

**Audit Trail Functional Specification**
Commercial in Confidence

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Abstract: This document provides a specification of the Operational and Commercial Audit Trails.

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Author & Dept: Sarah Selwyn and Quality Manager

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Security Risk Assessment Confirmed YES. See section 0.9, Security Risk Assessment.

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See HNG-X Reviewers/Approvers Matrix (PGM/DCM/ION/0001) for guidance on who should approve.



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0.2 Document History

Version No.	Date	Summary of Changes and Reason for Issue	Associated Change - CP/PEAK/PPRR Reference
1.0	17/9/96	Externally published	N/A
1.1	8/10/96	Revised for BA Audit and Pathway comments	N/A
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2.1	19/5/97	Revised for further comments from DSS, alignment with Access Control Policy Version 1.0, and for review towards a further definitive version 3.0	N/A
2.2	8/9/97	Revised in response to implementation questions and further comments from DSS/POCL. Further review towards a further definitive version 3.0	N/A
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4.2	21/07/00	Reviewed by Brian Mooney. Document references updated	N/A



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0.3 Review Details

See HNG-X Reviewers/Approvers Matrix (PGM/DCM/ION/0001) for guidance on completing the lists below. You may include additional reviewers if necessary, but you should generally **not exclude** any of the mandatory reviewers shown in the matrix for the document type you are authoring.

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(*) = Reviewers that returned comments



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0.4 Associated Documents (Internal & External)

Reference	Version	Date	Title	Source
PGM/DCM/TEM/0001(DO NOT REMOVE)	5.0	03 June 2009	RMG BU HNG-X Generic Document Template	Dimensions
			Schedules S1, D5, S10, S15, S18, S19 & S22	Post Office Ltd
ARC/SEC/ARC/0003			HNG-X Technical Security Architecture	Dimensions
DES/GEN/SPE/0007			HNG-X Menu Hierarchy and Messages	Dimensions
DES/GEN/STD/0001			Host Application Database Design and Interface Standards	Dimensions
IA/MAN/006			Horizon System Audit Manual for BI3	PVCS
SVM/SDM/POL/0027			Access Control Policy	Dimensions
SVM/SDM/POL/0027			Access Control Policy	Dimensions
SVM/SDM/SD/0017			Security Management Service: Service Description	Dimensions

Unless a specific version is referred to above, reference should be made to the current approved versions of the documents.

0.5 Abbreviations

Abbreviation	Definition
ACD	Automated Call Distribution
ADC	Additional Data Capture
ADS	Advanced Distribution Systems
AP	Automated Payment
APS	AP Service
BA	Benefits Agency
BdC	Bureau de Change
BIMS	Business Incident Management System
CCD	Contract Controlled Document
CCN	Change Control Note



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CP	Change Proposal
CR	Change Request
CS	Customer Service
CT	Commercial Terms
CTSS	Commercial Terms Signature Sheet
CWP	Change Work Package
DC	Debit Card
EMV	Europay Mastercard Visa
EPOS	Electronic Point of Sale
EPOSS	EPOSS Service
ETU	Electronic Top-up
HADDIS	Host Application Database Design and Interface Standards
HSAM	Horizon System Audit Manual
IM	Inventory Management
ISDN	Integrated Services Digital Network
LFS	Logistics Feeder Service
NBE	Network Banking Engine
NBS	Network Banking System
NS&I	National Savings and Investments
OBC	Operational Business Change
POA	(Fujitsu Services) Post Office Account (aka RMG BU)
RASD	Requirements Architecture and Strategy Design
RD	Reference Data
RMG BU	Royal Mail Group Business Unit (Fujitsu)
RWP	Request Work Package
SAP	Systeme, Anwendungen, Produkte in der Datenverarbeitung AG, German software manufacturer
SI	System Integration (Directorate)
SLA	Service Level Agreement(s)
TES	Transaction Enquiry Service
TIP	Transaction Information Processing
TMS	Transaction Management Service

0.6 Glossary

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Term	Definition

0.7 Changes Expected

Changes
There is an outstanding issue regarding SLA credits in §3.2.1.1 that need to be resolved. This is currently marked as a document note.

0.8 Accuracy

Not Applicable.

0.9 Security Risk Assessment

Security risks have been assessed and it is considered that there are no security risks relating specifically to this document.



1 Introduction

1.1 Auditor's Eye View

1.1.1 Scope

This functional specification defines the *operational* and *commercial* audit trails. These are, respectively, the audit trail associated with the operation of the services which make up the HNG-X solution and the audit trail associated with that part of Post Office Account's internal commercial records to which Post Office Ltd's Internal Auditors or Agents may have access as set out in Schedule D5.

The operational audit trail includes that generated by the mainstream operational services and the Business Incident Management System (BIMS).

At HNG-X Release 2, the mainstream operational services making up the Post Office Ltd steady state applications are:

- Automated Payment Service (APS) including Additional Data Capture (ADC) and AP OutPay (APOP)
- EPOS Service (EPOSS) including Debit Card (DC)
- Logistics Feeder Service (LFS)
- Network Banking Service (NBS) including NBX
- National Savings and Investments (NS&I)
- Smart Post
- Bureau de Change (BdC) including the use of Debit & Credit Cards, Automatic Remittance Advice and Authorisation Referrals.
- Electronic Top-up (ETU)
- Post Office Limited Financial Systems (POL FS)
- Infrastructure Services
- Transaction Enquiry Service (TES)

The BIMS provides an auxiliary audit trail that separately covers the treatment of exceptions encountered within the mainstream operational services. The audit trail associated with the mainstream services is never modified for the purposes of correction as such.

This specification also addresses, in Section 3, certain elements of Schedule D5 that relate to access by Post Office Ltd's commercial auditors to parts of RMG BU's own internal records and systems. These latter requirements are met through the definition and use of a *commercial* audit trail and associated audit procedure providing for access from within RMG BU.

The Counter Transaction Journal element of the operational audit trail, and other operational support and system management elements relating to financial systems, are retained for 7 years. The remainder of the operational audit trail, specifically data relating to APS, TIP and LFS is retained for 18 months.

Note that although OBCS and TIP were discontinued services at S80 the audit data generated up to the point of rolling out Horizon S80 is being retained under existing rules.

The commercial audit trail is retained for seven years although some records are held for the life of the contract, which may be longer than seven years.

If the technology used to hold elements of the audit trail becomes obsolete then they will be copied to the new technology to maintain continuity of access.

1.1.2 The Total Mainstream Horizon Solution

From the standpoint of the auditor, the total mainstream solution, including both the Horizon sub-systems and the source and sink subsystems, is shown in Figure A. The arrows represent the subsystem interfaces at which key auditable events occur. Horizon's responsibilities extend to the subsystems coloured green (dark lozenge) and the interfaces coloured blue (dark arrows).

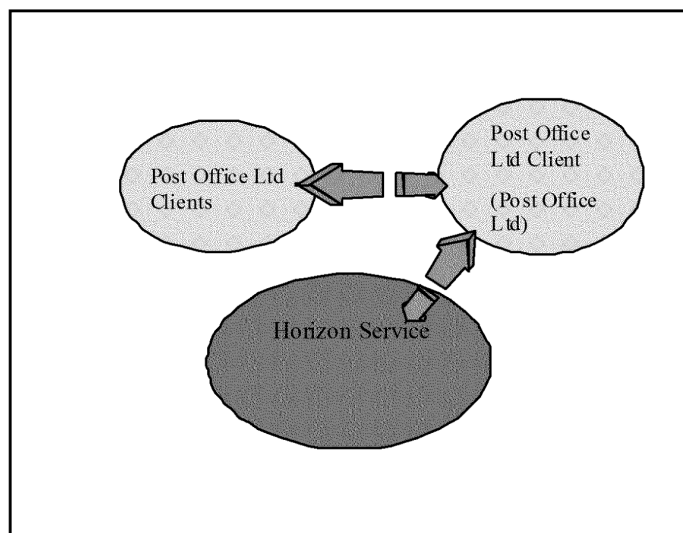


Figure A: Subsystems and principal interfaces

In addition, but not shown, are the Systems Management facilities that Horizon employs in the course of operating the hardware and software and telecommunications platforms themselves.

1.1.3 The Horizon Service

The Horizon counter application is a single application offering a number of services with which the post office clerks interface:

- EPOS Service (EPOSS) including Debit Card (DC)
- Automated Payment Service (APS) including Additional Data Capture (ADC) and AP OutPay (APOP)
- Logistics Feeder Service (LFS)
- Network Banking Service (NBS)
- Smart Post
- Bureau de Change (BdC) including the use of Debit & Credit Cards, Automatic Remittance Advice and Authorisation Referrals.
- Electronic Top-up (ETU)
- National Savings and Investments (NS&I)
- Branch network providing connectivity to the Data centres
- Branch Access Layer / Branch database
- Central servers

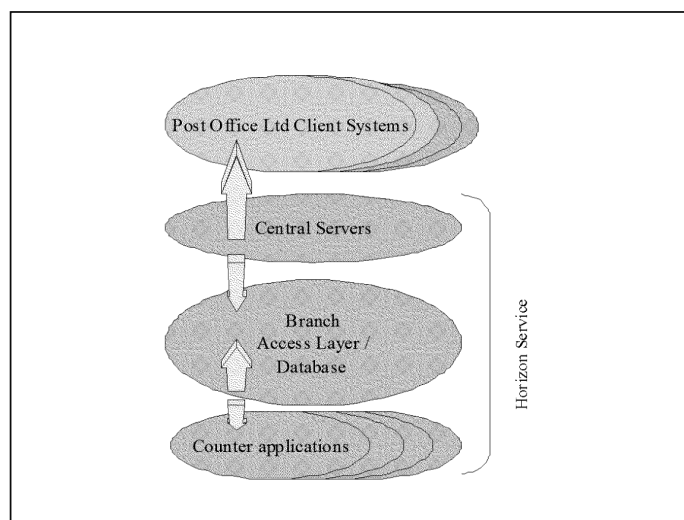


Figure B: Principal components of the Strategic Infrastructure Service

The Horizon Service also contains a telephony interface to callers and interfaces to Systems Management functions (not illustrated).

Figure B shows the Horizon Service components with the same interfaces remapped appropriately.

1.1.4 Other Post Office Ltd Clients

Figure C shows the relationship between the Horizon Service and other Post Office Ltd Client systems. These client systems comprise both those that belong to the Post

Office Ltd organisation itself and those, which belong to Post Office Ltd's commercial Clients, such as utilities and high street banks.

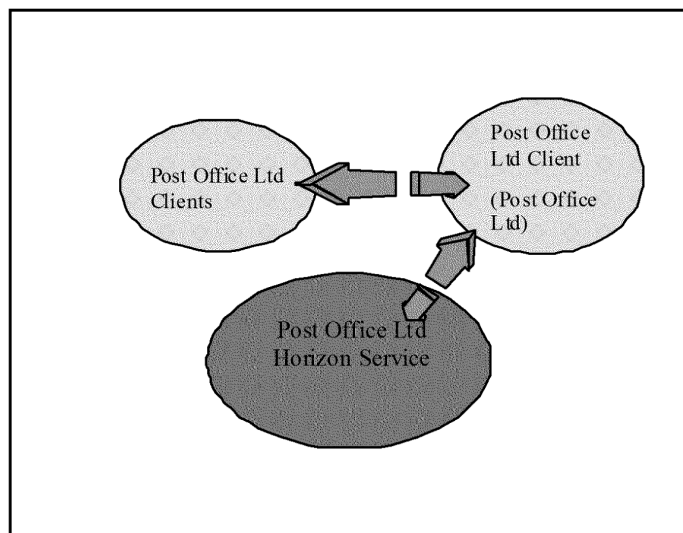


Figure C: Other Post Office Ltd Clients

1.1.4.1 Post Office Ltd In-house Systems

The Post Office Ltd systems that interface to the Post Office Ltd Horizon Service are:

- Reference Data
- SAP Advanced Distribution System (ADS) for Inventory Management (IM)
- Post Office Limited Financial Systems

The stock and Branch trading Statements are also produced within each office on paper. These signed paper records will, foreseeably, represent the fiduciary record of the outlet's business.

The Reference Data system is responsible for supplying transaction steering data to Horizon. This data describes the relationships and properties of the data to be processed (typing of regions, Post Office Ltd organisations, outlets, Clients, items for sale, methods of payment, and transaction tokens); and the processing methods (processing and validation rules, check digits, calendars, accounting collation sequences, tax tables).

ADS is an on-line system but with a same-day level of response time. It handles orders, secure stock returns, transfers and secure stock inventories, providing for central control interfacing with Horizon's Logistics Feeder Service (LFS)

AP Clients will have direct interfaces to Post Office Ltd for receiving files of payment records generated by the Horizon Service.



1.1.4.2 Post Office Ltd Client Systems

This level of specification does not define the audit facilities to be made available to the audit departments of Post Office Ltd's Automated Payment commercial Clients. These facilities will be negotiated between Post Office Ltd and the Client as part of the AP Migration Plan Interface specification for each Client. It has been decided by Post Office Ltd that such Client systems will NOT access the Post Office Ltd Horizon Service directly to provide customer and payment scheme reference data (transaction steering data). Such data will be passed through the Post Office Ltd Reference Data system.

1.2 Audit Trail Responsibilities and Usage

1.2.1 Responsibilities

1.2.1.1 Tracks and Trails

In the description below use is made of the terms *audit track* and *audit trail*. An audit track is a record of activities made within a Horizon subsystem for one or more of its interfaces. An audit trail is one or more such tracks. The data recorded in a trail's several tracks may represent the treatment of related transfers and processing.

In general it is possible to produce an audit track for an interface on either side of that interface, or, if the interface is itself problematic, on both sides.

It is of course a matter for Post Office Ltd and Post Office Ltd Clients to produce their own audit tracks on their sides of the interfaces to Horizon.

1.2.1.2 TWO Tracks

The Horizon audit trail is based upon files representing the single main audit track representing the traffic running through the Horizon solution, the Post Office Ltd Horizon Service. This system is RMG BU's operational responsibility and its operating interfaces are also under its control.

As discussed above, a second audit track represents the systems management operation of the Horizon system itself.

1.2.2 Principles, Agents and Rights of Access

The underlying policy for access control is defined in the Access Control Policy – SVM/SDM/POL/0027 (ACP) and the HNG-X Technical Security Architecture – ARC/SEC/ARC/0003.

An Agent may carry out a particular audit for Post Office Ltd or by Post Office Ltd themselves. The Agents that are permitted are defined in Schedule D5.

Horizon provides for rights of access for individual roles and enforces these rights of access. Changes to these rights is via Change Control.



1.2.3 Access controls

Access controls are effected through the use of roles. There are two auditor roles: Post Office Ltd Emergency Manager/auditor and Post Office Ltd Auditor. These roles and the functions that they may perform are further defined in document HNG-X Menu Hierarchy and Messages DES/GEN/SPE/0007.

1.2.4 Post Office Ltd Usage

Post Office Ltd Audit functions has access to the Post Office Ltd Horizon Service audit track and the Systems Management track

1.2.5 Post Office Ltd Client Usage

Post Office Ltd Client Audit functions will have access to those parts of the Post Office Ltd Horizon Service track relating to that Client and subject to the Client's contract with Post Office Ltd (subject to paragraph 1.2.3 above)

1.2.6 Audit trail formats

1.2.6.1 Native Formats

The principle followed is that Horizon originates the audit track source data in flat files.

The format in which the Counter Transaction journal is written by Horizon operational software is that used as input to the utilities that prepare the bulk extracts for the audit authorities. That is, the native flat format is the operational format. Subsets of the Counter Transaction journal represent the data transferred to ADS and Post Office Ltd Clients, and from RD, ADS, possibly Post Office Ltd Clients.

The native format of the flat files containing the data transferred between subsystems is described in file headers. They are therefore self-describing at the file level. See Host Application Database Design and Interface Standards - DES/GEN/STD/0001 (HADDIS).

The logs of file transfers (control files) are in one simple format.

1.2.6.2 Custom Formats

The Counter Transaction journal native flat format is not to be further transformed.

Custom formats for other audit files may be specified at a later level of specification.

Transfer is by CDROM.

As a principle, the less transformation the better, since this preserves more of the original raw data and removes the need to qualify and maintain transforming software.

1.2.7 Audit trail retention periods

Schedule B3.2 establishes the retention periods for the Operational and Commercial Audit Trails. These are, for the Counter Transaction Journal element of the operational audit trail, and other operational support and system management elements relating to

financial systems, 7 years. For other operational systems 18 months, and for the Commercial Audit Trail 7 years or contract duration, whichever may be longer.

Operational Audit Data may be retained beyond the specified retention period if it is required to support an ongoing Post Office Ltd Investigation, or Litigation Support by RMG BU, as described in the CCD Security Management Service: Service Description-SVM/SDM/SD/0017.

Certain archived data such as EPOSS administration functions, which contain dated internal references, will itself have an implied longevity of more than 18 months.

2 The Audit Tracks

2.1 Post Office Ltd Horizon Service Audit Track

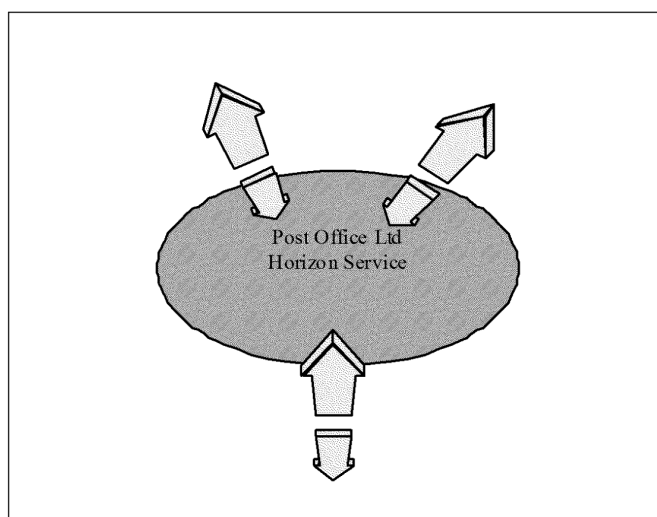


Figure D: The Post Office Ltd Horizon Service track

2.1.1 Post Office Ltd Horizon Service Track Content And Maintenance

The Post Office Ltd Horizon Service audit track comprises:

- the Counter Transaction journal

and those Post Office Ltd files exchanged between the Horizon data centres:

- the Horizon System Help Desk files
- Post Office Ltd's own systems' files
- AP Client files
- Debit Card payment and error files

Any other intermediate file or table constructs do not form part of the track.



2.1.1.1 Counter Transaction Journal

The audit archive of the Counter Transaction journal is taken daily by copying all new messages to audit archive media.

The Counter Transaction journal comprises records appended to the journal of each outlet. The Counter Transaction journal contains the original transaction details, including its origin, when it happened, who caused it to happen, and the outcome.

2.1.1.2 Post Office Ltd Systems

These comprise:

- Those at the RD and SAPADS interfaces holding control records describing files being transferred
- There is no systematic value in holding separate audit copies of the raw data transferred across these interfaces with Counter Transaction because this is what the Counter Transaction journal itself represents and because the SAPADS transfers are selective extracts of it.

2.1.1.3 AP Client Systems

This comprises the various AP Client interfaces holding control records describing files being transferred.

2.1.2 Audit Access to the Post Office Ltd Horizon Service Track

Logical audit access will be provided as follows:

2.1.2.1 Counter Transaction Journal Access at the Outlet

Views of the transactions that have taken place within a whole post office during the recent past are available from any counter or back office position within a post office, subject to the Post Office Ltd Auditor having appropriate access rights. The term "transactions" here embraces both the serving of customers and EPOSS administration events. The journal is also used to carry certain Horizon control sequences. These are of no intrinsic interest to auditors but their retention within the message numbering means that auditors can be sure there are no missing records.

2.1.2.2 Counter Transaction Journal Access at the Data Centre

Counter Transaction journal data is maintained within the Branch database in the Horizon Data Centres. Audit records are written to audit archive media. They are presented in exactly the same way as recent records when retrieved although will be subject to filters appropriate to the selection and the audit authority for which the selection is being made. Archive records will take a longer time to retrieve, the retrieval time being in proportion to the volume requested.

If and when the Counter Transaction service provider changes, then the Counter Transaction journal will be transferred to the new provider as part of the transfer



agreement. Apart from the longevity of data retention and the associations of data with post offices, these views are equivalent to those taken in the post office. It is understood that the vast majority of Post Office Ltd audits will be conducted within the post offices, with resort to the Data centre server views only where the outlet views are not available (denial, destruction) or, of course, where the historical record is required.

Schedule B3.2 specifies that the audit trail shall be maintained and retained by RMG BU and protected by security measures.

2.1.3 Auditor Utilities

2.1.3.1 Interactive Access

Facilities available to Auditor roles within a Post Office are defined in document HNG-X Menu Hierarchy and Messages DES/GEN/SPE/0007.

2.1.3.2 Bulk Access Using Keys

Bulk access is provided via the Horizon Data Centres only. A utility is provided to produce bulk selections according to the role of the auditor and in the custom magnetic format specified by the audit authority to which he belongs. Post Office Ltd Client audit authorities may require different formats from those used by Post Office Ltd but RMG BU proposes that they be required to use the Horizon native flat format directly. Clearly, subject to the terms of Post Office Ltd's contract with a Post Office Ltd Client, the data accessed will be limited to that pertaining to that Client.

Retrieving Operational Audit Data in support of Post Office Ltd requests is described in the CCD Security Management Service: Service Description – SVM/SDM/SD/0017.

In the event that the audit function requires direct, personal and extempore access to the actual Counter Transaction operational journal then this access will be supervised by RMG BU staff.

2.2 Systems Management Track

2.2.1 Systems Management Track Content and Maintenance

The track is made up of audit events for the particular domain in question. Within these domains events are collected by Tivoli Agents and transformed into Tivoli Events. In the Horizon solution all events that are deemed significant are transferred to the Tivoli Collection Layer. From there the events are written to serial files as an audit trail.

Event data sources within the Horizon solution comprise:

- Counters in the Branch estate
- The Branch Router
- Data centre platforms and appliances from sources such as SNMP, Oracle, Cisco, text files, Windows Event Logs, Syslog etc.

Tivoli provides extensive event management facilities including central display, sorting and filtering before viewing, for example, all operations initiated by a particular



operator. These facilities are accessed via desktop applications available to the Fujitsu Services Systems Management functions.

These Tivoli Events are extracted from the Tivoli Oracle database and archived using the standard Archive Service. Archiving is in Comma Separated Variable (CSV) format.

2.2.2 Audit Access to the Systems Management Track

2.2.2.1 Interactive Access

Archived data may be restored from CSV format and viewed using native facilities.

2.2.2.2 Bulk Access

This will be facilitated as follows:

- The Tivoli events will be archived daily
- Analysis can be either by Notepad-type browsing the archive file or by importing from CSV format into a database or editor of choice.



3 The Commercial Audit Trail

The commercial audit trail is defined to comprise material, held in either magnetic forms or definitively on paper, to which Post Office Ltd has access.

3.1 Magnetic Records

These comprise copies of certain Operational Support records that Post Office Ltd receive as part of the Service, and those parts of RMG BU's internal commercial records to which Post Office Ltd have access.

The track making up the magnetic commercial audit trail is the Business Incident Management System (BIMS)

3.1.1 Business Incident Management System (BIMS)

BIMS is freestanding from the mainstream Horizon Solution. It is a record of the activities undertaken by the RMG BU Customer Service Management Support Unit to make necessary adjustments to transactions, typically to effect accurate reconciliation.

3.1.1.1 Data Retention Requirements

Schedule B3.2 establishes the retention periods for the Operational and Commercial Audit Trails. These are, for the Counter Transaction Journal element of the Operational Audit Trail 7 years and 18 months for all other elements, and for the Commercial Audit Trail 7 years or contract duration which may be longer.

For these purposes BIMS is deemed to be part of the Operational Audit Trail.

3.1.1.2 Audit Access to Operational Support Records

Access is obtained via the procedures contained within the HSAM.

3.2 Manual Records

These comprise RMG BU records that are held definitively on paper to which Post Office Ltd have access.

3.2.1 Included Items

The scope of this list is restricted to items of significance to Post Office Ltd.

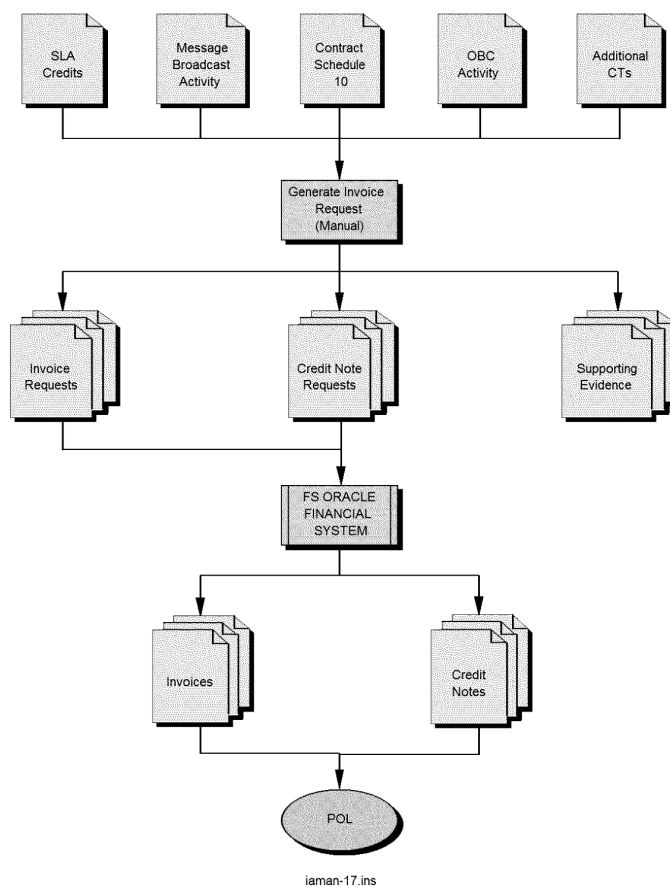
3.2.1.1 Invoicing

System Overview

All invoices raised under the Agreement are processed through the Fujitsu Services Oracle Financial System.

Schematic

The following diagram shows the main data flows within the Invoicing process.



Data Input Streams

Contractual Data

Operating Fee during operating period.

SI Commitment Fee during period.

CCN Service at Annex D to Schedule D1

Manual Data

Debit Instructions from BIMS.

Credit Instructions from BIMS.

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These are manual notifications that are applied to the Invoice during its production cycle. (There is, currently, no identified occurrence that might cause a BIMS Instruction to be raised but it is included for completeness.)

Additional CCNs (Monthly)

OBC Invoice (Quarterly) – Annex B to Schedule D1

Message Broadcast (Monthly)

SLA Credits (Monthly) – Schedule C1 and relevant Service Descriptions Additional CTs executed by CORE along with corresponding Credit Note for any CORE already pre-paid through SI Commitment Fee.

Property Charges

Availability Fee

Changes to Contractual Data

Changes to any element of the Contractual data can only be achieved through formal negotiation between the two parties.

Output Stream

The invoicing suite of documents consists of the following :

- SI Commitment Fee Invoice
- Operating Fee Invoice
- Credit Note for service credits.
- Credit Note for CORE already pre-paid through SI Commitment Fee.

Data Retention Requirements

Schedule 3.2 establishes the retention periods for the Commercial Audit Trails as 7 years or contract duration which may be longer..

3.2.1.2 Change Control Documentation

Change Control is an agreed process, through which changes to Horizon are defined, notified, impacted and costed, authorised and controlled. Documentation that falls into this group include :

- Change Requests (CR)
- Change Proposals (CP)
- Commercial Terms (CT)
- Commercial Terms Signature Sheet (CTSS)
- Change Control Notes (CCN)
- Request for Work Package (RWP)
- Change Work Package (CWP)



Audit Trail Functional Specification
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- Documents that are output from the process and which represent the audit trail of proposed changes and their outcome form part of the Commercial Audit Trail.
- Retention: Contract life or seven years whichever is the greater.

3.2.1.3 Special Assistance Invoices

Schedule E enables RMG BU to charge for costs incurred in assisting Post Office Ltd with audit activities following contract termination. Records relating to time spent and expenses will be maintained on a case by case basis.

Retention: Contract life or seven years whichever is the greater.

3.2.1.4 Development Activity Invoices

Where development activities are entered into under the terms of the revised contract invoicing will be in accordance with Schedule D1.

Retention: Contract life or seven years whichever is the greater.

3.2.1.5 Contracts with Sub-Contractors

Access is limited to contractual and service related arrangements.

Retention: Contract life or seven years whichever is the greater.

3.2.2 Excluded Items

The following items are outside the scope of 'Records' as defined in Schedule 1:

- Financial arrangements with RMG BU sub-contractors.
- Financial and employment arrangements with RMG BU employees, both direct and contract.
- The RMG BU Business Case.
- General accounting information including funding.
- Reports from and to Fujitsu Services HQ or Fujitsu Group, Japan.

There may be other documents or records that are subsequently added to this list.

3.2.3 Caveats

There are two caveats that apply to the above lists:

- Special access to records not identified as 'included' may be granted on a case-by-case basis, subject to request and approval at the appropriate level.
- The scope of access to records identified as 'included' must be agreed as part of agreeing the terms of reference for an audit. If records and/or documents are identified during an audit that were not included in the original terms of reference, RMG BU Internal Audit will facilitate the release of these records and/or documents through the appropriate channels subject to the records not being on the 'Excluded' list.