DWP Employee Authentication Service – Customer Information System (EAS CIS)

Business Implementation Guide

November 2010

This version supersedes all previous versions, which should no longer be used for reference

DWP Department for Work and Pensions

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DWP Department for Work and Pensions

1. Document Information

1.1 Purpose of this document

This document is intended to provide local authorities (LAs) (specifically the Primary Contact) with detailed information about the implementation of EASCIS within their organisation. It sets out the activities which LAs will need to undertake to support both the technical implementation and the business processes to transfer CIS users on to the new authentication mechanism. It also provides detailed guidance on timescales, resources and expected outcomes.

This document is not the primary reference for describing the business processes and responsibilities for National, Local or Satellite Registration Authorities, or for the operation of the EAS system. You can find references to further information on them in Section 5.

The EASCIS Project Team welcomes feedback on this document and how it can be improved. Please email us at eas.info@dwp.gsi.gov.uk .

1.2 Guide to using this document

Section 2 contains a high level overview of how the project will engage and work with your LA.

Section 3 contains detailed descriptions of the activities, timescales and outcomes of each stage in the project.

Section 4 is a chart describing the process, for easy reference.

1.3 Outsourced and Shared Services

If you outsource or share your IT Services and/or your Revenues and Benefits services, please ensure your supplier(s) have been briefed on this project, and have a copy of this document.

1.4 Essential Actions

In order to ensure the smooth implementation and reduce the overall effort on the LA, there are some key activities which you should consider starting as soon as possible. They are

- The collection of your CIS users' identity and role details by the Business Sponsor (See Section 3.2)
- Peripheral installation and configuration (See Section 3.4) by your IT Technical Resource

2. End To End Process Overview

2.1 Process Description

The EASCIS implementation process has four main stages,

- **Preparation**
- **Operational Readiness**
- **Business Readiness**
- **Registration, Enrolment and Authorisation of all users**

Stage 1:

Preparation is about ensuring that the EASCIS project team has accurate information about all the stakeholders in your LA, and to identify and agree the dates, times and resources for all subsequent steps. This enables both you and us to understand the requirements and plan appropriately. During the preparation stage, the **Sponsor** should start to collect information on the employees who require registration as **Users**.

Stage 2:

Operational Readiness is the installation and testing of the technical infrastructure (hardware and software) to support both the Agents within the Satellite Registration Authority in your organisation, and the CIS Users who will eventually use EAS. There is a separate detailed technical guide for your IT Dept. to use.

Stage 3:

Business Readiness is the training of your Local Agents in the business processes of registration and enrolment that they will need to use and then testing these processes with **one** CIS user. The NRA hub will then be authorise this one user . This testing is referred to as **REA1** later in the document.

Stage 4:

Registration, Enrolment and Authorisation (REA) is the activity to process all your remaining CIS users. The process is referred to as **REA2** later in the document.

These four stages can be broken down into eight key steps:

Stage 1

1.Supply key information

2.Book dates and resources for key events

Stage 2

3.Receive peripherals – install and configure

4.Formal peripheral test (Operational readiness review)

Stage 3

5.LA Agent training – receive smartcards

6.Business Readiness Review (REA1) test acceptance

Stage 4

7.Registration, Enrolment, Authorisation (REA2) remaining CIS users

8.Spot check and final acceptance

2.2 Timescales

The implementation will take place between August 2010 and March 2011 and is organised into three tranches, each lasting two months.

The EASCIS Project Team will provisionally schedule each LA within a tranche. They will contact you to confirm this, as well as arranging specific dates for key activities within the tranche. It is very important that the LA prepares for the activities taking place on these dates, especially securing the necessary LA resources (e.g. IT Dept., Sponsor, Users) to be available at these times.

Within each tranche, each activity is planned to take place within certain periods. All the *Preparation* work should take place before a tranche begins – this reduces the risk of issues occurring during the tranche and gives both LAs and the Project Team the opportunity to address any issues.

The *Operational Readiness* and *Business Readiness* activities take place within the first four weeks of the tranche. The *Registration, Enrolment and Authorisation* activities take place during the second four weeks of the tranche.

If your LA completes the Operational and Business Readiness activities early in the first four weeks, then you can start the REA2 activities early as well.

There are several strict dependencies in the timing of the activities:

- The LA must install and configure the peripherals and software before the start of the tranche and the LA Agent training.
- The ORR should take place the day after the Training.
- REA1 must take place after successful completion of Training and ORR.
- ORR, Training and REA1 must take place in the first four weeks.
- REA2 must take place after successful completion of REA1.

Depending on the number of Users your LA needs to process and the resources available, you may not complete all the work within the four weeks allocated to REA2. If this occurs, you should continue to process Users and make the weekly submissions to the NRA until the work is complete.

2.3 Locations

All the activities except for Training will take place at your Local Authority (LA). The EASCIS project team is not providing any on-site support, all assistance will be by phone, email and updates to our web site.

Training will take place at venues throughout the country, depending on the tranche your LA is in. The Project Team will advise you of your tranche and details for the training events in advance..

2.4 Resources

Certain resources within your LA will be required to support the implementation.

Fig 2.6	**Required Resources**
Resource	**Activities**
Primary Contact	Co-ordination of LA resources, liaison with EASCIS Project Team, confirmation of resources and dates. Receive Peripherals (optional in lieu of IT Dept.)
Business Sponsor	Collect details of CIS Users, unique identity information, and roles required. Issue to Local Agent and NRA before REA1
Local Agent(s)	Attend Training Receive Smartcards Schedule interviews with CIS Users for REA2 Attend ORR Conduct REA1 (and troubleshooting if necessary) Complete and return sign off form after REA1 success. Conduct REA2

IT Dept.	Receive Peripherals (optional in lieu of Primary Contact) Install and configure peripherals Conduct ORR, and troubleshooting if necessary Complete and return sign off form after ORR success Support REA1 troubleshooting, if necessary
CIS User for REA1	Agree REA1 date/time Provide identity information and evidence Attend REA1 and conduct business process Confirm CIS access using EAS token.
CIS Users for REA2	Agree REA2 date/time Provide identity information and evidence Attend REA2 and conduct business process

2.5 Tokens and SmartCards

2.5.1 Smartcards

Smartcards are necessary for Local Agents to conduct the business processes of the satellite registration authority. They are secure cryptographic devices, classed as RESTICTED[1], and need to be handled appropriately.

Agents who have not been trained on the handling of RESTRICTED materials will need to receive appropriate training and advice from the relevant authority within your LA.

As RESTRICTED material, any loss of a Smartcard must be reported to the National Registration Authority (NRA) in order to de-authorise it. It will also need to be reported immediately to your organisation's Security Controller or Incident Manager, so that they can investigate as necessary and then send their findings to the NRA.

The cards will be distributed at the Training events, subject to verification and validation of the Local Agents' identity with appropriate documentation.

2.5.2 Tokens

Tokens are required by the CIS users to log in (authenticate) to the CIS system using EAS. The tokens will be distributed in advance to the Primary Contact in LAs. You will receive one token per CIS User you have told us about, plus an additional 10%, to cover losses or damage. Note, that if you are due to receive 50 or more units, they will come packed in a box equivalent

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[1] [1] See the HMG Security Policy Framework, Policy No. 2
http://www.cabinetoffice.gov.uk/media/207318/hmg_security_policy.pdf

to a standard office storage container – so you may need to arrange a safe area to store them before issuing to Users.

3. Detailed Activities and Responsibilities

3.1 Introduction

This section provides detailed information on the activities of each stage in the process. It should be read in conjunction with the business process and training documentation (These will be emailed to the relevant roles).

3.2 Key Information

LAs need to collect key information to support the implementation of the satellite registration authority, and the business processes to process CIS Users. We suggest that you start this activity as soon as possible – especially if you have more than 20 CIS users.

This activity should be completed before your tranche commences.

3.2.1 Key Information prior to implementation

The project team will contact you to confirm details of the primary contact, business sponsor, local agent(s), and also whether you outsource your Revenues and Benefits or IT Services.

3.2.2 Key information during the business processes

The business processes of registering, enrolling and authorising CIS Users to use EAS require particular information about every User to be supplied to the National Registration Authority (NRA), and for further information to be entered on to the EAS system by Local Agents. The information is primarily identity details and information about the roles the User will be assigned on CIS.

Full training on the business processes and what information Local Agents will need to collect will be given at the Training event.

If your LA has a substantial number of CIS Users, we suggest you begin collecting the information as quickly as possible – otherwise you may struggle to process your Users within the project timescales.

The first step is for the Business Sponsor to collect base information on the CIS Users and the roles they will be assigned on CIS. This information will be captured on a spreadsheet (known as the End User Tracker) which is then sent to both the NRA and the Local Agent.

The Local Agent then needs to enter this information onto the EAS system.

The base information on CIS Users must be collected by the Sponsor and returned to the NRA before the Business Readiness Review is scheduled to take place.

Secure email should be used for the transfer of personal information. If you are unsure about the availability or use of secure email, please contact the person responsible for either GCSx (GSx in Scotland) or Information Assurance within your Authority.

The base information must only be emailed to the NRA from the Local Authority's secure GCSx email account, as it contains sensitive personal information.

Details on the exact process to follow, and templates for the Business Sponsor to collect information will be emailed to them separately.

If you are unsure of how to proceed, please contact eas.info@dwp.gsi.gov.uk
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3.3 Book Dates and Resources

The implementation processes are dependent on activities taking place within a schedule. In order to ensure that everyone understands the commitment required, we are booking key activities and resources at particular dates and times.

The project team will contact you in advance to make these bookings. Once they have been confirmed, we will be writing to your Section 151 officer to confirm his/her support.

If you find that your LA cannot meet the dates or resources required, please contact us immediately.

3.3.1 Dates and resources for the implementation and business processes

We will contact you to confirm the following dates and resources

Activity	Expected Period	Resource Required	Estimated Effort by LA
Tranche	Starting October, November, January or February	Primary Contact and as below	
Operational Readiness Review (ORR)	Within first four weeks of Tranche	IT Dept Technical Resource. Local Agent	2 hours
ORR Troubleshooting (if necessary)	Within first four weeks of Tranche	IT Dept Technical Resource. Local Agent	Will depend on troubleshootin g issues
Training	Within first four weeks of Tranche	Local Agent(s)	1 day to attend
Business Readiness Review (REA1)	Within first four weeks of Tranche	IT Dept Technical resource. Local Agent CIS Test User	1 hour to conduct
REA1 Troubleshooting (if necessary)	Within first four weeks of Tranche	IT Dept technical resource. Local Agent CIS Test User	Will depend on troubleshootin g issue
Registering, enrolling and authorising (REA2) CIS Users			
Completion (incl sign off form)	After Tranche completion.	Local Agent CIS User	15 minutes to complete / return form

Note that there is no booked date for the Project Team to contact you during the process of registering and enrolling the remaining CIS users (REA2). It is expected that you will conduct this independently directly after REA1, according to the processes the Agent has been trained on during the Training day. For reference, we estimate the following effort is required.

Activity	Expected Period	Resource Required	Estimated Effort by LA
Register and enrol remaining CIS Users (REA2)	Within second four weeks of Tranche	Local Agent(s) CIS User(s)	Approx 15-30 minutes per User

Once the dates have been booked, the Primary Contact at the LA should ensure that all resources and stakeholders are aware of the dates, the preparation they will need to make, and the actions required on the dates. Also they will need to be actively checking that any dependent tasks are taking place in between these booked dates.

3.3.2 Scheduling the processing of CIS Users

Once the business Sponsor has identified who the CIS Users are, and sent the completed details to the Local Agent(s), the Agents will need to contact each User, advise them of the process, and arrange for each User to attend an interview, where they will need to provide identity documents and collect their EAS token. Exact details of this process are provided during the Training event, and documentation will be provided.

We suggest that the Agents contact the Users, and arrange formal dates and times for the processing to take place (referred to as REA2 elsewhere in this document). Organisations with large numbers of Users will benefit most from formal scheduling. Experience shows that the process requires approximately 30 minutes per User.

REA2 can begin as soon as the Operational Readiness Review (ORR), Training and REA1 are completed successfully. If there are any issues or delays with the ORR, Training, or REA1 then CIS Users will need to be kept up to date of any impact on the date they are expected to attend.

3.4 Receive, Install and Configure Peripherals

3.4.1 Peripheral supply

The DWP will provide the necessary peripherals (USB signature pad, USB card reader, USB web camera and 4-port powered USB hub) to support setting up a satellite registration authority. The peripherals will be dispatched to the nominated contact in each LA.

If you have not received the hardware at least one month in advance of your tranche beginning, please contact us immediately.

Once you receive the peripherals, you should confirm they are all present, and arrange for immediate installation and configuration. If you are missing any items or they appear damaged, contact us immediately.

3.4.2 Installation and configuration

You will need to advise your IT Dept. of the need to install and configure hardware and software, and book a resource to do it. We estimate the time required is between 2 and 5 hours, depending on local circumstances.

The installation must be completed in advance of the booked ORR date.

The installation and configuration should begin as soon as practicable. It should be undertaken with the agreement and support of your IT Dept, and carried out by a suitably qualified person. Detailed guidance on the technical installation will be emailed to your nominated IT Technical resource contact.

The installation includes adding USB hardware, and installing ActiveX controls – both of which are relevant to the GCSx / GSx Code of Connection. The detailed technical guide includes an explicit section on how you can maintain the requirements of the Code of Connection, and install the peripherals.

3.4.3 Support

The EASCIS Implementation Project Team will replace any dead-on-arrival, missing or non-delivered peripherals to LAs, during the implementation period.

Technical information on the installation is available in our detailed guide that will be emailed to your nominated IT Technical resource contact.

The Project Team will provide high level advice to support any required troubleshooting, and as a liaison between external stakeholders. It can not provide detailed technical support or on-site support. It is the responsibility of the LA to achieve a fully functional peripheral installation.

3.5 Operational readiness review (ORR)

The ORR is a functional test to confirm that all the peripherals and software for the satellite registration authority in your LA are installed and configured correctly, and can completely support the business processes without any issues.

The ORR takes place at a pre-arranged date and time. It is expected that your IT Technical Resource (ideally the person who did the original installation and configuration) will attend. Ideally, the Local Agent will also be in attendance.

At the pre-arranged date and time, the Project Team will call the nominated IT Technical Resource. The Technical Resource will need to be at the Local Agent's PC with the installation, and ready to log in as the Local Agent.

The ORR is expected to take up to one hour, and will systematically test each technical element of the system. The Project Team and the Technical Resource will agree and record the results of the tests. If any of the components does not pass, they will agree how to pursue the troubleshooting and resolve the issue.

The subsequent steps in the implementation process (REA1, REA2) can not begin until the technical equipment is confirmed working.

Once the installation has passed all the tests, the Technical Resource will be asked to complete and return a sign-off form, confirming the results.

3.6 Local Agent Training and Smart-Card handover

Local Agents will receive full training on the business processes to act as a satellite registration authority.

The training will be provided at a range of venues around the country. Training will last one day. As part of the booking resource activity, you will confirm the actual date of training, and the attendees. Typically, each LA will send two or three Agents.

Each Agent will be expected to bring along documents to verify and validate their identity. Complete details on the pre-requisites for training, the agenda, location and other details will be sent out in advance.

At the training event, once the identity of an Agent has been confirmed, they will be issued with their Agent Smartcard – which is necessary to conduct the REA processes.

As mentioned previously, the Smartcard is classed as RESTRICTED material, and will require appropriate handling.

After the training event, the Agent(s) have the option to begin registering and enrolling their CIS Users using the preliminary details gathered by the Sponsor (and contained on the End User Tracker spreadsheet). This will reduce the time taken during the subsequent interview for each User, when they have to provide their identity documents to the Agent.

Alternatively, the Local Agents can do all of the data entry during the interview. This second approach may extend significantly the period it takes to complete the exercise, and therefore is not recommended for LAs with large numbers of Users. The Training event and documentation will explain the pros and cons in more detail.

After the training event, Local Agents should also prepare to conduct the Business Readiness Review (REA1) at the scheduled date.

3.7 Business Readiness Review (REA1)

The business readiness review is a test of the registration, enrolment and authorisation process (REA). It is a final check to confirm that the technical equipment (already tested and confirmed) and the Agent (already trained and given the Smartcard) can conduct the business process successfully and demonstrably prove that **one** CIS User can authenticate on CIS using the token and eSEF-2.

The complete REA business process will be conducted in real time, with the NRA authorising the CIS User immediately (assuming all the registration and enrolment details are correct).

Once the registration, enrolment and authorisation are complete, the CIS User will be asked to log in to CIS, using the eSEF-2 web site address and the token.

If successful, this proves that the LA has a technical infrastructure and business capability to act as a satellite Registration Authority. The LA can then process the remaining CIS Users, repeating the same process.

In order to prepare for REA1, you should identify a CIS User who can act as the test account for the above, and is available at the date and time booked for REA1. The Local Agent should also be available and present. Last but not least, the business Sponsor should have returned the CIS User details to the NRA at least one day in advance of the REA1.

On the day of REA1, the Agent should register and enrol the User according to the training provided. The NRA will contact the Local Agent to confirm all the details have been entered on EAS, and then follow their own authorisation process. If all the details are correct, the User’s identity and role will be authorised, and their token enabled for CIS. The User will then attempt to log on to CIS via EAS / eSEF-2.

The documentation and training provided at the Training event contain the detailed business processes to follow during REA1.

If successful, the Agent should complete and return the REA1 sign off form, and they can begin processing the remaining CIS Users according to their own schedule.

If unsuccessful, the EASCIS Project Team will work with the NRA and the Local Agent to resolve the issues. This may require support from your IT Dept, and will require the CIS User to re-test, until all is successful.

Successful completion of REA1 shows that your authority is ready to begin registering and enrolling your remaining CIS Users (REA2).

3.8 Registration, enrolment and authorisation of remaining CIS users (REA2)

After the Business Readiness Review (REA1) is completed successfully, the Local Agent(s) can begin to process the remaining Users, as per the training they've received and according to the process documentation.

REA2 is different to REA1 in that the **final stage of Authorisation by the NRA is not in real time** – i.e. the Agent will not be contacting the NRA at the time of the User's attendance. Instead the Agent will submit details of all the Users processed at the end of each week, to the NRA by secure email.

User details must only be submitted via secure GCSX email to the NRA, as they contain sensitive personal and corporate information.

The NRA will in turn apply the Authorisation process and where everything is correct, authorise the Users' tokens.

Any difference in information supplied by the Business Sponsor and by the Local Agent will lead to the refusal of authorisation for the User(s) concerned, and will lead to delays in enabling tokens.

The NRA will advise the Agent and the Sponsor by email when the Authorisations have been approved.

The documentation and training provided at the Training event contain the detailed business processes to follow during REA2.

3.9 Final Acceptance

Unless contacted, the NRA will assume Users who are authorised during the REA2 stage are able to log in successfully.

Once the NRA has completed Authorisation of CIS Users identified by the business Sponsor and who have met all the criteria, they will contact the Sponsor and the Agent to confirm this.

4. Process Chart and Check List

4.1 Process Chart

Supply Key Information

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Book Dates and Resources for key events

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Receive Peripherals – Install and configure

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Formal peripheral and connectivity test -Operational Readiness Review (ORR)

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Agent Training – receive smartcards

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Business Readiness Review – (REA1) Test/Acceptance

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Registration, Enrolment, Authorisation (REA2) – remaining CIS users

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Spot check and final acceptance

4.2 Check Lists

The following check lists provide summaries of the actions and information required for each step, and can be used to record key progress and details about implementation.

Checklist 1	Preparation: Supply key information

Primary Contact:

- Collect and record the name and contact details for each of the following:
  - Primary Contact
  - Business Sponsor
  - Local Agent 1
  - Local Agent 2
  - IT Dept. Resource (or)
    - Outsource Supplier for IT
  - Outsource Supplier for Revs and Bens

Primary Contact:

- Identify and engage with all stakeholders.
- Advise them of upcoming project and the contribution they will provide.
- Secure GCSx (GSx in Scotland) email available to all Agents and Sponsor?

Business Sponsor:

- Identify CIS Users
- Collect and record CIS User details, as per process and using the End User Tracker spreadsheet.
- Forward completed spreadsheet to Local Agent and the NRA
- Ensure that you have a secure GCSx (GSx in Scotland) email address

Local Agents:

- Review EASCIS background material.
- Ensure that you have a secure GCSx (GSx in Scotland) email address

IT Dept / Outsource Supplier:

- Review Technical Implementation Guide

Notes:

Checklist 2	Preparation : Book dates and resources

Primary Contact:

- Agree tranche for your Local Authority with EASCIS Project Team
- Receive provisional dates for:
    - o Operational Readiness Review (ORR):
    - o Local Agent Training day:
    - o Business Readiness Review (REA1), and
    - o Date Registration and Enrolment (REA2) to begin and end.

- Confirm Contact to receive Peripherals
- Confirm IT Resource to install and configure
- Confirm date of installation / configuration
- Confirm installation is before ORR

- Confirm ORR date/time with IT Dept / Supplier
- Confirm ORR IT Resource for that date / time
- Contact details for DWP to call IT Resource

- Confirm Local Agents to attend Training.
- Confirm date of Training

- Confirm REA1 date/time with Local Agent
- Confirm CIS User to act as REA1 tester
- Confirm REA1 IT Resource for that date / time (support troubleshooting if necessary)
- Contact details for DWP to call Local Agent

- Confirm date REA2 expected to begin
- Confirm number of Users expected to be processed per week during REA2

Confirm date by which REA2 will be complete

Checklist 2	**Preparation :**
(continued)	**Book dates and resources**

Local Agent:

- Contact CIS Users and advise them of upcoming process
- CIS Users advised about ID documentation requirements
- Agent(s) book / schedule individual registration sessions with each CIS User (beginning on expected REA2 date)

Notes:

Checklist 3	**Operational Readiness Review:** **Receive, install and configure peripherals**

- Peripherals Received?
- All present and correct?
    - USB signature pad
    - USB card reader,
    - USB web camera, and
    - 4-port powered USB hub

Notes:

- Storage for Tokens prepared?
- Tokens received?
- Correct number present? (total CIS Users plus ten per cent)
- CD for card reader included?

Notes:

- Date Peripherals installed:
- IT Technical Resource name:

- Configured?
- Remaining Issues?

Notes:

Checklist 4	Operational Readiness: Operational readiness review

- Date ORR Conducted:
- IT Resource in attendance:
- ORR passed?
- Troubleshooting Required?

- Remaining Issues?

Notes:

Checklist 5	Business Readiness: Agent training and smart-card

- Agents briefed on ID document requirements
- Agents confirmed ID documents prepared

- Agent 1 Attendee:
- Agent 2 Attendee:

- Date Training completed:
- Training Location:

- Agent 1 Smartcards received?
- Agent 2 Smartcards received?

Notes:

Checklist 6	Business Readiness: Business readiness review (REA1)

- REA1 scheduled date and time:
- REA1Local Agent Details:
- CIS Test User Details:
- CIS Test User confirmed available:
- IT Dept Resource (to support troubleshooting if necessary)

- REA1 Passed?
- Issues?
- Date REA1 completed:

Notes:

Checklist 7	Registration Enrolment and Authorisation: REA for remaining CIS users (REA2) and Completion

- REA2 Scheduled Start Date
- CIS User details spreadsheet received from Sponsor?
- CIS Users' interviews scheduled?
- Number of Users to Process:

- Number of Users submitted to NRA in Week 1:
- Number of Users submitted to NRA in Week 2:
- Number of Users submitted to NRA in Week 3:
- Number of Users submitted to NRA in Week 4:

- Final number of Users processed:
- Date of completion:

Notes:

5. Supporting Information

Information can be found on our web site: http://www.dwp.gov.uk/eas

For any queries not already covered in the Frequently asked Questions, please email eas.info@dwp.gsi.gov.uk