities the User service acceptance criteria for the operational trial. Acceptance Criteria for the Operational Trial must be agreed before signature of contract.

Pathway Comment
Acceptance Criteria must be defined and agreed prior to award of contract.

Reference No 924

Pathway Response
The Pathway solution maintains within CMS a record of cards in production, in despatch to an outlet and held at the outlet, prior to issue and activation. Cards are despatched to outlets in secure batches, comprising one or more cards, each with a bar coded batch record including the number of cards within the batch. The bar code information is scanned into the system at the outlet to indicate the arrival of a batch and then each card is checked by "swiping" them through the card reader.

In the event of discrepancy or if a separate reconciliation of the card stock is required at any time, facilities are provided to read each unissued card at the outlet and compare the individual card identities with those recorded on the system as held unissued at the outlet, providing details of any unmatched cards for investigation or audit.

Pathway Comment

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None

Reference No 925

Pathway Response
Pathway recognise the two elements to the requirement covering Operational Trial and Steady State testing, and would respond as follows to the AUTHORITY's alphabetic paragraph numbering:

A. The CONTRACTOR shall comply with the AUTHORITY's approach to and measurement of the operational trial and acceptance testing. Each operational trial shall cover the three phases as listed below:

1. A Technical Test that confirms the underlying systems function correctly.
2. A model office test that simulates the service provision from end-to-end.
3. A live trial that tests the service with live data and true users and customers.

Pathway recognise that the second stage (or phase) may start before the first has finished.

B. The CONTRACTOR shall undertake the technical test, which shall be overseen by the AUTHORITY, in accordance with the procedures identified in Control document Ref 011.

C. Testing shall continue for the life of the Contract, and the introduction of any new or amended service shall be the subject of the three-phase testing strategy outlined above.

D. The CONTRACTOR shall produce all of the deliverable documentation agreed as part of the testing strategy in accordance with control document ref 011.

E. The CONTRACTOR shall produce all required test scripts as requested by the BA/POCL test team. Any unplanned additional testing requirements identified by the BA/POCL test team which change the testing schedule shall not give rise to CONTRACTOR liabilities.

F. The CONTRACTOR shall support the testing taking place in the POCL Model Office to the extent that this is quantified and qualified in the control document ref 011.

G. The CONTRACTOR shall install the required hardware, communications and software and commission the test equipment in the agreed configuration at the model office. The AUTHORITY shall not stipulate any test conditions that would require the repeated replacement of all or part of the configurations supplied by the CONTRACTOR.

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H. The AUTHORITIES and the CONTRACTOR shall agree the location and types of outlets for the live trial phase of the operational trial. It is understood that the initial trial shall take place in 10 outlets, expanding to 60.

The live trial shall include, but not be limited to:

1. Training of users
2. Installation processes
3. Synchronisation of services
4. Live data handling from end to end

I. The CONTRACTOR confirms that all new or current products to be migrated on to the platform must undergo a technical test, a model office test and a live trial. The parameters for the live trial phase will be agreed between the AUTHORITIES and the CONTRACTOR.

K. Notwithstanding the conditions of clause G above, for maintenance and upgrade purposes the CONTRACTOR shall proceed as agreed in close liaison with the AUTHORITIES during the Operational Trials phase, and subsequent to that stage, regard the model office in all practical respects, as an outlet.

Pathway Comment
None

Reference No 926

Pathway Response
1. Pathway confirms that all rollout plans and changes to the plan will be agreed with the AUTHORITIES, subject to note (a) below, but the Authorities shall not unreasonably withhold consent and shall not in any case withhold consent if so doing would cause Pathway to fail to meet its obligations under the Contract.

2. Pathway reserve the right to change functionality at its discretion, subject to maintaining contractual obligations and service levels.

3. A Change Control procedure shall be defined for the Rollout programme, which should embrace any expected change to service aspects.

4. Service Level measurement during rollout will be skewed due to instability; suspension of rollout based on failure to meet service levels needs to account for this and the AUTHORITIES should advise which Service Levels will determine rollout suspension prior to contract award. See also note (b)

Notes:

(a) Pathway wish to understand the business and operational drivers that determine the rollout plan(s) to be agreed with the AUTHORITIES. This is to avoid any nugatory detailed work prior to

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rollout, and to best prepare contingency plans and operational approach to rollout.

Pathway wish to be clear on the above such that any conflict of priorities between the contracting AUTHORITIES can be avoided.

(b) In as much as the AUTHORITIES reserve the right to determine the strategy and pace of rollout, the affect on service levels, public and user acceptance cannot be quantified by Pathway until such time as the strategy has been agreed and evaluated. Pathway reserve the right to reject an implementation strategy which it cannot sustain or which would give rise to unacceptable contractual, operational or financial constraints.

(c) Pathway reserves the right to modify its Prices if the rollout assumptions that are built into it's Tender are modified by the Authorities post Tender.

Pathway Comment
1. The rollout plan is key the Contractor. If the plan is not established in the requirements prior to ITT then the Contractor will have to build his own assumptions regarding the rollout strategy and the financial consequences into his Tender and his associated business plan. There may be price implications if the Authorities wish to change those assumptions post Tender.

2. If the Authorities wish to influence the rollout strategy then the requirements should be expressed prior to ITT.

Reference No 927

Pathway Response
Pathway shall provide sufficient documentation to enable DSS to understand what happens at a Post Office and what problems customers are likely to encounter, within 21 days of Contract Award. A process will be agreed between the CONTRACTOR and AUTHORITY for updating this information.

Pathway will agree a process with the AUTHORITIES for updating information in the procedure manuals, forms and leaflets, so the information will be available, where timescales allow four (4) months before the proposed change.

Pathway Comment

Reference No 928

Pathway Response
Pathway agree to make available copies of the Service Architecture and Design documentation set in a form to be agreed. Pathway propose that the release content and date will be determined as part of the Operational Trials phase.

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Pathway will ensure that all registered copy holders of the documentation set are supplied with updates and as when published.

Pathway Comment
None

Reference No 929

Pathway Response
The CONTRACTOR shall ensure that from the start of use of the Benefit Payment Service it will be possible for an authorised person to be paid using a card at his/her nominated Post Office. Procedures will also be in place for the authorised person to be paid using his/her card at any other automated office and/or in any of the nominated main Post Offices in Schedule X, in accordance with the rules for Foreign Encashments.

Pathway Comment
None

Reference No 930

Pathway Response
Pathway confirms that if the solution requires any activity within DSS nominated sites then the relevant parts of the Rollout schedule will be agreed with the DSS. The DSS will not unreasonably withhold their consent from the Rollout schedule.

Pathway Comment
None

Reference No 931

Pathway Response
Pathway will provide all specified support services as part of the Operational Trials, which include "Limited Go Live". It is expected that the entry and exit criteria for this phase will be demonstrable adherence to the required service levels.

The support services listed under this requirement will be generally available during the counter infrastructure rollout, which is expected to precede card rollout by at least three months. However, any specific requirements relating to DSS staff should be explicitly identified beforehand in order that Pathway can ensure support availability. In particular, Pathway wish to know the size and locations of all "DSS nominated sites" and the required service for each position so nominated.

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Pathway Comment
None

Reference No 932

Pathway Response
Pathway will provide all training material and deliver training to all users of the system to a defined Service Level Agreement (req 915). Availability of course material and other documentation 21 days after contract award is neither necessary nor reasonable, given that Operational Trials will at that time have only just started, and are unlikely to affect DSS staff directly.

Any specific training requirements for CAPS training development staff should be explicit in Req 915 where these are in addition to Pathway's "train the trainer" event(s).

Updates to documentation and/or training material shall be identified as part of any new Product/Service Introduction Plan.

Pathway Comment
The timescales set seem to be entirely arbitrary and outside the context of an overall implementation plan.

Reference No 933

Pathway Response
Pathway understands that it is the AUTHORITY's intention to produce the 'Service Definitions' and agree the 'Acceptance Criteria' during a 90 day period following Award (i.e. clause 201). In that event, it is difficult to see how the system could be subject to all stages of the Operational Trial (technical, model office and live trial) and still be ready to support the roll-out commencing January 1997. In order to achieve this it would be necessary to enter the first phase of testing sometime in April 1996, several months before the end of the 90 day period.

Pathway agrees that it is possible to overlap the 3 phases of Operational Trial but this overlap must be carefully managed and would offer limited opportunities for compressing the timescales. For example, it would not be sensible to commence the Live Trial phase before the UAT had been formally signed off.

Pathway proposes to implement a 'Pre-Release' version of the system, based on the current understanding of the requirement, between September and December 1996. It will not contain all of the functions and features which have been identified.

It will not be possible to modify the functionality of this 'Pre-Release' version to reflect the agreed 'Service Definition' and at the same time achieve these dates. This version will therefore serve as an illustration of how the service will appear to the

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customer and POCL staff but it would not form the basis for an acceptance test as defined in the Operational Trial.

Development and testing of Release 1 of the system would proceed in parallel and the implementation schedule would be agreed shortly after the end of the 'Service Definition' period referred to in the Contract. However, it is unlikely that the logical sequence of life cycle stages could be completed before March 1997 and this assumes no major changes to the Pathway solution.

Pathway Comment
None

Reference No 934

Pathway Response
Business supported across the boundary

Pathway confirms that it will support the following data transfers originated by CAPS:

Personal details notification. Where this data transfer is an initial one (Initial or Revised Broadcast ='I') Pathway will facilitate the customer's use of CMS supported services and use the customer details supplied. Once accepted on to the CMS Pathway will ensure that a card (or equivalent token) is always available to the customer to enable collection of benefit payments. Where the customer reports his card lost, stolen or damaged but is in immediate need of funds and unable to wait for Pathway to replace his card, then BA may issue him with a temporary token. Pathway will ensure such supplies of temporary token are available to BA offices. This facility for the customer to use CMS supported services will continue until "End of customer interest" is received. But see Pathway comments. For changes to customer details notified later (Initial or Revised Broadcast ='R') Pathway will use these details in all succeeding CMS supported services use. Revisions to card-related customer details will be supplied only via this route and Pathway will ensure that this is the only route available for changing the customer details received by CMS. (The only exception is the change to nominated office which may be changed by requests from the post office counter as defined in the CAPS to PAS Service Boundary Requirement and Response (935 qv)). But see Pathway comments.

End of Customer Interest. Pathway will ensure that a customer for whom this notification has been issued will be able to make no further use of CMS supported services. In particular, his card will be stopped. Any payment authorisation for which this customer is the only payee will be rejected by PAS. See Pathway comments.

System and Service responsibility

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Pathway understands that the business responsibilities are to be as outlined within the definition of each business data transfer as will be any data transfer specific constraints that shall have been identified (including specific timing and sequencing constraints). Pathway would welcome information on these definitions and constraints if this is available elsewhere than in these requirements.

Pathway understands that it must provide any staff, premises, networks (voice/and or data) hardware, software procedures and training required to deliver these services to the nominated CAPS hardware platforms. Pathway accepts entire responsibility for rollout, operation and management of all such equipment. Pathway does not believe it reasonable that such responsibility, which as defined extends to the whole PFI, should be subject to DSS approval outside of service acceptance or to the extent it involves DSS personnel, agents or facilities.

Pathway undertakes to provide such connection(s) at sites nominated by DSS which may change over the period of the contract. Pathway understands that at Version 1 the CAPS hardware platform will be ICL VME based and will be located in the ACCs currently operated for the DSS by EDS. But see Pathway comment.

Pathway will seek to agree with the DSS's operator of the CAPS services (at Version 1 EDS), subject to DSS approval, the technical and operational nature of the connection. However, in the event that agreement cannot be reached Pathway would seek to agree with the DSS as principal a means of final resolution.

Pathway understands that its service responsibilities extend to:

transport of CAPS-created data transfers and associated information (e.g. reference data) from the CAPS Service to its own services (CMS and PAS) along with all subsequent processing. This to normally include detecting the availability of such data transfers and data on the CAPS services. In the case of file transfer data transfers Pathway interprets this to mean that Pathway will normally "pull" files to itself and "push" files from itself. In the case of transactional interfaces Pathway believes a different description of responsibilities will be required.

provision of all responses to such transactions (e.g. acknowledgements) along with delivery to the CAPS service and notification of their availability. This is interpreted as including the "pushing" of files back to CAPS. No such files are specified for CMS at this time.

Pathway acknowledges that it is solely responsible for all activities required to discharge its own responsibilities. There are responsibilities of DSS and its agents described above and listed below. Pathway will ensure the integrity, security, auditability and maintenance of a full audit trail of all data transfers and data as it is transmitted and processed by Pathway.

Pathway Comment

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In preparing this response reference has been made to the CAPS to PAS/CMS Interface Definitions Version 4, 8 November 1995.

The term "transactions" is used in the requirement. Pathway understands that initially all transfers will be file based and anticipates that in the future both file and true transactional interfaces will be used. The term "data transfers" has been substituted.

All Customers will be referred to throughout BPS by their NINO if this is available. For certain customers (casual agents) no NINO may be available.

Attention is drawn to Requirement 716 and the associated Pathway response. This requirement is for an operation termed card cancellation. Pathway has proposed alternative semantics to "End of Customer Interest" to handle both the case where a card holder will not foreseeably require a card as in the case of death or emigration, and that where he is not likely to receive benefit for some time, but may do so in the relatively near future. These proposals were discussed and developed during the BPS stream meetings.

The systems for change of nominated post office, if they are to replace the broad functionality of the P80MA procedure, also handle the change of customer address, also held on the customer details record in CMS. Pathway's solution provides for this. If this is not required Pathway will remove this facility. In this event supplementary verification checks on address details will then use the address field as held until a new address is notified by CAPS.

Pathway has understood that the CAPS facility would be based at one DSS site, probably with a backup at another site and has provided descriptions of the CAPS gateway and associated communications facilities on this basis. Pathway understands the terms of this requirement to entail four such CAPS sites. Pathway seeks urgent clarification of this aspect of the requirement. Pathway believes that it is in the best interests of the project that clear responsibility is taken for the payment authorisation data whilst in transit between CAPS and Pathway systems, and that this is best served by locating a Pathway CAPS Gateway function on DSS premises together with Pathway staff who can deal directly with the DSS's agent's staff. However, the requirement to maintain four such geographically dispersed gateways greatly increases the costs and operational complexity.

Pathway seeks clarification as to the method of delivery of PAS related BPS MIS files required (Requirement 729). If these use the CAPS link(s) then this requirement will require revision.

Pathway recommends the following as a consistent descriptive basis for normal, non-counterfeit card statuses. Ordinary cards in the inactive and active states can also be suspended or unsuspended. Cases which apply to ordinary cards are underlined. Cases which apply to temporary tokens are in italics.

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Inactive

Uncollected	Yet to be activated, in transit or at post office
Unissued	Yet to be issued by benefit office
Lost	Did not arrive by due time
Stolen	Stolen from post office or benefit office
Damaged	Could not be activated/issued
Returned	Was not activate/issued by due date and returned

Active

In use	Activated, the normal state
Stopped	With reasons - reported lost - reported stolen - reported damaged - customer denied use
Dormant	Notified no further interest
Shot	Used temporary token

Cancelled

Dormant card not replaced when otherwise due

The following "glossary" defines words which have been used from time to time in this context:

Invalidated = Stopped. A stopped card or temporary token cannot be unstopped, just replaced.

Terminated = Cancelled.

Reference No 935

Pathway Response

Business supported across the boundary

Pathway confirms that it will support the following data transfers originated by CAPS:

Authorised Payments for encashment by Customers at post offices using a card-based method of payment.

Payment Stops for stopping authorised payments prior to encashment.

Payment Enquiries for permitting DSS to check up to date status of payments

Customer Details notification. If this data transfer is an initial one (Initial or Revised Broadcast ='I') Pathway will facilitate the customer's use of PAS supported services and use the customer details supplied. For changes to customer details notified later (Initial or Revised Broadcast ='R') Pathway will use these details in all succeeding PAS supported services use. Revisions to payment-related customer details will be supplied only via this route and Pathway will ensure that this is the only route available for changing the customer details received by PAS. (The only exception is the change to nominated office which may be

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changed by requests from the post office counter. But see Pathway comments.
End of Customer Interest. Pathway will ensure that a customer for whom this notification has been issued will be able to make no further use of or be referred to in PAS supported services. Any payment authorisation for which this customer is the only payee will be rejected by PAS.

Pathway confirms that it will support the following data transfers originated by PAS:

Payment Expiries for notifying that payments have not been encashed by the date of their expiry.
Payments Encashments for notifying encashment by a Payee or casual agent
Restricted Post Office Infringements for notifying attempts to encash at a foreign office where these are prohibited.
Change of Nominated Post Office for notifying requested changes of nominated post office by a card holder. See Pathway comment.

N.B. There are other data transfers originated by PAS specified in the CAPS specification but not listed by this requirement. They are:

Stop Payments Confirmations (implied by above)
Card Alerts
Payment Enquiry Responses (implied by above)
Customer Statement Requests

System and Service responsibility

Pathway understands that the business responsibilities are to be as outlined within the definition of each business data transfer as will be any data transfer specific constraints that shall have been identified (including specific timing and sequencing constraints). Pathway would welcome information on these definitions and constraints if this is available elsewhere than in these requirements.

Pathway understands that it must provide any staff, premises, networks (voice/and or data) hardware, software procedures and training required to deliver these services to the nominated CAPS hardware platforms. Pathway accepts entire responsibility for rollout, operation and management of all such equipment. Pathway does not believe it reasonable that such responsibility, which as defined extends to the whole PFI, should be subject to DSS approval outside of service acceptance or to the extent it involves DSS personnel, agents or facilities.

Pathway undertakes to provide such connection(s) at sites nominated by DSS which may change over the period of the contract. Pathway understands that at Version 1 the CAPS hardware platform will be ICL VME based and will be located in the ACCs currently operated for the DSS by EDS. But see Pathway comment.

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Pathway will seek to agree with the DSS's operator of the CAPS services (at Version 1 EDS), subject to DSS approval, the technical and operational nature of the connection. However, in the event that agreement cannot be reached Pathway would seek to agree with the DSS as principal a means of final resolution.

Pathway understands that its service responsibilities extends to:

transport of CAPS-created data transfers and associated information (e.g. reference data) from the CAPS Service to its own services (CMS and PAS) along with all subsequent processing. This to normally include detecting the availability of such data transfers and data on the CAPS services. In the case of file transfer data transfers Pathway interprets this to mean that Pathway will normally "pull" files to itself and "push" files from itself. In the case of transactional interfaces Pathway believes a different description of responsibilities will be required.

provision of all responses to such transactions (e.g. acknowledgements) along with delivery to the CAPS service and notification of their availability. This is interpreted as including the "pushing" of files back to CAPS.

transport of PAS-created data transfers and associated information from PAS to the CAPS service and notification of its availability. In the case of file transfer data transfers Pathway interprets this to mean that Pathway will normally "push" files from itself. In the case of transactional interfaces Pathway believes a different description of responsibilities will be required.

detection of responses to PAS-created data transfers by CAPS and transport of these to its own services along with subsequent processing. In the case of file transfer data transfers Pathway interprets this to mean that Pathway will normally "pull" files to itself. In the case of transactional interfaces Pathway believes a different description of responsibilities will be required.

Pathway acknowledges that it is solely responsible for all activities required to discharge its own responsibilities. There are responsibilities of DSS and its agents described above and listed below. Pathway will ensure the integrity, security, auditability and maintenance of a full audit trail of all data transfers and data as it is transmitted and processed by Pathway.

Pathway Comment

In preparing this response reference has been made to the CAPS to PAS/CMS Interface Definitions Version 4, 8 November 1995.

The term "transactions" is used in the requirement. Pathway understands that initially all transfers will be file based and anticipates that in the future both file and true transactional interfaces will be used. The term "data transfers" has been substituted.

All Customers will be referred to throughout BPS by their NINO if this is available. For certain customers (casual agents) no NINO may be available.

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The systems for change of nominated post office, if they are to replace the broad functionality of the P80MA procedure, also handle the change of customer address, also held on the customer details record in CMS. Pathway's solution provides for this. If this is not required Pathway will remove this facility. In this event supplementary verification checks on address details will then use the address field as held until a new address is notified by CAPS. For these records the requirement uses the term "must" the CAPS specification uses the term "may".

For RPOI records the requirement uses the term "must" the CAPS specification uses the term "may".

There are four types of PAS to CAPS data transfers not listed by this requirement. Pathway seeks to confirm they are part of the requirement.

Pathway has understood that the CAPS facility would be based at one DSS site, probably with a backup at another site and has provided descriptions of the CAPS gateway and associated communications facilities on this basis. Pathway understands the terms of this requirement to entail four such CAPS sites. Pathway seeks urgent clarification of this aspect of the requirement. Pathway believes that it is in the best interests of the project that clear responsibility is taken for the payment authorisation data whilst in transit between CAPS and Pathway systems, and that this is best served by locating a Pathway CAPS Gateway function on DSS premises together with Pathway staff who can deal directly with the DSS and its agent's staff. However, the requirement to maintain four such geographically dispersed gateways greatly increases the costs and operational complexity.

The requirement to generate payments based upon the Next Payment Predicted Amount, the subject of Requirement 830 is not cross referenced here. This requirement will require an explicit liceat by DSS, or possibly their agents, to be given to Pathway. Very secure arrangements for this liceat will be required.

Pathway seeks clarification as to the method of delivery of PAS related BPS MIS files required (Requirement 729). If these use the CAPS link(s) then this requirement will require revision.

Reference No 936

Pathway Response
Pathway endorses the BA/POCL definition of "customer" and "card".

Pathway will use Temporary Tokens in co-operation with BA and POCL only to facilitate emergency payment processes to customers known to the system but who have no card and are in immediate need of funds. A detailed statement of Pathway's proposals for the use of temporary tokens is contained in the BPS Stream Meeting papers, the last of which is dated 8 January 1996.

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Business supported across the boundary

Pathway will support the following business transactions across the boundary:

Throughout its dealings with customers Pathway will treat customers of all types and stations in life with courtesy and respect displaying a positive and unflagging service and customer care ethos.

Pathway initiated transactions:

Customer education - Pathway will provide information of such kinds and in such manners as will enable customers to understand what CMS and CMS-related facilities are available to them and how they may use such facilities. Such information will be provided both proactively by way of explicit promotion and as an automatic adjunct to the provision of service. In addition the customer will be able to request information. In particular Pathway will conform to the requirements of the Welsh Language Act. Attention is drawn to the response to requirement 735 and the development with the BA/POCL Communications Team of the Customer Education plan .

Specific examples are:

* Integrated media campaigns - to introduce the services and major developments of them and sustain the services over time.

* A Pathway welcome pack - available to all customers with their notice of entitlement. Pathway recommends consideration of a concise booklet providing a comprehensive and up to date description of the services available in terms that are accessible to the whole range of customers, perhaps prepared in the 13 languages in which BA operate, or such languages as may be required from time to time, and distributed geographically as required by the by the Welsh Language Act or such other linguistic-geographic requirements of law or custom and practice.

* The PUN communication - besides the information to effect card activation the PUN pack will contain information about how to defer collection of the card, an initial mandate form to help customers who are unable to the attend the post office to collect their benefit, and information about how to appoint permanent agents (see requirement response 749).

* The card itself - Pathway will cooperate with BA to make the card as informative as possible consistent with the plastics technology. The card will carry the telephone number of the CMS Help Desk through which a customer can be helped to any point in the service provision.

* The receipt/mandate/temporary token stationery - this will be of a uniform image and will contain information of a "yellow

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pages" variety on the reverse side of the copy retained by the customer.

* Point of service material, leaflets, posters, etc. - these will be distributed via post offices and benefit offices, for which Pathway will need BA and POCL co-operation. These will be used to inform customers of temporary or immediate variations in the service provision, for example, the arrangements for payment availability dates over Christmas.

* Customer service action point - Pathway will operate a customer-oriented information point for enquiries received by surface mail, facsimile and electronic mail and those recorded at the CMS Help Desk and passed on.

Card issue - Pathway will ensure that a customer who is a valid user of CMS services has available to him a card, as defined, whenever required for benefit payment. There are of, course, practical limitations to such availability which are beyond Pathway's immediate control, as in the case of a customer losing his ordinary benefit card, having it stolen or damaged. In such cases Pathway will operate a clear procedure for its replacement, and in co-operation with BA and POCL, its substitution by a temporary token in the event an emergency payment process is required. Pathway will equip the customer with an ordinary benefit card by means of a process based upon card activation at the nominated post office in logical exchange for a Pick Up Notice delivered to his address for correspondence. Pathway will monitor this process such that the security of the system is assured, and customer service requirements are met. Attention is drawn to the Pathway BPS Security Proposal 21 December 1995, risk response 78 and requirement responses 749 and 750. Ordinary benefit cards will be issued in the following circumstances (temporary tokens are dealt with above):

* Initial issue of card

* Replacement of card as a result of loss, theft, damage, destruction, including cases where the card becomes unserviceable in ordinary use

* Renewal of card towards the end of its allotted service lifetime. As a matter of process Pathway will operate on the basis that a new card when activated causes the automatic stop of an old card, thus ensuring maximum logical compatibility of data and actions and sustaining the fundamental principle that a customer can hold only one active card at a time.

* Replacement of card due to revision of personal details as passed from CAPS to CMS wherever they affect what is on the card, both the printed information, electronic data and card livery.

* Collection of PUN from a benefit office where DSS notifies Pathway that the customer has no fixed abode or the address is unknown or assessed as unreliable for correspondence.

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Pathway will support the following business transactions across the boundary initiated by the customer:

Customer enquiries - Pathway will provide a CMS Help Desk facility available 24 hours a day, and every day of the year except Christmas day, available by telephone at local call rates to all customers. The operating standards of this help desk are such that answering calls will be prompt, enquiries will be handled expeditiously and information will be complete and up to date. Attention is drawn to requirement response 889. Pathway confirms that the service will provide for the enquiry types designated as a minimum:

* The use of all CMS supported services available to customer. In addition the Help Desk facility will convey information about those services which are CMS-related, for example applicability within the Benefit Encashment Service ("Can I use my card at a post office different from my nominated one, or do I need a another card?")

* If and by what means the customer should expect to acquire a card. The Pathway solution eliminates the direct and collusive hazards of delivering ordinary benefit cards to customers' addresses and provides for their collection only by the customer in person at nominated post offices and their witnessed activation. Practical procedures have been developed to handle cases where a customer cannot unexpectedly attend the post office to collect his card. The CMS Help Desk will direct a customer who is apparently in need of funds but for whatever reason does not have a card to the BA office to apply for temporary token based emergency payment.

* The status, type and expected availability of any card the customer is expecting but has not yet acquired. The CMS Help Desk will have access to up to date information about the posting of PUNs, and, for ordinary benefit cards, the ordering from production, despatch, and predicted and actual acknowledgement of arrival at the nominated post office.

* The CMS Help Desk will hold information about a customer's currently active card. The Pathway solution provides that a customer has only one active ordinary benefit card at any point in time which is usable for all benefit types and encashment situations (excepting those involving temporary tokens). The Pathway solution is therefore extremely simple to understand and use: a customer has one active card at a time. Activating a new card automatically stops the old card if there was one. An active card is valid for any authorised payment collection.

* The CMS Help Desk will hold information about a customer's previous cards. This information will include the reason for stopping or suspending the card. Pathway proposes that it retains such information for a minimum period of five years or two cards for a customer whichever produces the greater period of time.

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Customer reports - Pathway will provide as part of its CMS Help Desk facility the means by which customers can report events relating to cards. Pathway will handle the subsequent processing and recovery actions required to ensure the customer can collect whatever payments are due to him. Such actions may be undertaken not only by Pathway or Pathway subcontractors, notably POCL, but also in co-operation with BA where the circumstances cause matters of entitlement, or collection rights to be administered. Such reports include:

* Where the PUN has not been received.

* Where the PUN has been lost, stolen or damaged.

* Where a valid ordinary benefit card is not available for collection although the PUN has been received. Pathway will ensure that the customer has access only to one active card at any point in time if, indeed, he is entitled to such access.

* Where the customer reports his ordinary benefit card lost, stolen or damaged. Pathway will immediately stop this card and order a replacement PUN and card. (Note that in certain circumstances, Pathway will automatically report a card lost; in certain other cases circumstances will dictate that it is the BA member of staff who will report the card lost, stolen or damaged. For examples please see previous references, requirement response 750 and Stream Paper 8 January 1996 in respect of temporary tokens.)

Common facilities - Pathway will provide the facilities of a full specification modern help desk at this interface. These will include:

* The ability to trace a customer by his NINO or PAN (the numericised transformation of his NINO on his ordinary benefit card), his style or title, name, address and date of birth. All of this information is expected to be available to Pathway from CAPS and therefore represents no additional tasks or costs to DSS.

* In all cases the customer will be asked certain verification questions to establish his bona fides. These question will be based on ordered information from name, first line of address, postcode and date of birth.

* Applying agreed access criteria. Pathway recognises that this is a difficult area. In general Pathway will not accept proxy reports to lead to card stops and specifically that spouses or partners may not provide reports on each others' access to CMS services. However, based upon its experience of both card management and the benefit community, Pathway is mindful that this principle cannot be applied without reference to practical circumstances.

à For example, it is not uncommon for a member of the public to report a found card. Even though Pathway recommends the card be printed with an instruction for the finder to hand the card in at

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a benefit office or police station, nevertheless the finder may simply report it found as this is more convenient to him. Pathway recommends that a found card be defined as a lost card and stopped and that, normally, a reorder cycle initiated. The information supporting the lost report will be the given identity of the member of the public, police officer via establish police liaison procedures, member of BA or PO staff. Pathway will also make a reasonable attempt to contact the cardholder by letter (the text of which will be agreed between BA and Pathway) to warn them of the loss and reorder.

à In certain circumstances a found PUN report will indicate that a card reorder cycle would be nugatory, as in the case of a PUN found on newly occupied premises with the original customer gone away. In such a case Pathway will notify BA of a possible need to update a customer address.

à Pathway also recognises that it may not be possible to conduct an effective report sequence with a customer, for example because of a speech or psychological impairment. In such cases Pathway recommends that a proxy giving their identity and the circumstances, if possible confirmed by the customer, should be accepted and a stop-reorder cycle initiated. Pathway will also test the bona fides of such a proxy if they are also a customer. Pathway anticipates they will often be a postmaster or clerk or BA member of staff.

à Clearly these relatively infrequent exception cases represent opportunities for those with malicious intent but on balance the value of such facilities outweighs the consequences of occasional abuse, and in nearly all circumstances the result is a stop and reorder sequence which is essentially safe in security terms and supportive of the customer.

Pathway seeks BA/POCL agreement to this principle and such exceptions.

System and Service responsibility - Pathway accepts that the delivery of the Card Management functions described above are Pathway's responsibility. Pathway draws the attention of DSS to those circumstances in which issues of entitlement or access to authorised payments are involved or where Pathway or POCL should refer a customer to the benefit office. Pathway confirms that:

* It will promote the use of its services, as distinct from any unnecessary reliance on DSS actions, for delivering the CMS related services.

* It proceeds on the principle of minimum impact on the operations of DSS in the delivery of the CMS.

* It will use the existing DSS office equipment and infrastructure where applicable and will make reasonable adaptation to its own systems to accommodate planned changes in that infrastructure.

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* Its solution does not of itself entail the rollout of any additional equipment or changes to existing to DSS offices.

* It will facilitate the use by BA staff directly of the same business transactions as are defined as customer initiated ones, varied according to such changed context, during the times of day when BA offices are open to callers. Pathway confirms that in its dealings with customers it will minimise the use of such facilities by BA as is consistent with cost-effectiveness and the legitimate limitations to Pathway's role.

* Its procedures will involve the use of DSS staff and facilities in CMS provision only to the extent that there are no other cost effective solutions available. In the specific case of the issue of temporary tokens, Pathway confirms that it seeks the co-operation of BA staff in handling these in the manner described in the already referenced document. Pathway draws the attention of BA/POCL to the exceptional economy of use of temporary tokens inherent in its solution and the BA-friendly and customer-friendly manner of its operation, where every care has been taken to eliminate labour-intensive and unnecessary steps such as existing payment deletions, payment aggregations or customer journeys.

* It has proceeded on the principle of minimising within its solution the DSS costs associated with CMS provision per se and wherever possible by minimising the ordinary costs of DSS in handling entitlement and collection rights of access.

* It acknowledges that it is solely responsible for all its own activities and that it will supply the services within the CMS to enable such activities. Pathway has endeavoured in this response and in referenced documents to define where it seeks the co-operation of DSS and POCL as principals (as distinct from as subcontractors).

* Its systems are efficient in terms of the time taken for card collection and activation and for acquisition of supporting material.

* Its systems do not place other additional burdens on the customer, and in particular do not require a customer to make long distance telephone calls (the CMS Help Desk is contactable at local call rates) or unnecessary journeys (the emergency payment procedures cannot constrain a customer to make a journey to a home post office).

Provisions to deliver the service - Pathway affirms that:

* It will provide any staff, premises, networks (voice and data), hardware, software, procedures and training (except as my be agreed to the contrary) over and above those of the DSS office staff, equipment and infrastructure.

* It will so provide over and above those of the POCL staff.

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* It is entirely responsible for the rollout and management of the equipment. Operation of the equipment is the responsibility of Pathway in the case of the central services and the like, and of POCL in the case of the counter equipment. Pathway expects that POCL will operate the equipment in accordance with agreed procedures for, e.g. consumables replacement, first line incident diagnosis.

* It will deliver the CMS to all DSS customers and via all DSS locations to be nominated by DSS. Pathway will provide connections to all such nominated sites DSS sites which may be anywhere within the United Kingdom and recognises that these may change both in number and location over the period of the contract. Pathway will require reasonable notice of such changes and will vary its charges as a result of such changes.

* It has noted that at Version 1 connections to some 2000 DSS and ES offices are expected and that this figure may vary significantly before full implementation as well as subsequently.

* For services involving DSS staff directly it will be responsible for collecting the information from the DSS clerk, all subsequent processing relating to the preparation of the response for the clerk and the presentation of the information back to the clerk.

Pathway acknowledges that it is solely responsible for all activities required to discharge its own responsibilities. There are responsibilities of DSS and POCL and their agents described above and listed below. Pathway will ensure the integrity, security, auditability and maintenance of a full audit trail of all data transfers and data as it is transmitted and processed by Pathway.

Pathway Comment
At several points the requirement is written in terms which indicate that delivery of the card should be directly to the customer. Pathway emphasises that its solution does not use such a method. Indeed Pathway believes that such methods of card distribution are inappropriate and would have to rely on most insecure processes if they were not to be unjustifiably costly.

In 1.2 second bullet the requirement refers to BPS rather than CMS. The response is in terms of CMS.

1.3 third bullet. Pathway anticipates that DSS will produce transactional facilities for use at BA offices which will provide computer-based access to CMS facilities, and notes that the connections over which these may be provided will be established at Version 1. Pathway confirms that DSS systems will be accommodated in its solution and recommends that such transactions be interfaced to Pathway via the CAPS link. Pathway has no particular information as to whether these facilities will entail DSS in extra equipment (e.g. enlarging PC stores). Until such facilities are available Pathway will provide access to CMS via its help desk for queries and the like.

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Pathway seeks information as to the nature of the connections to be established at Version 1 and the business transfers to be carried over them. In particular the standards to be used for connecting voice networks and whether data connections will be taken through the CAPS link.

Provision to deliver the service: certain of the facilities are located in post offices, e.g. for card activation and the wording here is intended to cover those resources which are or are not defined as part of the Pathway provision.

Pathway seeks to confirm that Temporary Token data is, or is not, required as part of historical card data.

Pathway seeks confirmation of the required period over which historical card data is to be maintained, particular whether the recommended card information retention policy described above will be satisfactory.

Pathway seeks confirmation of the degree of detail for anticipated future card status changes and the treatment of future times within date..

Pathway seeks to confirm that card history data for customers whose data has been time-expired after "end of interest" is not to be retained.

It may be that BA will prefer that the customer not be told that a card was stopped or suspended by BA.

Reference No 937

Pathway Response
Pathway endorses the BA/POCL definition of "customer" and "card".

Pathway will use Temporary Tokens in co-operation with BA and POCL only to facilitate emergency payment processes to customers known to the system but who have no card and are in immediate need of funds. A detailed statement of Pathway's proposals for the use of temporary tokens is contained in the BPS Stream Meeting papers, the last of which is dated 8 January 1996.

Business supported across the boundary

Pathway will support the following business transactions across the boundary:

DSS staff initiated business transactions:

DSS Staff enquiries - Pathway will provide a CMS Help Desk whereby all authorised DSS staff are able to enquire on all aspects of the Card Management Service. Responses will be

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expeditious and information will be complete and up to date. Attention is drawn to requirement response 889. Pathway confirms that the service will provide for the enquiry types designated as a minimum:

* The use of all CMS supported services available to customer. In addition the Help Desk facility will convey information about those services which are CMS-related, for example applicability within the Benefit Encashment Service.

* For a particular customer, the current status of all cards related to him (i.e. those cards that Pathway intends to provide for him or has ever provided to this customer, regardless of whether the customer has received them or not). For each such card Pathway will maintain available a full history of all relevant status changes, together with likely dates and times of any future status changes (e.g. when a card in production is likely to be available for collection, when a currently valid card is due to expire).

* For a particular card, who is, or was or will be card holder together with the status change history and anticipated future as described above.

DSS Staff reports - Pathway will provide facilities whereby DSS staff can report various events relating to the Card Management Service. Having accepted such reports Pathway will assume responsibility for all subsequent processing and recovery actions required to ensure the customer can have continuous and uninterrupted access to CMS supported services. Such actions may be undertaken not only by Pathway or Pathway subcontractors, notably POCL, but also in co-operation with BA where the circumstances cause matters of entitlement, or collection rights to be administered. Such reports include:

* Non-receipt of PUN.

* Where the PUN has been lost, stolen or damaged.

* Where a valid ordinary benefit card is not available for collection although the PUN has been received. Pathway will ensure that the customer has access only to one active card at any point in time if, indeed, he is entitled to such access.

* Where DSS staff reports a customer's ordinary benefit card lost, stolen or damaged. Pathway will immediately stop this card and, unless notified to the contrary, order a replacement PUN and card.

Common facilities - Pathway will provide the facilities of a full specification modern help desk at this interface and offers the means by which transactional facilities from BA offices can reach the CMS database. These will include:

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* Implementation of agreed procedures and facilities to establish the identity of the DSS clerk and to ensure that he has security clearance to use the service.

* Applying agreed access restrictions to particular functions and data. Pathway will agree role management for DSS staff with DSS.

Pathway initiated business transactions

Pathway will liaise with benefit offices as required.

* Pathway does not anticipate any specific business transactions to support either Emergency Payments or Temporary Tokens.

* Pathway will notify BA offices of apparently out of date or incorrect customer details.

System and Service responsibility - Pathway accepts that the delivery of the Card Management functions described above are Pathway's responsibility. Pathway draws the attention of DSS to those circumstances in which issues of entitlement or access to authorised payments are involved or where Pathway or POCL should refer a customer to the benefit office. Pathway confirms that:

* It will promote the use of its services by DSS customers, as distinct from any unnecessary reliance on DSS actions, for delivering the CMS related services.

* It proceeds on the principle of minimum impact on the operations of DSS in the delivery of the CMS.

* It will use the existing DSS office equipment and infrastructure where applicable and will make reasonable adaptation to its own systems to accommodate planned changes in that infrastructure.

* Its solution does not of itself entail the rollout of any additional equipment or changes to existing DSS offices.

* Its procedures will involve the use of DSS staff and facilities in CMS provision only to the extent that there are no other cost effective solutions available. In the specific case of the issue of temporary tokens, Pathway confirms that it seeks the co-operation of BA staff in handling these in the manner described in the already referenced document. Pathway draws the attention of BA/POCL to the exceptional economy of use of temporary tokens inherent in its solution and the BA-friendly manner of its operation, where every care has been taken to eliminate labour-intensive and unnecessary steps such as existing payment deletions or payment aggregations.

* It has proceeded on the principle of minimising within its solution the DSS costs associated with CMS provision per se and wherever possible by minimising the ordinary costs of DSS in handling entitlement and collection rights of access.

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Provisions to deliver the service - Pathway affirms that:

* It will provide any staff, premises, networks (voice and data), hardware, software, procedures and training (except as my be agreed to the contrary) over and above those of the DSS office staff, equipment and infrastructure.

* It will so provide over and above those of the POCL staff.

* It is entirely responsible for the rollout and management of the equipment. Operation of the equipment is the responsibility of Pathway in the case of the central services and the like, and of POCL in the case of the counter equipment. Pathway expects that POCL will operate the equipment in accordance with agreed procedures for, e.g. consumables replacement, first line incident diagnosis.

* It will deliver the CMS via all DSS locations to be nominated by DSS. Pathway will provide connections to all such nominated DSS sites which may be anywhere within the United Kingdom and recognises that these may change both in number and location over the period of the contract. Pathway will require reasonable notice of such changes and will vary its charges as a result of such changes.

* It has noted that at Version 1 connections to some 2000 DSS and ES offices are expected and that this figure may vary significantly before full implementation as well as subsequently.

* For services involving DSS staff directly it will be responsible for collecting the information from the DSS clerk, all subsequent processing relating to the preparation of the response for the clerk and the presentation of the information back to the clerk.

Pathway acknowledges that it is solely responsible for all activities required to discharge its own responsibilities. There are responsibilities of DSS and POCL and their agents described above and listed below. Pathway will ensure the integrity, security, auditability and maintenance of a full audit trail of all data transfers and data as it is transmitted and processed by Pathway.

Pathway Comment
The response relating to DSS Staff Enquiries is formulated in terms of CMS Help Desk facilities because Pathway understands that is the main thrust of the initial requirement. However, transactional based enquiries are not excluded by Pathway.

Pathway seeks to confirm that Temporary Token data is ,or is not, required as part of historical card data.

Pathway seeks confirmation of the required period over which historical card data is to be maintained, particular whether the recommended card information retention policy described in requirement response 936 will be satisfactory.

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Pathway seeks confirmation of the degree of detail for anticipated future card status changes and the treatment of future times within date..

Pathway seeks to confirm that card history data for customers whose data has been time-expired after "end of interest" is not to be retained.

Pathway does not understand the reference to Urgent Payment collection in the context of a transitional arrangement involving a data or voice transfer from CMS to a benefit office. There also appears to be no reference to this subject in requirement 935 as cross referenced. Pathway's proposals for the administration of Emergency Payments is contained in the BPS Stream Paper of 8 January 1996 and entails the distribution of a class of payment authorisation from CAPS to PAS.

Pathway cannot identify for certain the forward reference "(see below for restrictions on such proposals)".

Pathway anticipates that DSS will produce transactional facilities for use at BA offices which will provide computer-based access to CMS facilities, and notes that the connections over which these may be provided will be established at Version 1. Pathway confirms that DSS systems will be accommodated in its solution and recommends that such transactions be interfaced to Pathway via the CAPS link. Pathway has no particular information as to whether these facilities will entail DSS in extra equipment (e.g. enlarging PC stores). Until such facilities are available Pathway will provide access to CMS via its help desk for queries and the like.

Pathway seeks information as to the nature of the connections to be established at Version 1 and the business transfers to be carried over them, in particular the standards to be used for connecting voice networks and whether data connections will be taken through the CAPS link.

Provision to deliver the service: certain of the facilities are located in post offices, e.g. for card activation and the wording here is intended to cover those resources which are or are not defined as part of the Pathway provision.

Reference No 938

Pathway Response
Business supported across the boundary

Pathway affirms that it will provide access to DSS to information which is subject to the Data Protection Act 1984 (DPA) and will cooperate with DSS in defining the functional requirements for this.

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Pathway notes the categories of data which may figure in such functional requirements and recommends that modification of, extensions to, or wider circulation of, the data collected and analysed in the BPS MIS Reports be considered.

Pathway responsibilities

Pathway will be responsible for:

Providing a detailed functional specification for approval by DSS prior to implementing any services which are subject to the DPA.
Providing those services to support the functional requirements.
Ensuring that any information supplied under the DPA is accurate and providing assurances to that effect.
Delivering any information requested under the DPA to the requesting body, person or DSS as appropriate.

Service requirements

Pathway will:

Comply with changes in the DPA, or related EC laws, or recommendations having the force of law.
In particular, record all written requests for a data protection print from a customer, authorised representative, or DSS within forty (40) days of receipt of such request and deal with queries raised within a timescale to be agreed with the Authorities.
Make available for authorised inspection all information provided under the DPA.
Retain records of requests and responses made under the DPA according to requirements of the DPA.

Pathway Comment
Although this has been drafted as a requirement principally of DSS, Pathway believes that POCL will have requirements of a similar nature. Attention is drawn to section 4.2.4.6 of the SSR.

Reference No 939

Pathway Response
Business supported across the boundary

Pathway will provide access to Management Information. Pathway anticipates this information will be as specified in the requirements document BPS MIS Requirements Catalogue Version 1, 2 November 1995, and as described in the Pathway Response BPS/Sec/8: 21 December 1995.

Pathway responsibilities

Pathway will be responsible for:

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Providing a detailed functional specification for approval by DSS prior to the commencement of collection and reporting of the MIS required.

Providing all the services necessary to support the provision of the information requested within the BPS MIS Catalogue and as agreed

Ensuring that the contents of the Management Information reports are accurate and providing assurances as to, or appropriate requests for confirmation of, the integrity of the reports.

Delivering Management Information reports within an agreed period following the required completion of the information collection and for filtering the limited reports to a number of central DSS services for further processing.

Service requirements

Pathway will agree the formats in which the MIS reports will be produced. Pathway anticipates some reports will be conveyed in electronic form as file transfers and a general format, suitable for display or listing by DSS utilities, may be appropriate. Other reports may be printed by Pathway and despatched directly to the recipient.

The Management Information will be retained for agreed periods.

Pathway Comment

Within the BPS MIS Requirements Catalogue are several "portmanteau" report requirements concerning which Pathway seeks detailed definition.

Pathway seeks a better understanding of the process of filtering the limited reports to DSS services.

The physical delivery arrangements for these reports requires definition. Where possible Pathway would seek to use the CAPS link to transfer report files electronically.

Pathway does not understand the reference to retention consistent with the Companies Acts.

Reference No 940

Pathway Response

Business supported across the boundary

Pathway will provide access to and retrieval of the Receipt retained as part of the Benefit Encashment Service. Pathway notes the nature of the purposes for which Receipts will be retained and accessed. Pathway recommends that this requirement be explicitly extended in scope for the Pathway solution to PUN receipts, temporary tokens, and mandates (which become receipts).

Pathway Responsibilities

Pathway will be responsible for:

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Providing a detailed functional specification for approval by DSS prior to implementing any such service.

Providing all the services necessary to support the retrieval of receipts as requested by the DSS.

Ensuring that the retrieval of receipts and any information requested in relation to a receipt is accurate and that suitable legal assurances can be given as to the integrity of the information or receipt provided.

Delivering the receipts to the appropriate destination within the period of time to be agreed with the DSS and filtering any related data to a number of central DSS services for further processing.

Service requirements

Pathway intends to offer a service at a single level: All receipt material will be retained as originals for twelve (12) months

Pathway will facilitate inspection of receipts in manners to be agreed

Pathway Comment
In formulating this single-level service, Pathway has responded to the requirement to provide for forensic examination of original receipts.

Receipts are retained as part of BES rather than BPS.

Other related paper items which should be included in this requirement are the PUN signature form, temporary tokens and Agent mandates (which act as receipts).

Pathway has the capability of providing this information in microfilmed or imaged form and would welcome discussion on the financial and operational acceptability of this in the medium term future.

Reference No 941

Pathway Response
Pathway confirm that the dates for Post Office automation rollout will be agreed with the AUTHORITIES given that the AUTHORITIES will not unreasonably withhold their consent to such agreement.

Pathway will advise the DSS of POCL acceptance of each installation.

Pathway will treat Northern Ireland as a discrete area for the purpose of rollout.

Pathway Comment
None

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Reference No 942

Pathway Response
Business supported across the boundary

Pathway will provide access to audit information. Pathway notes the nature of the purposes for which audit trail access will be required.

Pathway responsibility

Pathway will be responsible for:

Providing a detailed functional specification for approval by DSS prior to implementing any such service.
Providing all the services necessary to support the audit trail access.
Ensuring that the content of the audit trail are accurate and for giving suitable legal assurances as to the integrity of the audit trail.
Delivering the total or filtered subset of the audit trail to a limited number to a number of central DSS services for further processing. The delivery will include any technical transformation and/or reformatting that may be required to ensure the audit trail is understandable by the receiving services.

Service requirements

Pathway will maintain the audit trail during all periods of operation including fallback and recovery.
Pathway will record all transaction and data passing across service boundaries and all major processing actions:
Pathway's records will be capable of tracking a DSS business transaction through the services for which it is responsible, regardless of whether individual services are operated by Pathway as principal or a Pathway supplier.
Pathway will identify the source or sources of a transaction, its date and time and its outcome.
An individual instance of the audit trail, for example a transaction or file sequence, will be made available to the DSS as a single logical entity showing a chronological, causative or consequential trail of events. The forms in which events constituting an audit trail instance may be presented will be included in the functional specification.
Pathway will make available utilities to facilitate inspection of the audit trail by DSS.
The audit trail will be retained for a period consistent with the requirements of the Companies Acts.

Pathway Comment
The principal "raw" audit trail will be the TMS journal. This records data traversing the following service boundaries:

PAS-TMS

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CMS-TMS
BES-TMS
OPCS-TMS

Pathway seeks to discuss the whether the CAPS to PAS, CAPS to CMS and CMS-PAS service interfaces should be auditable by DSS under the provisions of this requirement.

Pathway seeks to discuss the audit trail access required for the Customer to CMS Help Desk service interface.

Pathway does not understand the reference to retention consistent with the Companies Acts.

Reference No 943

Pathway Response

Pathway confirms that PAS will restrict payment encashment to Great Britain or to Northern Ireland for specific benefits when notified by CPCS.

Pathway Comment
None

Reference No 944

Pathway Response
Pathway confirms that casual agent encashments will be restricted to the Authorised Persons Nominated Office.

Pathway Comment
None

Reference No 945

Pathway Response
2. SURVEY

2.1 The CONTRACTOR will verbally agree the date and time of the survey with the Outlet Manager, and confirm these details in writing at least five (5) working days prior to the appointment. The notice will identify the expected completion date for the modifications.

2.2 The CONTRACTOR will agree with the Outlet Manager the number of positions to be automated for that site.

2.3 See 2.1

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2.4 The survey will be undertaken at the agreed date and time.

2.5 Subject to confirmation and agreement of the "agreed identification process", the CONTRACTOR agrees that said process will be followed.

2.6 The survey will be completed in a maximum of one (1) visit.

2.7 The CONTRACTOR wishes to understand the role of the "database liaison" but confirms wherever practical, a minimum of one (1) days notice of cancellation of appointment.

2.8 Subject to confirmation and agreement of the "agreed parameters" the CONTRACTOR shall agree with the Outlet Manager the siting of the OPS, and obtain sign off accordingly.

2.9 The CONTRACTOR shall agree with the AUTHORITY the approach and format of the User Survey.

2.10 The CONTRACTOR will achieve a 95% satisfaction rating from the survey.

3. MODIFICATIONS

3.1 Written notice will be provided as part of the survey notification, see point 2.1 above.

3.2 The date and time for the modifications will be agreed with the Outlet Manager.

3.3 The modifications will be undertaken at the agreed date and time.

3.4 The CONTRACTOR wishes to understand the role of the "database liaison" but confirms wherever practical, a minimum of one (1) days notice of cancellation of appointment.

3.5 Refer 2.8

3.6 Cosmetic damage identified at the time of the modifications and for which the CONTRACTOR is liable, shall be scheduled for repair within five (5) working days.

3.7 The CONTRACTOR agrees that 98% of repairs will be carried out within their scheduled timescales.

3.8 The CONTRACTOR shall agree with the AUTHORITY the periods in which no modifications shall be carried out.

3.9 Any further modifications required at an outlet will be scheduled with the Outlet Manager.

3.10 The CONTRACTOR shall agree with the AUTHORITY the approach and format of the User Survey.

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3.11 The CONTRACTOR will achieve a 95% satisfaction rating from the survey.

4. INSTALLATION

4.1 The CONTRACTOR shall provide a minimum of ten (10) working days written notice of the installation date to the Outlet Manager.

4.2 The installation date will be agreed with the Outlet Manger

4.3 The installation will be carried out at the agreed date and time.

4.4 The CONTRACTOR wishes to understand the role of the "database liaison" but confirms wherever practical, a minimum of one (1) days notice of cancellation of appointment.

4.5 The CONTRACTOR shall agree with the AUTHORITY the approach and format of the User Survey.

4.6 The CONTRACTOR will achieve a 95% satisfaction rating from the survey.

4.7 The CONTRACTOR wishes to understand what the "automated prog." is. Subject to identification and agreement thereof, the CONTRACTOR will provide the following information:

Successfully installed outlets; configuration details; serial numbers.

The CONTRACTOR wishes to understand the use to which the AUTHORITY will put the above data, specifically the serial numbers - which remain the property and responsibility of the CONTRACTOR at all times.

4.8 The CONTRACTOR is charged with the maintenance and management of all counter equipment supplied under this agreement. Configuration management thereof (including serial numbers) remains the CONTRACTOR's responsibility, and the CONTRACTOR agrees to make available this information to the AUTHORITY on a periodic basis.

4.9 Cosmetic damage identified at the time of installation and for which the CONTRACTOR is liable, shall be scheduled for repair within five (5) working days.

4.10 The CONTRACTOR agrees that 98% of repairs will be carried out within their scheduled timescales.

Pathway Comment
A "database liaison" and "automated prog" are unknown interfaces for the Implementation programme and no plans/funds are in place currently to set up any such link.

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During the Rollout we do not wish to and can see no reason why we should provide the Authority with the serial numbers of the equipment installed as this is clearly our responsibility. In this respect we could be non-compliant with this part of the requirement.

Reference No 949

Pathway Response
Pathway confirms that it is able to provide a complete training service if required. Currently Pathway is providing Counter staff training and support together with POCL Train the Trainer events.

Clarification is needed to understand what is meant by total training which refers to all of POCL's training requirement and not just those required to support the Services under the Related Agreements.

For the purposes of it's Tender Pathway is assuming that although the capability to provide total training is sought the option will be exercised through contract change control and the additional cost are not included in the Tender price.

Pathway Comment
The requirement as stated is very vague and the scope as stated may be greater than was really intended. Prices are not being included within the Tender price.

Reference No 950

Pathway Response

Pathway Comment

Reference No 951

Pathway Response
Pathway will develop and maintain a document describing the service architecture.

Pathway confirms that it will, as a minimum, specify:

the major components, provided directly or subcontracted, used in providing the services
the functionality within the major components
the interfaces between the major components
the design service levels of those interfaces
all interfaces with the Authorities' systems and with other parties

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Pathway notes that the audience for this document will be technical staff within the Authorities and that it should be self contained, although probably referencing other documents to provide further levels of detail. Pathway affirms that the level of detail within the document will be such that it gives a thorough background to the construction of the services and the rationale for the approach, and notes that a length of 200-400 pages is anticipated.

Pathway Comment
None

Reference No 952

Pathway Response
The OPS will support a reliable, secure and encrypted means for the transfer of data that may subsequently be used for cryptographic applications at the counter.

The cryptographic services within the Pathway solution can be considered in three groups:

services covering both benefit and post office traffic from and to BA, POCL and POCL Clients on the one hand and the Pathway Central Services Layer on the other
services covering the authentication of the Point to Point connection between the TMS layer and the post office
services covering transaction traffic to and from the Central Services Layer and the OPS and at the OPS itself

This requirement response describes the means by which keys are distributed for the last group. The methods described are subject to detailed agreement with HMG (CESG).

The OPS related cryptographic services comprise:

The selective digital signature and authentication of files or transactions to or from the correspondence layer. The purpose here is data integrity - to prevent tampering or non-malign loss or injection of data.

Data will be transmitted in clear. Data will be digested using a CESG-approved hashing algorithm called HSA and this digest used to produce a digital signature using a companion algorithm called DSA which uses asymmetric key pair techniques. It is expected that a key length of 1024 bits will be used. The keys used will be session key pairs renewed periodically, probably quarterly. The session keys will be transported using the Diffie-Hellman algorithm and relying on master key encryption. Masters will be securely factory installed into the OPS equipment by Pathway as lifetime masters protected by Microsoft Windows NT's accredited access control. Any renewal of master keys required will be via security accredited personnel, using keys transported by IC memory card and input using specific role protection.

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The selective encryption and decryption of data stored on disk. The purpose here is privacy - to prevent disclosure of sensitive data.

Similarly, the keys used will be single session keys, managed using the same key distribution methods as described above.

Data will be enciphered and deciphered using a CESG-approved symmetric algorithm called RED PIKE.

Note that such data will only be enciphered for OPS journal write and deciphered for OPS journal read. Replication of a journal entry to and from TMS will be in clear.

Use of cryptographic protection, particularly for transactional data transfers, and transfers requiring digital signature computation at the OPS will require exceptional service level agreements.

Pathway Comment
Pathway understands that HMG will require both BA and POCL data be subject to the same cryptographic methods.

Reference No 953

Pathway Response
1. The Pathway solution to OPS supports concurrent access to its services by providing each working post office counter with a PC configuration comprising peripherals and the counter application set required for that outlet.

2. The precise requirements for back office reports have yet to be agreed, but in general terms details including date/time, clerk identifier and transaction number can be included to ensure clarity and status of data printed on back office reports and activity at the counter.

3. The Pathway solution for OPS is based on a PC infrastructure configured such that multiple activities within an outlet do not significantly impact on each other. In particular back office processes (e.g. report production) will be operate on a logically consistent set of data which will not be affected by any concurrent counter transactions.

Pathway Comment
None

Reference No 954

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Pathway Response
Pathway's solution will, before the expiry of an existing card and after CAPS sends a notification that a Authorised Person no longer requires a card, should CAPS sends new personal details for that Customer, Pathway will continue to use the existing card rather than issuing a new card.

Pathway Comment
None

Reference No 955

Pathway Response
Pathway confirms that all temporary token issued by Pathway and allocated by DSS for an encashment will remain valid for seven days. Temporary Tokens will be terminated on payment of the single encashment as authorised by DSS, after seven days validity period, or on placement of a Temporary Token stop, or on collection of a card assigned to the authorised person.

Pathway's solution will ensure that Temporary Tokens will only be payable at the post office nominated by the DSS at the time of issue and will be retained by the Post Office clerk on encashment.

Pathway would like to discuss the mechanism used to advise BPS of allocation of Temporary Tokens to authorised payments

Pathway Comment
What about temporary tokens issued to existing cardholders where the payment is already down at the counter

Reference No 956

Pathway Response
Business supported across the boundary

Pathway confirms that it will support the following data transfers originated by ESNCS:

Order book stops - these are updates to the order book stop list each denoting that a book should be impounded when processed for receipt, issue or presented for payment at a post office. No payment will be made on any foil on impounding a book presented for payment.
Order book recalls - these are updates to the order book stop list each denoting that a book should be impounded after having made an encashment for payments in respect of a period up to a specified date. Where this is not later than the present the book will be impounded. Where the date provided is in the future the book will not be impounded, it remaining available for impounding when the recall notice matures. In any case the number of foils against which the encashment was made will be recorded.

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Purge order book notifications - these are updates to the order book stop list each denoting that an order book stop or recall should be deleted from the stop list. In the event that a corresponding stop or recall entry is not present an exception will be notified.

Restate full list - this is an ad hoc data transfer, undertaken at the request either of DSS or Pathway, subject to negotiation, to provide a full list of current stop and recall notices. This function is expected to be used to establish the OBCS.

Pathway confirms that it will support the following data transfers originated by OBCS:

Acknowledgement of receipt of order book stop, recall, purge, or full restatement files

Notification of exceptions from order book stop, recall, purge or full restatement file processing

Notification of outcome of order book receipt. The outcome will be one of:

* order book acceptable (this includes order books for which there is a recall notice which has not reached maturity)
* order book impounded by applying existing stop notice, or recall notice which has matured
* order book impounded as barcode unreadable after three consecutive failed attempts
* order book redirected to correct office
* order book not capable of redirection and retained

Notification of outcome of issue of order book to customer. The outcome will be one of:

* order book issued to customer
* order book impounded by applying existing stop notice, or recall notice which has matured
* order book impounded as barcode unreadable after three consecutive failed attempts

Notification of outcome of order book foil encashment. The outcome will be one of:

* normal encashment successful and number of foils encashed recorded
* encashment made on order book whose recall has not matured, number of foils encashed recorded
* order book impounded by applying existing stop notice, or recall notice which has matured, for latter number of foils encashed recorded
* order book impounded as barcode unreadable after three consecutive failed attempts and order book not subject to a stop or matured recall notice, one (1) foil encashed recorded
* order book impounded as cover and/or foils suspected as counterfeited

Post office summary. For each day this will contain:

* the number of non-barcoded order books presented at the post office
* the number of barcoded order books impounded together with the reason for impounding

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In all cases, where a book is impounded or retained it will be hole-punched to denote cancellation and returned to a central point in DSS.

System and Service responsibility

Pathway understands that it must provide any staff, premises, networks (voice/and or data) hardware, software procedures and training required to deliver these services to the nominated ESNCS platforms. Pathway accepts entire responsibility for rollout, operation and management of all such equipment. Pathway does not believe it reasonable that such responsibility, which as defined extends to the whole PFI, should be subject to DSS approval outside of service acceptance or to the extent it involves DSS personnel, agents or facilities.

Pathway undertakes to provide such connection(s) at sites nominated by DSS which may change over the period of the contract. Pathway understands that the ESNCS platform is ICL VME and UNIX based and will be located in the ACCs currently operated for the DSS by EDS. But see Pathway comment.

Pathway will seek to agree with the DSS's operator of the ESNCS gateways (SEMA) and operator of the ACCs (EDS), subject to DSS approval, the technical and operational nature of the connection. However, in the event that agreement cannot be reached Pathway would seek to agree with the DSS as principal a means of final resolution.

Pathway notes that the it may not change in any way the ESNCS interface as currently implemented without the agreement of DSS. The exception to this is the acknowledgement of order book stops and recall notices which is in addition to the current application. Pathway will update this requirement response when the specification for this addition is available.

Pathway understands that its service responsibilities extend to:

transport of ESNCS-created data transfers and associated information (e.g. reference data) from the ESNCS service to its own service (OBCS) along with all subsequent processing. This to normally include detecting the availability of such data transfers and data on the ESNCS service. Pathway interprets this to mean that Pathway will normally "pull" files to itself

provision of all responses to such data transfers where required (e.g. acknowledgements) along with delivery to the ESNCS service . This is interpreted as including the "pushing" of files back to ESNCS

transport of OBCS-created data transfers and associated information from OBCS to the ESNCS service and notification of their availability. Pathway interprets this to mean that Pathway will normally "push" files from itself

Pathway will agree a Service Level Agreement with DSS prior to service commencement.

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Pathway Comment
Pathway understands the terms of this requirement to entail four ESNCS sites. Pathway seeks specific clarification of this aspect of the requirement and expresses a preference for simplification to one such source and destination together with a preplanned alternative.

Pathway has assumed that stop list updates for stops, recalls, and purges will be contained in a single daily file from each of the four ACCs. Pathway has assumed that the OBCS transactions will be contained in a single daily file to each of the four ACCs. Should it be necessary to vary these assumptions, DSS and Pathway will negotiate practical alternatives.

Pathway has assumed that on processing a recalled book, the encashment will be in respect of all foils covering the period up to the date given or the present whichever is the earlier. Impounding will only take place when the recall notice has matured.

Pathway seeks DSS agreement that the stop list update (stop, recall, or purge) and entries in a restatement of full list file will contain the customer's nominated post office.

The OBCS counter application will allow for the clerk to retry reading a barcode using a different barcode wand if available. This will obviate "false negatives" caused by a defective barcode wand.

The outcome of order book redirection has been absorbed into the outcome of receipt function.

Pathway proposes that impounded or retained books which have been hole punched should in future be returned to a single DSS address, rather than an ACC or local office.

Consideration should be given as to whether, for non-barcoded books, the number of foils encashed should be reported, in addition to or instead of the number of books.

Pathway seeks clarification as to the categories of report required in the post office summary in respect of barcoded order books.

In preparing this response reference has been made to the BA/POCL Service Interface Definition Version 1, 9 February 1996, with particular reference to Section 10 (to be supplied).

Reference No 957

Pathway Response
Pathway will agree with the AUTHORITY within 7 working days of Contract Award which Post Offices will be the subject of the

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initial operational trial. Pathway understand that X is less than or equal to ten (10) outlets in the above requirement.

Pathway Comment
None

Reference No 958

Pathway Response
The CONTRACTOR shall produce a testing strategy and plan for DSS end-to-end testing which will include required infrastructure and support services for the DSS testing environment, within X Working Days of Contract Award, for subsequent approval by the AUTHORITY.

Pathway Comment
None

Reference No 959

Pathway Response
The Urgent Payment and immediate stop facility shall be available by July 1997.

Pathway Comment
None

Reference No 960

Pathway Response
1. EPOSS will support zero-value transactions to:

a) record volumes of transactions for clients, such as Royal Mail and Parcel Force
b) record the distribution of various forms
c) record customer enquiries, requests, incomplete services and so on. The precise number and types of events associated with a particular product or service will be dependent on its complexity.

2. EPOSS will support zero-value Automated Payment transactions for recording reversed smart card transactions and other cancelled transactions.

3. EPOSS will support zero-value Benefit Agency-related transactions to allow for:

a) an incomplete transaction before the customer signs the declaration
b) an incomplete transaction due to unsatisfactory customer identification

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c) no payment due, or none available at the outlet
d) change to nominated office, or other enquiry/request
e) card receipt, registration, return and issue
f) (if applicable) order book receipt, registration, return and issue.

4. EPOSS will record the dispatch of items to storage, retrieval and processing facilities.

5. In particular, EPOSS will record and transmit zero-value BES transactions to TIP (via TMS). Automated Payments will be supported as currently.

Zero-value transactions will be designed as services and products in their own right with the normal controls, data flows and interfaces to external systems.

Pathway Comment
The volume of transactions will increase significantly with the increase in the number of "events" and checkpoints which can result in recorded transactions.

Transactions which cannot be substantiated (e.g. cancellation before commit) are open to abuse if they contribute to payment or penalty.

Reference No 961

Pathway Response
The Pathway solution will include a freepost address on the reverse of the card for the return of cards found .

Pathway Comment
None

Reference No 962

Pathway Response
Pathway can comply with the Authorities requirement to ensure that the reverse of the card carries a message that reminds the Authorised person of their responsibility in reporting changes in circumstances which may affect their entitlement to benefit, to the DSS.

This information is also contained on a receipt and should be provided as part of our publicity material at the time the card system is introduced.

Pathway would like to discuss the need for this information to be present on the card.

Pathway Comment

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Space on the reverse of the card is limited and the embossing on the card could impact on the readability of the print on the card. Therefore we need to ensure, if further requirements are received (see req no 961) to provide messages on the reverse of the card, that all the requirements are considered when responding to new requirements. The issue being BA want more information on the card than space allows

DLRCT need the information

Reference No 963

Pathway Response
Pathway can confirm that payments made during contingency procedures will be clearly distinguishable from routine payments notified by CAPS.

Pathway Comment
Need to agree operational procedures with DSS for invoking contingency.

Reference No 964

Pathway Response
Pathway can confirm that its payment management solution is designed to handle temporary increases in volumes of data from CAPS due to an earlier failure of service.

Pathway's solution under normal operation is designed to handle 6,000,000 payments records per day, but can handle up to 10 million. Processing volumes above this would likely impact upon overall service levels.

Pathway would like to discuss with procurement contingency arrangements for CAPS failure to meet normal operation.

Pathway propose that early advice of contingency payments generated by BPS is provided to CAPS (or contingency alternative) to allow DSS better control of stopping of contingency payments.

Pathway Comment
None

Reference No 965

Pathway Response
Pathway will ensure that the POCL counter clerk will not be able to enter the amount encashed for benefit payments during the normal operation of the system.

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However during contingency operation, situations will arise where the clerk is required to record an encashment. Pathway would like to discuss the various
scenarios at the earliest opportunity with procurement

Pathway Comment
Need to check req response 855 and risk response 69

Reference No 966

Pathway Response
In the event of a postal dispute, or other unforeseen circumstances which may affect CMS, Pathway will have in place tested contingency plans and procedures to ensure that new authorised persons are introduced to the service in an auditable manner, which will allow the collection of authorised payments at the post office, on the due date.

The Pathway solution already includes a secure delivery mechanism for Benefit payment cards to post offices. If a postal dispute affects the delivery of PUN's to customers Pathway will invoke emergency procedures. As a PUN is required before cards can be collected, Pathway has identified an alternative carrier for this service and in times of a postal dispute, will contract with that carrier for that service.

Pathway Comment
Could impact on the volumes of calls the help desk receives.

May not be compliant with the authorities request to prevent duplication.

Current solution does not include contingency for PUN delivery to customers

Reference No 967

Pathway Response
Pathway can confirm that its card management solution is designed to handle temporary increases in volumes of data from CAPS due to an earlier failure of service.

Pathway's solution can handle more than double the likely daily card volume records expected from CAPS without impacting upon CMS operation.

However Pathway would have concerns meeting likely SLAs, where processing volume have a 'knock on ' effect on the overall end to end service. (e.g. delivering say 3 times the normal volumes of cards in one day and delivering to SLAs OR batch processing impacting upon CMS Help Desk SLAs due to over running their normal processing window)

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Pathway would like to discuss with procurement the likely scenarios that may occur and the most appropriate resolution.

Pathway Comment
None

Reference No 968

Pathway Response
1. Pathway will implement all services detailed in the Programme's Marketing and Education Plan 1996, to be agreed between the BA/POCL communications team, and the CONTRACTOR. If this requirement is necessary it will be included in the final version of the Programme's Marketing and Education Plan 1996.

2. The specific detail of the Programme's Marketing and Education Plan 1996 will be agreed as part of the process started on 31 January 1996 with Pat Dugdale and the BA/POCL Communications Team.

3. As requested in the BA/POCL Automation Programme Common Charging Mechanism Further Guidance to Suppliers dated 22 January 1996, all charges associated with customer education and card acceptability will be included within the CMS servicepoint score.

4. Detailed costings will be provided as part of Pathway's response to the ITT.

Pathway Comment
None

Reference No 969

Pathway Response
When notified by POCL of the unexpected closure of an office, Pathway will allow Authorised Person's to encash their benefits at a different Post Office. Benefit encashment will proceed using the replicated copies of benefit authorisations held in the central TMS layer, using the retrieval mechanisms normally employed for foreign encashments. However, in this case the transactions will not be recorded as foreign encashments; a flag will be set within TMS following notification of an office closure by POCL and this will over-ride the normal foreign payment counting mechanism.

In the event of an expected prolonged closure of the office Pathway will consider, in conjunction with BA/POCL, whether it is appropriate to nominate a specific, nearby office to handle the benefit encashment business of the closed office. In these cases the benefit encashment authorisations relating to the closed office would be transferred from TMS to the local surrogate office during the period of closure. This has been sized to handle such exception conditions within agreed SLA's. Pathway analysis

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indicates that TMS will support up to 20% of all encashments nationally as foreign encashments.

Pathway Comment
None

Reference No 970

Pathway Response
Pathway confirms that its solution will allow for the permanent closure of a Post Office and the reallocation of an alternative office, without impacting upon the ability to collect payments by Authorised Persons.

Pathway would like to discuss the maintenance of the Post Office File in more details with the POCL at the appropriate date.

Pathway Comment
None

Reference No 971

Pathway Response
Pathway will agree with the AUTHORITY a strategy to achieve a single stream of unreconciled data to POCL's automated payment clients, from day 1.

Part of the strategy will be a timetable for the absorption of Farnborough's reducing workload by Pathway.

Pathway Comment
None

Reference No 972

Pathway Response
Pathway will develop a rollout plan sympathetic with the AUTHORITIES requirements as follows:

1. The nominated major conurbations to be done first are: West Midland; Greater Manchester; Merseyside; Leeds/Bradford; Tyne and Wear; Glasgow/Edinburgh; South Wales.

2. The M25 area will be treated as a separate rollout, and take place in the second half of the overall timetable.

3. Northern Ireland will be treated as a separate rollout.

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Notwithstanding Pathway's response to requirement 933 regarding a September 1996 start, the rollout plan will show a December 1998 completion.

Pathway also recognise the importance of the 1500 Post Offices mentioned in Requirement 929, and will seek to undertake their implementation in the first half of the rollout plan.

Pathway Comment
None

Reference No 973

Pathway Response
Pathway acknowledges that, during the lifetime of the contract or at termination, services supplied by Pathway may need to be replaced or supplemented with services provided by other suppliers. Pathway further acknowledges that it must be technically viable for its services to be replaced by and/or interface to services from other suppliers. The commercial viability of such replacements or adjuncts is largely a matter for the other supplier and Pathway can offer no warranty on this.

Pathway has agreed in its response to requirement 951 to provide the service architecture document which will contain, inter alia, the functionality of the major components, the interfaces between them, and their design service levels. These interface descriptions will where appropriate cover the same properties and be at least as detailed as Requirements 934-940 and 942.

Attention is drawn also to requirements 869 (TMS), 885 (PAS), 887 (CMS) and the Pathway responses. Pathway will specify the internal performance requirements of any sub-system that is retendered. Pathway reserves the right to modify service targets for overall performance at the PFI service boundaries in the event that such a subsystem is retendered and/or let to a third party.

Pathway's costing and charging basis for integration with other suppliers' services will be on strict commercial terms.

Where a service or an upgrade thereof is supplied by another supplier Pathway will require that it conforms to specification as evidenced by a satisfactory test report based a test specification agreed by Pathway before being put into operational use. In the event of malfunction of Pathway's services caused by the malfunction of another supplier's service, that service supplier shall be liable for all losses sustained by Pathway including lost revenues and additional operational costs.

Where the content of the work to be done by Pathway as a result of such service replacement makes for practicality, subcontracts from Pathway will be let following competitive tender. Such tenderers shall be at the sole discretion of Pathway and shall not

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necessarily include prospective replacement or supplementary service providers or the contracting authorities themselves.

Pathway Comment
None

Reference No 974

Pathway Response
Pathway recognise and acknowledge the requirement as stated above, and shall develop benefit migration services accordingly. Pathway further acknowledge the provisional nature of the currently provided timetable. Changes to the published timetable shall be via formal change control procedures.

Pathway Comment
None

Reference No 975

Pathway Response
Pathway has the flexibility to ensure that non POCL post offices could be connected into the Benefits Payment System, provided that the appropriate commercial agreements are in place. Pathway would welcome the opportunity to discuss to discuss this with the Authorities at the earliest opportunity.

Pathway Comment
This is outside the current PFI and requires the appropriate consideration

Reference No 976

Pathway Response
Pathway has responded in considerable detail to requirements 934-940 and 942, in a compliant manner. In doing so Pathway has raised a number of questions, some of which arise from the divergence of the basis of those requirements and the formal basis of description of many of these interfaces available to Pathway, namely the CAPS to PAS/CMS Interface Definitions Version 4, 8 November 1995(P/CID). Pathway is aware that a later version of this document is in preparation and would welcome sight of it prior to preparing its Tender.

Since preparing these responses Pathway has received the BA/POCL Service Interface Definition Version 1, 9 February 1996 (SID).

The formal scope of this document extends to ESNCS (Section 10), although this version contains no entry for it. Pathway has

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responded to the corresponding requirement for ESNCS, 956 again in some detail and in a compliant manner.

Pathway has also made reference to the SID document in formulating other responses made after its receipt. Although this SID contains some valuable additional information, particularly as to the phasing of functionality, it is less detailed than (P/CID). In general Pathway is confident that its solution complies with the requirements of the SID.

In addition attention is drawn to requirement and response 892. This defines three documents, the first being the P/CID, the second corresponding to the SID and the third concerning volumes and timings for these interfaces. Pathway would welcome sight of this document prior to preparing its Tender.

Pathway Comment
In this area also is the BPS MIS Requirements Catalogue, Requirement Responses 729 and 939 refer. Pathway has received an update to this requirement, Version 2, 23 February 1996.

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CONTRACTING AUTHORITY OBLIGATIONS

Ref.	Contracting Authority Obligation
463	1. For all testing required by BA/POCL (including Acceptance, Destructive and other) a co-operatively developed Test Plan should be produced with Pathway. This would include the objectives, timetable, key activities, expected outputs and equipment requirements. 2. BA/POCL should allow appropriate Pathway staff reasonable access to any Test activities. 3. BA/POCL should provide Pathway with the results of the Test and, through a review process, discuss the implications of the Test.
464	None
465	Agreement to a specification of equipment livery which Pathway accept as reasonable in terms of its impact on cost, manufacture and long term support.
466	None
467	None
468	None
469	A co-operative role in the final review stages of the above documentation
470	A co-operative role in the final review stages of the above documentation
471	1. Agreement as to the scope of the Broadcast facility (including message types and expected usage) such that agreed technical and cost boundaries can be defined. 2. Agreement to the development of an electronic information strategy. 3. Co-operation in the design and specification of the data preparation processes as required to support any electronic information service in a post office.
472	Agree the events that must be logged and the data items that must be recorded
473	1. Specify the precise user types and permissions required for post offices. 2. Co-operation and involvement in the specification and implementation of the processes to handle exceptional events (e.g. lost password) 3. Provide details of which services are required in each post office
474	1. Process for co-operation and involvement with Pathway in agreeing reasonable responsibilities and subsequent actions as required under current and future Health and Safety legislation.
475	Involvement in a change control process as may be required for document enhancements
476	1. Agreed involvement and co-operation in the assessment of business functionality and any HCI of new or enhanced application releases through system test and quality reviews 2. Agreement a change control process which will govern the acceptance of the functionality of new or enhanced Services.
477	Agree a period of notice.

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Ref.	Contracting Authority Obligation
478	1. Agree the method. 2. Agree the data file.
479	1. Specification of the authorised computer systems to which TMS can connect 2. Agree a period of notice.
480	None
481	None
482	None
483	None
484	POCL will copy and distribute the paper copies of the manual to the appropriate users.
485	None
486	The AUTHORITY is responsible for the agreeing of the documentation review process and adherence to the agreed timescales for review.
487	None
488	1. The AUTHORITY shall provide a nominated person at each site who can accept the installation works, in accordance with the roll-out schedule.
489	The AUTHORITY is responsible for defining a site to where the existing automated equipment will be taken.
490	None
491	The AUTHORITY will facilitate the planning permission process. A process will be agreed to cover cases where planning permission cannot be agreed.
492	None
493	None
494	None
495	The AUTHORITY shall be responsible for the initial identification of all outlets to which the OPS shall be installed.
496	None
497	The AUTHORITY is responsible for identification of all sites and Nominated Person so that Pathway may discuss with them their requirements for each installation.
498	The AUTHORITY will provide personnel who understand the existing systems and manual processes and can work closely with Pathway to plan how to achieve effective migration.
499	None.
500	The AUTHORITY will facilitate the planning permission process. A process will be agreed to cover cases where planning permission cannot be agreed.
501	The AUTHORITY is responsible for the nomination of regional liaison officers, together with their interface, operational responsibilities in relation to Roll-out.
502	The AUTHORITY shall provide post masters who can agree the works required to their own site for which they are responsible for, and who will co-operate with the CONTRACTOR during the installation activities.
503	The AUTHORITY shall provide post masters who can agree the works required to their own site for which they are responsible for, and who will co-operate with the CONTRACTOR during the installation activities.

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Ref.	Contracting Authority Obligation
504	The AUTHORITY is responsible for supplying details of existing equipment so that it may be assessed for future utilisation.
505	The AUTHORITY will agree a process.
506	The timely notification of the actual region or regions to be used for Limited Live Trial.
507	The AUTHORITY is responsible for the timely identification of peak times where roll-out to outlets may not be undertaken (e.g. Christmas etc.)
508	The AUTHORITY will agree a process.
509	The AUTHORITY to agree with Pathway normal specifications for the siting of the office platform and will provide outlet managers who can agree the positioning of the office platform within each office.
510	None
511	The AUTHORITY shall provide post masters who can agree the works required to their own site for which they are responsible for, and who will co-operate with the CONTRACTOR during the installation activities.
512	The AUTHORITY will agree a process.
513	None.
514	The AUTHORITY will agree a process for deciding whether an office goes live.
515	None
516	The AUTHORITY will agree a process.
517	None
518	None
519	The AUTHORITY is responsible for the forecast of probable future potential requirement for additional counter positions.
520	None
521	None
522	None
523	The AUTHORITY will agree the operation of systems interfaces between Pathway and BA/POCL and their clients.
524	The AUTHORITY agrees to supply details of the type of call which is presently experienced on their own helpdesks.
525	The AUTHORITY will agree a process for ordering adequate consumable materials where appropriate.
526	None
527	None
528	None
529	The AUTHORITY will agree the behavioural standards.
530	None
531	The AUTHORITY will agree the competency standards.
532	The AUTHORITY will make appropriate staff available.
533	None
534	None
535	A process to define the acceptance criteria will be agreed.
536	1. Co-operation and involvement in system testing that requires the use of POCL transferred peripherals. 2. Reasonable advance notice of any change to OPS services that would result in new peripherals being required

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Ref.	Contracting Authority Obligation
537	1. BA/POCL will participate with Pathway in reviews and analysis of those system management events that indicate BA or POCL operational or technical procedures and mechanisms require modification. 2. BA/POCL shall give reasonable notice to changes that are required of the Pathway SMS.
538	None
539	1. BA/POCL shall provide and maintain a specification of all externally provided reference data. 2. BA/POCL shall provide timely notification of any changes to reference data and shall co-operate with Pathway in any service testing that may be required. 3. BA/POCL shall facilitate discussions with any third parties, to produce an agreed interface specification and the associated technical and operational methods to effect valid data transfer.
540	POCL shall use reasonable endeavours to promote the agreed operational procedures for OPS including equipment use, operating conditions, physical and environmental conditions and all relevant Health and safety legislation
541	1. BA/POCL will provide information on forecast changes to business volumes within current or new services. 2. BA/POCL should adopt a flexible approach to the operational and procedural implications of new or changed Services as advised by Pathway's impact assessment on the current technical architecture and services. 3. BA/POCL should co-operate with Pathway in any system testing and other activities as may be required in order to assess the impact of changes to business volumes.
542	BA/POCL shall not unreasonably restrict Pathway from changing the support processes or support organisations as applied to current or future services provided by Pathway, where such changes do not adversely impact Pathway's contracted obligations.
543	Provide the specifications applicable to each of the token types. Arrange access to software algorithms and drivers required to implement support for tokens where such algorithms are held under IPR arrangements by POCL or its agents.
544	Agree with Pathway the range of APS service types and the initial client set to be supported by type Provide timely information to Pathway on the characteristics of new service variants by means of the standard parametrised reference data or any extensions thereto required Provide timely information on the token specification and interface requirements for service extension to new clients and facilitate Pathway access to sample tokens and equipment for the purposes of service development, integration and testing
545	1. Agree with Pathway documentation contents prior to its production and to any subsequent changes 2. Facilitate Client participation in the production of the Automated Payments Client specifications

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Ref.	Contracting Authority Obligation
546	Agree with Pathway the counter positions at which the AP service shall be available, and identify in a timely manner proposed extensions to such service availability Co-operate with Pathway in the assessment of future transaction types and volumes.
547	Agree Pathway the definition of the term "robustly" as applied to APS data capture and validation Agree with Pathway the implications of rules defined in the APS Generic Rules and Token technology specifications.
548	Will discuss with Pathway any modifications to POCL counter and backoffice procedures necessary for the proper operation of the required services by POCL staff or agents. Will use all reasonable endeavours to ensure that agreed office and counter procedures are followed in their affect upon the operation of the Pathway services
549	Agree with Pathway the implications of rules defined in the APS Generic Rules and Token technology specifications General obligations on agreeing and following counter procedures
550	POCL shall provide access to token specifications and facilitate access to appropriate software algorithms in a timely manner to facilitate the Pathway development (as in Req Ref 543) and agree the rules defined in the APS Generic Rules and Token technology specifications (as in Req Ref 547)
551	Agree the scope and details of APS information retrieval services required at the Outlet
552	To agree the implications of rules defined in the APS Generic Rules and Token technology specifications
553	To agree the implications of rules defined in the APS Generic Rules and Token technology specifications The AP client specification should include action(s) to be taken in the event of non-availability of the Client system or interface to it
554	POCL shall agree with Pathway the fallback approach.
555	1. Co-operation in agreeing the barcode standards to be used (read or printed) for each service. 2. Co-operation in defining or agreeing the specific cards (magnetic or smart) to be used in each service. 3. Co-operation in agreeing the format of any printed output required for a service. 4. Facilitate the provision of examples of all current magnetic and smart cards/keys and all associated software such that development and testing can proceed.
556	Provision of likely APPU installation plan Co-operation in agreeing the commercial and contractual arrangements for the use of some or all of the current stock of APPUs by Pathway Co-operation in providing the necessary stock of APPUs for spares etc. Co-operation in agreeing the process and responsibilities for additional manufacture of APPUs if this is determined to be a feasible approach to providing further smart key reading capability.

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Ref.	Contracting Authority Obligation
557	1. BA/POCL shall give reasonable notice of any future service requirements that may require additional OPS equipment. 2. BA/POCL shall co-operate with Pathway in any equipment assessment and selection process. 3. BA/POCL shall recompense Pathway for any agreed costs incurred in equipment selection, testing and development should the new or enhanced service not be required 4. BA/POCL shall give a firm statement on the requirement for OCR reading at the counter and the associated technical specification. 5. BA/POCL shall give a firm statement on the requirement for 2-D barcode reading and the associated technical specification.
558	Regular review of expected and actual business volumes for current and future Services.
559	2. POCL will agree a process under change control for adding functionality.
560	1. BA/POCL should not unreasonably prevent Pathway from implementing changes to the OPS equipment for some or all of the outlets where such changes do not impact on Pathway's operational or service delivery commitments. 2. BA/POCL will constructively contribute to any discussions that Pathway may initiate concerning technology refresh.
561	None
691	BA/POCL Shall: 1. Define the denominations of all items receivable/returnable 2. Define the format of the consignment note
692	1. specify the allowable methods of payment for each product/service offered. indicate which transactions should be committed on completion (independent of the customer session)3. identify which services cannot be paid for using EFTPOS (e.g. lottery tickets)4. indicate if and when credit cards will be supported 5. indicate if and when cashback will be supported 6. describe the mechanism for selection/appointment of Merchant Acquirer
693	1. Agree format of all receipts. 2. indicate which transactions will automatically produce a receipt
694	None
695	BA/POCL Shall: 1. Agree format of all reports.
696	1. None 2. provide example pre-printed stationery 3. provide filled in examples of existing reports
697	If impropriety or negligence should be attributable to Contracting Authorities, they shall take all reasonable measures to prevent recurrence.

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Ref.	Contracting Authority Obligation
698	1. Agreement of policy. 2. Assessment, regular review of compliance. 3. Incident reporting (joint responsibility dependent on area of responsibility). 4. FRM - regular discussion of fraud event investigation discussion of verification screen performance, agreement of changes dependant on liability. 5. Inform regarding rules change in sufficient time to consider FRM implications and implement system controls. 6. To release agreed fraud information past or current to Pathway. 7. To provide agreed information required for effective use of the verification screens: this may require alteration over time. 8. To take all reasonable steps to prevent privileged Pathway information being released. 9. To take all reasonable steps to protect access to the Pathway System via their dedicated access.
699	1. Agree the content of the audit trail 2. Agree the procedures for identification of BA/POCL staff initiating transactions in the service, - POCL Counter Staff for counter transactions, BA Staff for help desk
700	1. BA will ensure that all data relating to personal details passed to CMS via CAPS is accurate reflection of data held by CAPS.
701	None.
702	1. DSS to endeavour to inform Pathway of any relevant changes in card usage and agree through change control.
703	Approve card design with Secretary of State.
704	1. Provide details of all livery's and logos to be used. 2. Agreed card designs.
705	1. The authority will agree a process determining how to provide appropriate data to an agreed format/mechanism. 2. Decisions on SLAs will be included as part of the project plan to be agreed and maintained post award.
706	1. Provide copy of benefits payment technical specification to an agreed process. 2. Agree card numbering standards.
707	1. Provide emergency payment. 2. Provide temporary token. 3. Assign temporary token to related payment. 4. Ensure token is signed in the presence of issuing officer. 5. Transmit data to Pathway. 6. Allocate nominated office.
708	1. Authorities to agree Financial Standards to be applied. 2. Agree life expectancy of card.
709	1. Approve a migration approach to smart card technology. 2. Agree migration plan with Pathway. 3. Agree timescales for migration.
710	1. Agree and sign off anti fraud measures, architecture and infrastructure.

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Ref.	Contracting Authority Obligation
711	Agree procedures with Pathway for any changing security verification questions via formal change control.
712	1. Agree relevant ISO/APACS standards to be used. 2. Provide Pathway with a copy of Benefits Payment Card Technical Design.
713	The authority will agree a process for the issue and replacement of cards.
714	Agree SLA's with Pathway for renewal cards.
715	The Authority will agree a process for the replacement of cards.
716	The Authority will agree a process for the replacement of cards. The authority will agree an archiving process.
717	None
718	Ensure necessary card details information is made available to agreed SLA's, prior to 1st payment due.
719	Agree process for distribution with Pathway.
720	None.
721	Authorities to transfer authorised persons details to CMS to agreed SLA's.
722	None.
723	The Postmaster will ensure that the agreed counter procedures are adhered to.
724	Agree appropriate procedures with Pathway.
725	1. Have in place procedures to control receipt of temporary token orders at benefit offices. 2. Define and agree SLA's with Pathway for delivery.
726	Agree procedures with Pathway.
727	Authorities to provide data as agreed in procedures.
728	1. Agree procedures with Pathway. 2. Agree information to be made available. 3. Provide a definition of 5 seconds SLA via enquiry or following a change. 4. Define and agree SLA's with Pathway.
729	None.
730	1. Define and agree operational procedures with Pathway. 2. Define and agree call types with Pathway.
731	1. To agree methods of access (e.g. via help desks, direct access etc.) 2. To provide agreed appropriate equipment at DSS premises. 3. To agree appropriate controls/procedures 4. To operate appropriate controls and procedures.
732	1. Agree data flows with Pathway. 2. Where appropriate provide details of card status changes.
733	1. CAPS to be available up to midnight in order that uncollected payment records can be received. 2. Periods of planned outages that may impact on the requirement should be notified to Pathway in advance. 3. Instances of CAPS service failure to be subsequently reviewed in order that their impact on Pathway's Service Level obligations be assessed. 4. Agree SLA's and procedures with Pathway 5. Identify changes via formal change control processes

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Ref.	Contracting Authority Obligation
734	None
736	1. The DSS will agree a process for the notification of changes BA/POCL should provide timely notification to Pathway of changes in business volumes or service characteristics that may affect interface specifications between CMS/PMS and the POCL infrastructure.
740	The BA will agree a process for the secure recovery of receipts and other stored documents.
741	1. Identify new and changes to existing benefit types 2. Agree procedures for adding new benefit types 3. Agree change control
742	1. DSS to provide details relevant to Welsh language 2. Approve design and content for cards, PUN's and distribution material 3. Agree the definition for identifying Welsh authorised persons
743	1. Agree the arrangements for MIS reports and BA/POCL control mechanisms. 2. Agree that any exceptions to the regular reports will only be accepted under change control process 3. Agree the procedure for arranging "ad hoc" meetings 4. Agree the definitive list of reports that will be required 5. Agree the medium for the reports, i.e./ fax/EIS access/paper/floppy disk/other 6. Agree MIS reporting requirements with Pathway
744	1. Agree the basis of performance measurement for each service level 2. Ensure the participation and co-operation of Authorities' (or Agents) staff as appropriate to Service Level agreement and reporting 3. Agree the format and medium of Service Level reports
745	None
746	1. Agree contingency procedures for all components of the Benefits Payment Service
747	1. Agree procedures including audit trails definition 2. Operate agreed procedures in respect of card receipt, storage, and destruction.
748	Agree call types and call actions with Pathway A process will be put in place to agree the SLA
749	Agree the period of extension of card validity Co-operate in establishing permanent or casual agents as appropriate Co-operate in issuing temporary tokens as appropriate
750	1. Agree procedures for handling non received cards at the post office 2. Define and agree SLA's for card/PUN delivery 3. Operate agreed procedures for the destruction of cards which have passed their collect by date 4. Process reapplications for cards 5. Operate agreed temporary token procedures 6. Operate agreed card receipt procedures 7. Operate agreed card activation and damaged card procedures

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Ref.	Contracting Authority Obligation
751	To transfer valid payment information to PAS via the CAPS access service to agreed schedules and SLAs.
752	Agree the business rules as they affect bringing forward or extending validity periods to avoid peaking on the business day before one or more bank holidays. Agree the business rules for handling differences in validity as between nominated and foreign offices.
753	1. Agree an archiving policy with Pathway 2. Define the procedures for archiving data
754	1. BA will provide urgent payment information to the agreed interface specification. 2. Any urgent payment information not satisfying agreed validation criteria will not be bound by this requirement. BA/POCL to periodically review any exceptions due to data quality exception events.
755	To transfer valid payment stop information to PAS via the CAPS access service to agreed schedules.
756	Clarify requirement status of language preference and monitor usage flag Clarify if card sensitive PAS data should be synchronised with card and CMS data during encashments Provide date of birth and style or title data in the CMS personal details
757	1. CAPS to be available to receive the notification of acceptance or rejection in accordance with interface specification. 2. Agree a process for the modus operandi for both "next day" and non-urgent payment authorisations 3. Agree a process for the types of stable benefits for which multiple authorisation can be made available, the number of individual payments which may be notified and the file formats for their conveyance
758	To agree a process to transfer payment information.
759	1. Agree the definition of 'valid cards' and 'invalid cards' 2. Agree the service levels for notification to Pathway of 'invalid cards'. 3. Advise BPS of the introduction of 'valid cards', e.g. for assignment of temporary tokens
760	To agree declaration statement to be included in mandates and receipts via Pathway. To agree supplementary verification information.
761	1. BA must provide agreed customer information for verification purposes. 2. The counter clerk will adhere to relevant counter procedures.
762	1. BA to confirm the flow control and file size parameters. 2. Maintain agreed availability of CAPS to handle encashment notifications 3. Consider appropriate CAPS interface
763	None

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Ref.	Contracting Authority Obligation
764	1. BA and POCL to formally agree receipt/mandate/temporary token specifications and co-operate with development of final receipt specifications, subject to reasonable constraints imposed by agreed counter infrastructure and costs associated with receipt production, usage and storage. 2. BA will provide reasonable notice of changes to receipt content which should not impact on pre-produced stocks of BA receipts/mandates/temporary tokens and other affected documents.
765	The Postmaster will ensure that the agreed counter procedures are adhered to.
766	Agree procedures for termination with Pathway. POCL clerk to perform encashments in accordance with the agreed procedure, that is to check Pay or No Pay in response to settle indication.
767	The POCL will ensure that the agreed counter procedures are adhered to.
768	None.
769	None
770	None
771	POCL Clerk to operate agreed RPOI infringement attempt procedures
772	1. The POCL will ensure that the agree counter procedures are adhered to. 2. POCL Clerk to operate agreed counter procedures in respect of manual card entry
773	1. CAPS to be available up to midnight in order that collected payment records can be received. 2. Periods of planned outages that may impact on the requirement should be notified to Pathway in advance. 3. Instances of CAPS service failure to be subsequently reviewed in order that their impact on Pathway's Service Level obligations be assessed. CAPS to be available during the normal BES period for receiving encashment notifications
774	1. CAPS to be available between the hours of midnight and 3 a.m. in order that uncollected payment records can be received. 2. Periods of planned outages that may impact on the requirement should be notified to Pathway in advance. 3. Instances of CAPS service failure between the hours of midnight and 3 a.m. to be subsequently reviewed in order that their impact on Pathway's Service Level obligations be assessed.
775	None.
776	The authority will agree a process to decide on help desk responsibilities. This will be included as part of the project plan to be agreed and maintained post award of contract. 1. Agree call types and help desk responsibilities 2. Agree review periods and change control; procedures before

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Ref.	Contracting Authority Obligation
777	1. The education and training of DSS staff is integrated into the training and Management of Change programme. As part of this training programme a Training Needs Analysis will be carried out to identify specific training needs, requirements and numbers of staff to be trained. 2. The CONTRACTOR and AUTHORITY shall subsequently agree details and scope of required training. Such details shall include but not be limited to: a) Premises b) Attendees c) Course content d) Training matrix
778	1. BA will agree operational and technical interfaces 2. BA will provide notification of any changes to interface specification in line with agreed timescales. 3. BA will agree process and co-operate appropriately with Pathway for any system testing, to prove system integrity of revised interfaces.
779	1. Agree/define data validation rules for all data/records received from CAPS. 2. Agree appropriate change control processes to the above.
780	Agree secure process for requests for evidence of suspected offences.
781	None
782	BA to adopt a flexible approach in agreeing reasonable operational and technical procedures to enable card usage information to be available. BA to consider the levels of service required
783	1. CAPS will provide information on customer details, benefit payments and payment cycles. 2. BA will provide Pathway with notification of any change in benefits and agreed procedures/cycles. 3. Specify the take on of benefit types and agree the roll-out of benefit geographics.
784	Agree a definition of suspicious condition. Agree procedures with Pathway for handling encashments under this circumstance
785	1. Agree the arrangements for MIS reports and BA/POCL control mechanisms. 2. Agree frequency of Review meetings 3. Agree content of inputs 4. Agree reporting periods 5. Agree arrangements for exception reporting 6. Agree the list of reports that will be required 7. Agree the medium for the reports, i.e./ fax/EIS access/paper/floppy disk/other 8. Agree MIS reporting requirements with Pathway
786	None
787	CAPS will provide information on customer details and benefit payments.

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Ref.	Contracting Authority Obligation
788	1. The Postmaster will ensure that the relevant counter procedures are adhered to. 2. Operate the agreed counter procedures for Permanent Agent encashments
789	The Postmaster will ensure that the relevant counter procedures are adhered to. Emphasise in their instructions to PO clerks that such transactions must be settled individually, one at a time, and will strongly deprecate any informal tallying of encashments
790	None
791	1. BA to agree with Pathway reasonable procedures for providing the restricted post office infringement data commensurate with the operational characteristics of CAPS. 2. Operate the agreed procedures for handling RPOI potential infringements
792	To agree and sign off the design of the request form : 1. To agree service levels and procedures for the retrieval service with Pathway to include contingency. 2. To define a list of the authorities entitled to access information e.g. fraud investigation teams, BA offices. 3. To provide a list of addresses and agree procedures for the return of requested items 4. To agree disposal procedures for items after the required retention period 5. To develop procedures for BA staff requesting retrievals 6. To agree the design and content of forms and procedures for investigation teams and BA officers for the retrieval of receipts from the post office before they are despatched to the storage location (if required).
793	1. Approve declaration statements to be printed on the receipts 2. Review texts to ensure suitability with particular reference to appointee status 3. Specify procedures and declaration statement for all Authorised Person categories to allow collection of benefit
794	1. Approve card design and agree verification procedures 2. Provide appropriate verification data 3. Operate the agreed counter procedures for normal and manually entered card transactions
795	None
796	1. Agree referral procedures with Pathway. 2. Create and maintain procedures to handle referrals to DSS 3. Operate agreed procedures for encashments when no payments are due

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Ref.	Contracting Authority Obligation
797	To agree a process to inform the types of stable benefits for which multiple authorisation can be made available, the number of individual payments which may be notified and the file formats for their conveyance Agree the operational methods by which this contingency plan is put into effect Agree with Pathway/POCL procedures to process and encash contingency payments Agree with Pathway the number of payments by benefit type to be paid to customers during contingency operations. e.g. number of weeks for weekly benefits To inform their customers of the arrangements to avoid situations occurring at the post office counter and reduce the number of calls to the Pathway help desks To inform Pathway immediately of any circumstances known by the Authorities which may invoke contingency payments. To complete reconciliation's on contingency payments when system is restored. To deal with any customer complaints which may arise as a result of contingency payments
798	Institute measures to prevent abuse by customers of this procedure Operate the agreed counter procedures for change in nominated post office
799	Agree with Pathway the procedure for token issue, including any client interfacing requirements and technical specifications
800	None
801	1. identify the specific products and services within each product style 2. indicate default values (if applicable) for open value products 3. specify the product groups that comprise denomination components
802	1. identify by denomination the products which are considered to be cash or value stock
803	BA/POCL Shall: 1. Advise whether a semi-complete customer session should be discarded completely or recovered so far as possible.
804	BA/POCL Shall: 1. Identify the cut-offs for the clients which affects reversibility.
805	1. Specify which events are to be recorded in the journal 2. the criteria that may be used for searching for transactions and journal events
806	Specify whether the system will be operated across different time zones
807	BA/POCL Shall: 1. identify the items by denomination that can be transferred between stock units.

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Ref.	Contracting Authority Obligation
808	BA/POCL Shall: 1. identify the items that will be reconciled by individual serial number.
809	None
810	BA/POCL Shall: 1. identify all of the transactions that should allow "rate shopping".
811	Provide a complete set of definitions for existing products 2. provide definitions of new products sufficiently in advance of their live availability requirement
812	Provide the rules regarding the reversibility of each transaction
813	Identify which products can be revalued
814	Agree rules for the sharing of cash and stock declaration work in a team working environment
815	None
816	Specify the scope of an auditor's access to accounting data
817	1. Identify discounts applicable to existing products 2. Specify their discounting strategy and the products affected
818	Agree the format and content of reference data transmitted from POCL.
819	BA/POCL Shall: 1. identify the items that comprise the cash account. 2. at any point in time provide calendar information for the previous, the current and the following year subject to agreed process, including agreement on timescale. 3. provide the format of the data in the 2D bar code.
820	BA/POCL Shall: 1. Follow the fallback and recovery procedures agreed with Pathway.
821	BA/POCL Shall: 1. provide timely information describing each local business scheme and identifying the regions, areas and offices affected.
822	1. Agree the format and content of reference data transmitted to and from IMS 2. Identify the precise products whose movements are controlled by the IMS
823	None
824	1. Provide full details of rules and tariffs involved in mails services 2. Specify the level of data capture associated with added value mails services
825	BA/POCL Shall: 1. identify the business and data relationships between the "linked" products.

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Ref.	Contracting Authority Obligation
826	1. Advance notice of any requirement of BA or POCL to introduce a new peripheral into OPS. 2. Assist in the development of an impact assessment resulting from any new equipment covering current service provision, Pathway/BA/POCL liabilities, procedural changes and any resultant costs.
827	1. The timely specification, using the Change Control process, of any changes to business functionality required in current Services. This would include the introduction of new authorisation methods. 2. Co-operation and involvement in the specification and outline design of new authorisation methods 3. Support for Pathway in dialogue with third parties
828	1. Agree procedures for dealing with data exceptions arising from CAPS to BPS transmission. 2. Agree service levels for error rates and error resolution for CAPS/BPS data transmission. 3. Agree review and change control mechanisms for CAPS data definition 4. Agree mechanisms for provision of control data, i.e. Benefit payment reference details. 5. Agree mechanisms for provision of control data, e.g. Post Office reference details.
829	Information required to support fraud investigation or prosecutions shall be notified before the end of the agreed normal retention period for the relevant information; currently 12 months in the case of physical evidence (e.g.. receipts) and 6 years in the case of electronic evidence held in conformance with the DSS IT Security Standards.
830	1. Agree contingency scope and operational responsibilities. 2. Agree procedures for invoking contingency, particularly BPS/CAPS and at Post Office Counter. 3. Agree mechanisms for classifying and reporting when contingency invoked, e.g. BPS notification of authorised payment generated when CAPS non-availability. 4. Agree change control mechanisms for contingency 5. Monitor BA operational environment where there is a Pathway interface. 6. Report invocation of BA contingency when there is a Pathway interface. 7. Agree review and problem resolution processes associated with management of contingency invocation

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Ref.	Contracting Authority Obligation
831	POCL shall: 1. Place the POCL Interface document under joint change control. 2. Discuss the implications of extensions to this functionality. 3. Agree to the specific applications of the ARTS model. 4. Agree the operating timetable for IM. 5. Agree the operating timetable for TIP. 6. Assist in the agreement of operating timetables for POCL Clients. 7. Assist in the agreement of interfaces for POCL Client Authorisation Requests, Confirmations/Exceptions, Authorisations and Client-specific reference data. 8. None 9. Agree procedures for the handling of Benefit Encashment related paperwork. 10. Agree procedures for benefit payment reconciliation. 11. Agree the transition of traffic from APT host to AP client hosts. 12. Agree outlet arrangements for cash account production. 13. None 14. Agree a development strategy and timetable for the IM application. 15. None 16. None 17. None
832	All faults must be reported to the help desk.
833	None
834	BA/POCL Shall: 1. Agree with Pathway an approach to migrating business data for all classes of office during roll-out.
835	None
836	None
837	1. define the format and content of all reports 2. identify the frequency of production of each report
838	BA/POCL Shall: 1. identify the transactions / products which will support post-event entry of information.
839	BA/POCL Shall: 1. identify all items by denomination that make up the retail stock.
840	Provision of the appropriate customer verification data within the CAPS input stream.
841	Shall agree with Pathway any modifications to POCL counter and back office procedures necessary for the proper operation of the required services by POCL staff or agents. Will use all reasonable endeavours to ensure that agreed office and counter procedures are followed.

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Ref.	Contracting Authority Obligation
842	Shall agree with Pathway any modifications to POCL counter and back office procedures necessary for the proper operation of the required services by POCL staff or agents. Will use all reasonable endeavours to ensure that agreed office and counter procedures are followed.
843	Shall agree with Pathway any modifications to POCL counter and back office procedures necessary for the proper operation of the required services by POCL staff or agents. Will use all reasonable endeavours to ensure that agreed office and counter procedures are followed.
844	Operate agreed counter procedures for multiple beneficiary encashments.
845	Agree and operate counter procedures for premature termination by the clerk
846	Agreement of the technical details of the interface to TIP and its operational characteristics, in terms of timings and transfer schedules, etc.
847	Discuss and agree with Pathway any modifications to POCL counter and back office procedures necessary for the proper operation of the required services by POCL staff or agents. Use all reasonable endeavours to ensure that agreed office and counter procedures are followed.
848	None
849	Clarify how the foreign payments count is to be applied to proxy collections at offices other than the beneficiary's nominated office. Set the (x,y) parameters, providing timely agreement on any changes required. Notify which benefits are not subject to foreign encashment limits
850	Operate agreed procedures and to agreed timetable.
851	Discuss and agree with Pathway any modifications to POCL counter and back office procedures necessary for the proper operation of the required services by POCL staff or agents. Will use all reasonable endeavours to ensure that agreed office and counter procedures are followed.
852	Will discuss and agree with Pathway any modifications to POCL counter and back office procedures necessary for the proper operation of the required services by POCL staff or agents. Will use all reasonable endeavours to ensure that agreed office and counter procedures are followed.
853	Follow appropriate counter and audit procedures.
854	None

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Ref.	Contracting Authority Obligation
855	Will discuss and agree with Pathway any modifications to POCL counter and back office procedures necessary for the proper operation of the required services by POCL staff or agents. Shall use all reasonable endeavours to ensure that agreed office and counter procedures are followed.
856	Operate agreed counter procedures for manual input of card details
857	None
858	Operate the agreed foreign encashment counter procedures
859	1. Confirmation of the required data structures within the CAPS interface specification 2. General obligations with respect to agreeing any future changes
860	Shall agree with Pathway any modifications to POCL counter and back office procedures necessary for the proper operation of the required services by POCL staff or agents. Shall use all reasonable endeavours to ensure that agreed office and counter procedures are followed. Agreement on call referral procedures relating to entitlement or other enquiries outside Pathway's domain.
861	1. Provision of personal details for alternative payees in the CAPS customer details file to CMS, including any agreed details relating to use of specific card livery, if required. 2. Inclusion of agreed alternative payee details in the authorised payment payee group data sent from CAPS to PAS. 3. To agree and follow counter procedures
862	Will discuss and agree with Pathway any modifications to POCL counter and back office procedures necessary for the proper operation of the required services by POCL staff or agents. Will use all reasonable endeavours to ensure that agreed office and counter procedures are followed.
863	Will discuss and agree with Pathway any modifications to POCL counter and back office procedures necessary for the proper operation of the required services by POCL staff or agents. Will use all reasonable endeavours to ensure that agreed office and counter procedures are followed.
864	Will discuss and agree with Pathway any modifications to POCL counter and back office procedures necessary for the proper operation of the required services by POCL staff or agents. Will use all reasonable endeavours to ensure that agreed office and counter procedures are followed.

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Ref.	Contracting Authority Obligation
865	Will discuss and agree with Pathway any modifications to POCL counter and back office procedures necessary for the proper operation of the required services by POCL staff or agents. Will use all reasonable endeavours to ensure that agreed office and counter procedures are followed.
866	Discuss and agree with Pathway any modifications to POCL counter and back office procedures necessary for the proper operation of the required services by POCL staff or agents. Shall use all reasonable endeavours to ensure that agreed office and counter procedures are followed.
867	Process requests for nominated post office change Operate an agreed system of card events to minimise abuse Agree interface specifications for acknowledgement data between CAPS and PMS/CMS POCL to agree and follow counter procedures
868	Discuss and agree with Pathway any modifications to POCL counter and back office procedures necessary for the proper operation of the required services by POCL staff or agents. Shall use all reasonable endeavours to ensure that agreed office and counter procedures are followed.
869	1. BA/POCL will endeavour to provide timely information on all likely and possible changes to business volumes within current or new services. 2. New or changed services will be subject to a change control process. 3. BA/POCL will agree system testing with Pathway.
870	None
871	None
872	The authorities to provide the following information : 1. Maintain lists of staff who will have roles to access PMS and CMS records in the steady state using automated immediate enquiries. 2. Co-operate with Pathway to define those BA staff who will be given access to NSI record material by telephone via Pathway staff and the modus operandi for such access. 3. What verification questions we will be able to ask Nationally Sensitive customers (this will be greatly dependant on information provided by CAPS 4. What level of authority will be allowed to access Nationally Sensitive records (mainly on the PMS/CMS help desks) 5. How we will be notified that a current case has become Nationally Sensitive

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Ref.	Contracting Authority Obligation
873	POCL shall contribute to service developments within the bounds of the Pathway's obligations to service provision, covering both improvements and functional enhancements to the planned services and any new services Shall provide timely information on actual or anticipated changes in business volumes and/or changes and extensions to services to assist Pathway's planning processes
874	Transfer of card termination requirements from CAPS to CM Discuss and agree with Pathway any modifications to POCL counter and back office procedures necessary for the proper operation of the required services by POCL staff or agents. Will use all reasonable endeavours to ensure that agreed office and counter procedures are followed.
875	POCL will follow counter, office and help desk access procedures Discuss and agree with Pathway any modifications to POCL counter and back office procedures necessary for the proper operation of the required services by POCL staff or agents. Will use all reasonable endeavours to ensure that agreed office and counter procedures are followed.
876	POCL will raise all requests for additional benefits or changes to existing benefits via the agreed change control system. Shall provide timely information on actual or anticipated changes in business volumes and/or changes and extensions to services to assist Pathway's planning processes
877	Shall provide timely information on actual or anticipated changes in business volumes and/or changes and extensions to services to assist Pathway's planning processes
878	None
879	None
880	Agreement of the technical details of the interface to TIP and its operational characteristics, in terms of timings and transfer schedules, etc. Agreement on any reconciliation mechanisms between POCL, Pathway and, where appropriate, any third parties, for transactional data transferred to TIP.
881	None

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Ref.	Contracting Authority Obligation
882	Approve the wording of replacement receipts and time validity during which they can be produced Shall agree with Pathway any modifications to POCL counter and back office procedures necessary for the proper operation of the required services by POCL staff or agents. Shall use all reasonable endeavours to ensure that agreed office and counter procedures are followed in their affect upon the operation of the Pathway services
883	None
884	None
885	None
886	None
887	None
888	None
889	None
890	1. POCL shall agree with Pathway the technical details of the interfaces by which committed AP transactions are transferred to POCL and Clients. 2. POCL shall agree with its AP clients and Pathway the operational characteristics of such transfer processes, including time windows and the procedures by which demonstrability of successful transaction transfers shall be measured

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Ref.	Contracting Authority Obligation
891	BA/POCL shall: 1. input reference data at the central and/or post office levels, and such other levels as may be defined, in accordance with operating procedures agreed with Pathway 2. notify Pathway without unreasonable delay of any reconciliation exceptions encountered by BA/POCL systems that are unexplained by BA/POCL 3. ensure that Pathway is notified without unreasonable delay of any reconciliation exceptions encountered by POCL client systems that are unexplained by POCL clients or POCL 4. as appropriate, agree interface integrity controls with Pathway 5. co-operate with Pathway in seeking explanations for reconciliation exceptions 6. take appropriate steps to restore TIPI and IM in the event of their failure. 7. take appropriate steps to restore CPCS in the event of their failure 8. notify Pathway without unreasonable delay of any reconciliation exceptions encountered by BA systems that are unexplained by BA 9. accumulate and despatch paper receipts to the agreed repository in a timely fashion and in accordance with agreed procedures for grouping, enveloping, despatching and notifying despatch 10. provide information to Pathway for the retrieval of receipts 11. agree the card (and temporary token) procedures to be followed
892	None
893	None
894	Agree the arrangements for MIS reports and BA/POCL control mechanisms. 1. Agree frequency of Review meetings 2. Agree content of inputs 3. Agree reporting periods 4. Agree arrangements for exception reporting. 5. Agree the procedure for arranging “ad hoc” meetings 6. Agree the list of reports that will be required 7. Specify data requirements to enable resource, network, productivity, cash management and marketing planning 8. Advise changes to MIS requirements under Change Control procedures 9. Specify and agree all required interfaces to Information systems, e.g. TIP. 10. Agree the medium for the reports, i.e./ fax/EIS access/paper/floppy disk/other 11. Customer to provide and agree MIS reporting requirements
895	1. Agree irregular encashment information. 2. POCL must inform Pathway of any exception event occurring in a Post Office

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Ref.	Contracting Authority Obligation
896	The AUTHORITY shall be jointly responsible for developing a strategy study for the use of electronic communications in the user documentation area.
897	None
898	Specify those outlets that require OBCS
899	Agree the service levels and methods of data transfer to/from the DSS ESNCS system.
900	Provision and discussion of the ESNCS interface document referred to above.
901	None
902	Agree OBCS service level Agree process by which OBCS time monitoring will be achieved
903	Provision of DSS interface document Co-operation in the design and operational procedures relating to the DSS ESNCS data interface Agree final definition and enactment of OBCS service levels
904	None
905	None
906	None
907	None
908	Shall agree with Pathway any modifications to POCL counter and back office procedures necessary for the proper operation of the required services by POCL staff or agents. Shall use all reasonable endeavours to ensure that agreed office and counter procedures are followed in their affect upon the operation of the Pathway services
909	Agree and follow counters approach and agree the procedures used to support this class of encashments, including any implications on the CAPS data interface to CMS/PAS and also on counter procedures. BA to discuss and agree the precise terms of group collection and provide a flag in the CAPS input stream indicating a permanent group agent role. BA & POCL to discuss and agree the appropriate verification requirements for casual agent collection on behalf of the Authorised Person. General obligations on agreeing and following counter procedures.
910	Agree and follow counters procedures appropriate mechanism for transferring to Pathway information on encashment limits and its applicability. General obligations to agree and follow counter procedures.
911	BA/POCL shall: Agree the transition arrangements through a change control procedure. The AUTHORITY will agree a change control procedure.

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Ref.	Contracting Authority Obligation
912	1. POCL to agree a schedule for the electrical safety test service, commensurate with the post office roll-out timetable. 2. POCL to facilitate and promote the importance of this service and the ongoing safety responsibilities of post office staff. 3. Facilitate the access to equipment and other areas as required during the electrical safety service.
913	The AUTHORITY is responsible for the definition of the documentation agree a process and adherence to the agreed timescales for review. POCL will copy and distribute the paper copies of the manual to the appropriate users.
914	None
915	1. The AUTHORITY will give details of the staff to be trained.
916	None
917	None
918	None
919	None
920	None
921	1. Advance notice of any requirement of BA or POCL to introduce a new peripheral into OPS. 2. Co-operation in the development of an impact assessment resulting from any new equipment covering current service provision, Pathway/BA/POCL liabilities, procedural changes and any resultant costs.
922	None
923	None
924	Counter Clerks to provide support for the process at outlets.
925	The AUTHORITY shall produce and agree with the CONTRACTOR and baseline the control document ref. 011.
926	The AUTHORITY shall document the process to follow for agreement to roll-out plans, including but not limited to: a) initial release timeframe; b) extent and scope of roll-out plan; c) process of change; d) expected change frequency;
927	DSS to set out its specific requirements for documentation clearly.
928	DSS to clearly specify the content and level of detail required.
929	The AUTHORITY shall produce and baseline the list of Main Post Offices in schedule.
930	To use best endeavours to identify any constraints that apply to roll-out at DSS offices over and above those already identified elsewhere in the related agreements.
931	DSS to identify any particular support requirements other than those already offered in the related agreements.
932	To identify any additional requirement for Information not already covered by requirement 915.
933	Agree a Programme plan including any AUTHORITIES responsibilities.

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Ref.	Contracting Authority Obligation
934	DSS shall: Adhere to the data transfers for CMS and provide for reception of transfers from CMS in accordance with the interface specifications and operational procedures to be agreed with Pathway and DSS's agents Supply temporary tokens to Customers in accordance with procedures to be agreed between Pathway and DSS Facilitate access for the installation and maintenance and deinstallation of agreed Pathway equipment Provide reasonable terms and facilities for staff Pathway may maintain on DSS premises. Provide Pathway with specifications of CAPS functions. Provide Pathway with reasonable notice of changes in such specifications Aid agreement as principal with Pathway in the event that Pathway and DSS's agent cannot agree on technical and operational processes. Consider the Pathway comments
935	None
936	BA/POCL shall: Agree enhancement to CAPS to handle emergency payments and conveyance of temporary token identities. The BPS stream paper, latest 8 January 1996, describes such enhancements. Contribute to the service and customer care ethos in dealing with customers Co-operate in designing the form and content of the customer education programme and the literature and material. Consider Pathway's recommendation of distributing the welcome pack with notices of entitlement (BA), providing size and weight does not effect postage costs. Co-operate in handling the needs of customers who cannot attend the post office to collect their cards (BA) without any obligations to perform actions. Hold and maintain stocks of mandate forms . Hold and maintain stocks of temporary tokens (BA). Operate the temporary token procedure in co-operation with Pathway. CAPS will provide agreed information regarding new customers to be enrolled and provide updates of information as appropriate. Where agreed receive PUNs and issue to customers without suitable addresses of their own (BA). Agree a process in handling exceptional card issue events.
937	BA/POCL shall: Agree enhancement to CAPS to handle emergency payments and conveyance of temporary token identities. The BPS stream paper, latest 8 January 1996, describes such enhancements. Operate the agreed temporary token procedure. Co-operate in handling exceptional card issue events. Receive reports of apparently out of date addresses (BA).

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Ref.	Contracting Authority Obligation
938	Co-operate in the definition of the service description Agree the service description Agree the content and distribution of the BPS MIS outputs Agree the corresponding requirements of POCL
939	Co-operate in the progressing of the requirements specification. Agree the delivery arrangements and output formats of the BPS MIS outputs. Agree the retention periods.
940	Agree the requirements specification.
941	1. Refer to programme plan. 2. Agree the frequency and format of the installation acceptance reports.
942	Agree the requirements specification including the form and formats in which the audit trail will be presented. Agree the service interfaces which relate to this requirement and the content of the Customer to CMS Help Desk Service interface audit trail.
943	None
944	1 Agree the education requirements for authorised persons (and their casual agents). 2 Agree the Post Office Counter Procedure for Casual Agent Encashment.
945	1. The AUTHORITY shall nominate an Outlet Manager for each site who can agree and authorise the site preparation work to be done and also periods when no modifications can made to the site. The AUTHORITY shall agree with the CONTRACTOR the format and approach of the User Survey and also the parameters for the siting of the OPs, prior to commencement of the Roll-out. 2. The AUTHORITY shall define and agree with the CONTRACTOR the role and interface with the "database liaison" and "automated prog.".
946	The timely agreement of the Operational Trials plan with Pathway.
947	The Contracting Authorities responsibilities cannot be determined at this stage.
948	The timely agreement of the user service Acceptance Criteria with Pathway.
949	1. To define the scope of the "total POCL Training" that may be required. 2. To identify the numbers, locations and skills profile of the staff to be trained. 3. To identify the training requirements in sufficient time to allow the preparation of training plans and training courses.
950	
951	BA/POCL shall: Give timely notification of changes in the interfaces of their systems and, where possible, those of other parties, where these affect Pathway.

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Ref.	Contracting Authority Obligation
952	None
953	None
954	To pass changes to customer personal details to CMS via the CAPS access service to the agreed service levels. To identify any changes to personal details which may prevent encashment of benefit at the counter.
955	To agree processes and procedures associated with the issue of temporary token within the agreed Programme plan.
956	The contracting authority shall:- Negotiate any required practical alternative arrangements for reception and transmission of files. Originate the data transfers for OBCS and provide for reception of transfers from OBCS in accordance with the interface specifications and operational procedures to be agreed with Pathway and the Contracting Authorities. Facilitate access for the installation and maintenance and de-installation of Pathway equipment. Agree fair and reasonable terms and facilities for staff that Pathway may maintain on Contracting Authorities' premises. Provide Pathway with specifications of OBCS functions, particularly for the known addition for stop and recall receipt acknowledgements. Provide Pathway with reasonable notice of change in such specifications. Aid agreement as principal with Pathway in the event that Pathway and DSS's agents cannot agree on technical and operational process.
957	The Authority shall identify the Post Offices for the initial operational trial, for subsequent agreement with the Contractor. The Authority shall define the required scope of services for the initial live trial, for agreement with the Contractor within the agreed Programme plan.
958	The Authority shall review the Contractor's end-to-end testing strategy and plan within the agreed Programme plan.
959	To ensure that the CAPS interface supports Urgent Payments and Immediate Stop Facilities for testing within the agreed Programme plan.
960	Identify the precise events that should be recorded as zero-value transactions for all products/services but particularly for BES and APS.
961	None.
962	To agree with Pathway all card design details, including the content and size of the message to be printed on the reverse of the card within the agreed Programme plan.

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Ref.	Contracting Authority Obligation
963	Agree with Pathway procedures to process and encash contingency payments, within the agreed Programme plan.
964	To agree with Pathway procedures for handling temporary increases in volume, within the agreed Programme plan.
965	None.
966	Agree procedures with Pathway for operating CMS under contingency, within the agreed Programme plan.
967	To agree with Pathway procedures for handling temporary increase in volume, within the agreed Programme plan.
968	The contracting authority shall agree appropriate material to be issued with the PUN.
969	Notification to Pathway of unexpected office closures and agreement, where appropriate, of an alternative local office to act as a surrogate during the period of closure. General obligations on agreeing and following counter procedures.
970	To agree procedures and mechanisms for delivery of Post Office changes to Pathway. To inform Pathway at the earliest opportunity (or to agreed timescales) of Post Offices which are due for closure on a temporary or a permanent basis, to prevent disruption to the service as much as possible. To inform Pathway of appropriate details where a post office may close, but relocate to another address.
971	The Authority shall identify all automated payment clients and their data requirement. The Authority shall identify the nominated end of day time for each Post Office, and the assumed end of day for data transmission cut-off. The Authority shall agree with the Contractor the strategy for achieving single-stream unreconciled data transmission to its automated payment clients.
972	None.
973	The contracting authority shall:- Give due notification of intention to re-tender any service. Give due notification of changes in interfaces of their systems and those of alternative or supplementary suppliers. Agree test specifications, schedules and reports for replacement or supplementary services.
974	The Authority shall agree with the Contractor the change control procedures for updates to the Benefit Migration Timetable.
975	The Authority shall define requirements for additional sites outside current PFIL via formal change control.

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Ref.	Contracting Authority Obligation
976	The contracting authority shall:- Republish and maintain under change control the CAPS to PAS/CMS Data Interface Definitions. (At present Version 4 is the latest available to Pathway.) Republish and maintain under change control the BA/POCL Service Interface Definitions. (At present Version 1, 9 February 1996, is the latest available to Pathway.) Publish and maintain under change control the Interface Volumes and Timings.