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ACCEPTANCE REPORT FOR HNG-X ACCEPTANCE GATEWAY 4

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Document Title:	ACCEPTANCE REPORT FOR HNG-X ACCEPTANCE GATEWAY 4
Document Reference:	REQ/GEN/ACS/0003
Release:	Release specific
Abstract:	This document comprises the Acceptance Report for HNG-X Acceptance Gateway 4. It provides details of the Acceptance status of all POL requirements associated with this Acceptance Gateway together with the rectification details of the Acceptance Incidents arising from previous Acceptance Gateways. It is for submission to the HNG-X AG4 Acceptance Board.
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Security Risk Assessment Confirmed	NO

Approval Authorities:

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Dave Cooke	FS HNG-X Acceptance Manager	See Dimensions for record	

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

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0 Document Control

0.1 Table of Contents

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0.2   Document History

Version No.	Date	Summary of Changes and Reason for Issue	Associated Change - CP/PEAK/PPRR Reference
0.1	19-Feb-2010	Initial version	
0.2	01-Mar-2010	Updates following joint review. Updates to the following sections: - • General updates to include previous Requirements and AI status	
0.3	15-Mar-2010	Updates following joint review. Updates to the following sections: - • General updates to include previous Requirements and AI status	
0.4	22-Mar-2010	Updates following joint review. Updates to the following sections: - General updates to include previous Requirements and AI status	

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Version No.	Date	Summary of Changes and Reason for Issue	Associated Change - CP/PEAK/PPRR Reference
0.5	30-Mar-2010	Updates following joint review. Updates to the following sections: - • General updates to include previous Requirements and AI status • Section 1.3 completed	
0.6	07-May-2010	Updates following joint review. Updates to the following sections: - • General updates to include revisions to defects and AI status	
0.7	08-June-2010	Updates following joint review. Updates to the following sections: - • General updates to include revisions to defects and AI status • Various POS-NFRs now moved to section 2.4.4.1 following closure of defect 11403 • AI-TS-019 changed severity from Low to Medium – see SEC-3154 (section 2.4.3) and section 4.1.2 • New Low AIs added to SEC-3204 (section 2.4.3) • New Low AI added to SEC-3354 (section 2.4.3) • New Low AIs added to SEC-3212 (section 2.4.3) • AI-AD-104 (Medium –Postal services message) Closed • AI-TS-1001 (High – Patch Management) reduced to Medium severity • AI-NT-1001 (Security Risk Management) Closed • Appendix E and F updated to record additional AI closures	
0.8	21-June-2010	Revisions following POL review as follows :- • Review and distribution personnel amended • Appendix E and totals revised to include further closed defects / AIs	
1.0	23-June-2010	Issued to AG4 Acceptance Board	

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Version No.	Date	Summary of Changes and Reason for Issue	Associated Change - CP/PEAK/PPRR Reference
2.0	07-July-2010	Revised to reflect changes presented to AG4 Board arising from new Als and completion of Delayed tests: - • AI-TS-058 (Low) and AI-TS-059 (medium) introduced • MIG-3071 moved from Delayed to Failed • SVC-848 moved from Delayed to failed (no POL impact) • SVC-839, 850, 856, 858, 817, 818, 816, 846 removed from Delayed Test as they have now passed • Figures in sections 3 and 4 revised Decision of AG4 Board to proceed through AG4 Gateway recorded in section 1.4	

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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.*

Review Comments by :	
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HNG-X Programme Manager	Alan D'Alvarez
HNG-X Solution Architect	Pete Jobson
POL HNG-X Programme Manager	Will Russell
POL HNG-X Requirements Manager	Phil Norton
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HNG-X Testing Manager	Debbie Richardson
POL HNG-X Testing Manager	Lee Farman
POL Head of information Security	Sue Lowther

Optional Review	
Role	**Name**
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RMGA Commercial Director	Guy Wilkerson
POL HNG-X Senior Contracts and Service Manager	Liz Tuddenham
Issued for Information – Please restrict this distribution list to a minimum	
Position/Role	**Name**
POL Head of Projects	Mark Burley

(*) = 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	RMGA HNG-X Generic Document Template	Dimensions
			Schedule B6.3 – HNG-X Acceptance Process	Dimensions
REQ/GEN/ACS/0001	1.0	01-Mar-2010	Acceptance Report for HNG-X Acceptance Gateway 1 & 2	Dimensions
REQ/GEN/ACS/0003	2.0		Acceptance Report for HNG-X Acceptance Gateway 3	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

0.6   Glossary

Term	Definition

0.7   Changes Expected

Changes

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0.8 Accuracy

Fujitsu Services endeavours to ensure that the information contained in this document is correct but, whilst every effort is made to ensure the accuracy of such information, it accepts no liability for any loss (however caused) sustained as a result of any error or omission in the same.

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.

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1   Introduction

This document comprises the HNG-X Acceptance Report to the HNG-X Acceptance Board for the assessment of the progression through Acceptance Gateway 4 (AG4) – Readiness for Branch Migration and as consequence to have achieved HNG-X Initial Acceptance.

The basis for HNG-X Acceptance is defined in Schedule B6.3 and some sections are reproduced within this report.

The HNG-X Requirements and HNG-X Acceptance Criteria are contained in the HNG-X Requirements Catalogue and represent POL DOORS archive v2.00

Those HNG-X Acceptance Criteria allocated (in the HNG-X Acceptance Plan) to the Live Pilot Stage (ending at AG4) are contained in Appendix A.1.

Those HNG-X Acceptance Criteria allocated (in the HNG-X Acceptance Plan) to the preceding Test and Validation Stage (ending at AG3), including those allocated to achieving progression through Acceptance Gateways AG1 & AG2, are contained in Appendix A.2.

The definition of the HNG-X Acceptance Methods is contained in Appendix B.

The definition of the Acceptance Incident Severity is contained in Appendix C.

1.1   Scope

The purpose of this Acceptance Board is: -

'To agree the Acceptance status of the relevant Release (*HNG-X Release 1 for AG4)* and provide a recommendation to the 'Joint Release Authorisation Board'.' The proposed options that this Board can select from are described in Appendix D.

This recommendation is based on an assessment of the status of the applicable POL Requirements and Acceptance Criteria and of the stage progression criteria for AG4 as described in Schedule B6.3.

The primary assessment concerns the status of all Acceptance Incidents, the workarounds required and all applicable HNG-X Rectification Plans or target rectification timescales as follows:-

Progression through HNG-X Acceptance Gateway 4 shall occur once all of the following have been satisfied for the HNG-X Acceptance Criteria allocated to achieving progression through the respective HNG-X Acceptance Gateway:

(a)   subject to paragraph 4.6 *(of Schedule B6.3 which refers to dispute handling, defect aggregation and deferred tests)*, all such HNG-X Acceptance Criteria have been achieved;

(b)   there are no outstanding HNG-X High Severity Acceptance Incidents;

(c)   the number of outstanding HNG-X Medium Severity Acceptance Incidents is five or fewer and:-

    i.   an agreed workaround exists for each of them

    ii.   an agreed HNG-X Rectification Plan exists for each of them unless, exceptionally, the parties agree that this is not required

(d)   there is an agreed workaround for all outstanding HNG-X Low Severity Acceptance Incidents except for those which the Parties agree do not require a workaround, and:-

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i. there exists a target timescale for rectification except where the parties agree that this is not required

(e)   details of all Non Incidents are recorded, although they shall have no impact upon Acceptance Gateway progression

Progression through AG4 is also dependant upon the achievement of those HNG-X Acceptance Criteria that were allocated (in the HNG-X Acceptance Plan) to the preceding Test and Validation Stage (ending at AG3) and:-
(a) were found to be defective and were agreed to be Deferred Fix Status on the understanding that a fix would be effected during the Live Pilot Stage or
(b) it was impossible for a test to be carried out when scheduled in the HNG-X Acceptance Plan and that test was agreed to be a "Deferred Test" on the understanding that the test would be carried out during the Live Pilot Stage.

These together with other supporting factors are summarised in the following checklists for AG4.

It should be noted that there are also defects that are not linked to POL Requirements and which are not the subject of Acceptance Incidents. A separate assessment of the status and significance of these has been undertaken and this will be available for consideration at the Release Authorisation Board.

1.2   HNG-X Rectification Plans

All Acceptance Incidents will have an agreed workaround except those for which the Parties agree such a workaround is not required.

Each Low Severity Acceptance Incident will have a target timescale for rectification except those for which the Parties agree such a target timescale is not required.

Each Medium Severity Acceptance Incident will have an HNG-X Rectification Plan except where the Parties agree that a rectification plan is not required. Each rectification plan will include:-

(a)   A statement of the operational impact and any necessary temporary procedures to be adopted by the users

(b)   A description of how the rectification is to be achieved; and

(c)   A timetable for the rectification

The rectification plans for each of the Medium Severity Acceptance Incidents are contained in section 4.1.

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1.3   Acceptance Board assessment checklist for AG4

References in this table refer to the HNG-X Acceptance Schedule B6.3.

Programme Stages. Schedule 6.3 paragraph 2.2.4 identifies the three key stages during which the HNG-X Acceptance Process takes place. The current period is:-		**Live Pilot**	
Acceptance Gateways. Schedule 6.3 paragraph 4.3 identifies three key HNG-X Acceptance Gateways controlling progression through the HNG-X Acceptance Process Stages plus two additional Acceptance Gateways. This gateway is:-	Start of Live Monitoring	**Acceptance Gateway 4.**	Check list.
		Initial Acceptance	
		Second of three key HNG-X Acceptance Gateways.	
Sequence. The sequence of HNG-X Acceptance Process stages and the order of precedence for Acceptance Gateways is defined in schedule 6.3 section 2.2	Live Monitoring shall not commence until confirmation that it may do so is given in writing to Fujitsu Services by the Post Office Release Authorisation Board (RAB).	Passage through AG3 is implicit.	✓
Assessment of the HNG-X Requirements Catalogue, for Achievement, Fulfilment and Compliance. — **The HNG-X Acceptance Plan.** For all HNG-X Requirements, Fujitsu Services is responsible for producing, within the timescale agreed between the Parties, evidence to demonstrate that the relevant HNG-X Acceptance Criterion has been met. 4.6.4 If, other than as a result of a Default of Fujitsu Services, it is impossible for a test to be carried out when scheduled in the HNG-X Acceptance Plan then that test becomes known as a "Delayed Test". The non-occurrence of a Delayed Test at the time originally scheduled in the HNG-X Acceptance Plan will not prevent HNG-X Stage Progression, HNG-X Final Acceptance or progression through HNG-X Acceptance Gateways 1 or 2.		With the exception of those tests agreed to be Delayed Tests, all tests have been carried out when scheduled in the HNG-X Acceptance Plan.	✓
Delayed Tests. 4.6.4 Delayed Tests will be carried out as soon as reasonably practicable or at such later time as the Parties may agree (which shall be no later than six months after HNG-X Final Acceptance) provided that performance on that agreed date does not, other than as a result of a Default of Fujitsu Services, become impossible (in which event the Delayed Test shall be carried out as soon as reasonably practicable). *Contract Schedule 6.3 will need revising (from v1.0) to change the reference from Deferred Test to Delayed Test.*		The total number of Requirements with one or more Delayed Tests (but no Acceptance Incidents) equals:	4
Achievement, Fulfilment & Compliance. Gateway progression shall occur when 4.5.4.2 (a) subject to paragraph 4.6, all (such) HNG-X Acceptance Criteria have been achieved. Tests have identified a number of HNG-X Acceptance Incidents and these are summarised below. Otherwise, (and with the exception of Delayed Tests), Test demonstrate that all other HNG-X Acceptance Criteria have been met.		With the exception of those Requirements with Delayed Tests and those that are the subject of Acceptance Incidents (noted below), all AG 4 Acceptance Criteria have been achieved (4.5.2.1(a)).	✓

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HNG-X Acceptance Incidents recorded. Each of which was caused by the introduction of changes arising from Project HNG-X and/or the Associated Change Activities that are subject to the HNG-X Acceptance Process and	Results in a defect that would render a key element of one or more of the Business Capabilities and Support Facilities or a key element of the Infrastructure unfit for operational use.	High Severity	None allowed (4.5.2.1 (b)).	0
	Results in a defect that would cause problems in the operational use of one or more Transaction types.	Medium Severity	Five or fewer allowed (4.5.2.1 (b)) and -	3
			each has an agreed workaround and -	✓
			an agreed Rectification Plan.	✓
	Results in a defect that does not cause any adverse operational impact in the use of the Business Capabilities and Support Facilities or an element of the Infrastructure, or can be addressed by a Fujitsu Services workaround without any adverse operational impact for Post Office.	Low Severity	Contract does not specify a limit on the number but -	129
			each has an agreed workaround (unless agreed otherwise) and -	✓
			a target timescale for rectification.	✓
	Was found: not to be a defect, not to have resulted from the introduction of HNG-X or not to fall within the high, medium or low categories.	Non Incident	Need not be counted for Acceptance but resolution will be managed in QC & Peak.	15
Acceptance Disputes. In accordance with Schedule 6.3 paragraph 4.6 the parties agree that:			There are no unresolved Acceptance Disputes.	✓

1.4 Acceptance Decision

The AG4 Acceptance Board was held on 29/06/10 and approval to proceed through AG4 was granted. The Board agreed that:

"Approval is given to proceed through AG4. This approval is given without prejudice to any claims for loss or damages arising out of the delays to the date of planned completion of end May 2010 up to the date hereof and in respect of any additional delay arising out of the default of Fujitsu"

This decision was discussed at the corresponding Release Authorisation Board and recorded in the minutes of these meetings.

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2 Review of status of Acceptance Criteria

This section shows the status of the POL requirements for Acceptance Gateway 4 (all of which are Non-Functional requirements) together with the overall position for all Acceptance Criteria to date – i.e. from Acceptance Gateways 1,2,3 and 4. Details for the previous Acceptance Gateways can be found in the relevant report.

2.1 Criteria for assessment at Acceptance Gateway 4

The non functional Acceptance Criteria associated with Acceptance Gateway 4 and their status is as follows: -

Count of Status		Status			
Verification Method	Delayed Test (see 2.3.2)	Failed (Deferred Fix) (see 2.4.4)	Failed (No POL impact) (see 2.4.4.1)	Passed	Grand Total
Document Review				1	1
Design Walkthrough				1	1
Monitoring	1			5	6
Statement of Fact				12	12
Solution Test			1	18	19
Release Validation Test	1			2	3
Grand Total	2	0	1	39	42

Note: It has been agreed that the 7 AG4 Security Monitoring criteria are re-assigned to AG6. This is due to the limited assessment time available in Pilot. These criteria together with the existing AG6 Security Monitoring criteria will be subject to joint review as part of the Information Security Management Forum.

In addition MIG-3100 (MO) concerning the completion of the provision of system performance statistics has been agreed to be moved toAG6.

Key to Status

Delayed / Deferred Test – This identifies the number of criteria that are subject to 'deferred test' status. See section 2.3.

Failed (Deferred Fix) – Each Failed Criteria that is subject to a deferred fix is shown in section 2.4. Applicable defects are represented by an Acceptance Incident in section 3

Failed (No POL impact) - This status indicates that a criterion has one or more defects associated with it that has not yet been resolved, but the defect does not have any POL Business Impact and does not result in an AI. These defects are described in section 2.4.4.1.

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2.2 Overall status of all POL Requirements / Use Cases at AG4

The summary position of the current status of all Acceptance Criteria and Use Cases from Acceptance Gateways 1,2,3 and 4 is shown below:-

2.2.1 Functional Requirements – Use Cases

There are 143 Use Cases which constitute the POL functional requirements. Their status was reported in the AG3 Acceptance Report and the current status is as follows: -

Count of Status	Status			
Service Barrel	**Failed (Deferred Fix)**	**Failed**	**Passed**	**Grand Total**
Banking	8		10	18
Branch Accounting	1		17	18
Branch Admin	2		8	10
Branch Support & Control			17	17
Bureau de Change			7	7
ETU	3		1	4
IOP	8		11	19
Postal Services	1		8	9
Retail & Stock Sales	1			1
Shared	1	5	13	19
Cash & Stock Management	3		18	21
Grand Total	**28**	**5**	**110**	**143**

Key to Status

Failed (Deferred Fix) – This indicates that a Use Case has one or more defects associated with it, but that the resolution of these defects have been agreed to be deferred to beyond start of Pilot.

Failed - This status indicates that a Use Case has a defect associated with it that has not yet been resolved. See section 2.4.1. (Note that in this case this relates to test reference data issues and are classed as Non-Incidents).

Applicable defects are represented as Acceptance Incidents in section 3.

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2.2.2 Non-Functional Requirements

The status of the non functional Acceptance Criteria associated with Acceptance Gateways 1, 2 and 3 was reported in the associated Acceptance Reports (see section 0.4). The overall status including AG4 is as follows: -

Count of Status	Status				
Verification Method	Delayed Test	Failed (Deferred Fix)	Failed (No POL impact)	Passed	Grand Total
Document Review	2	8		263 (22 with concession)	273
Design Walkthrough				146 (13 with concession)	146
Monitoring	1			7	8
Statement of Fact				56 (2 with concession)	56
Statement of Obligation				94 (4 with concession)	94
Solution Test		13	13	159 (22 with concession)	185
Release Validation Test	1	3	2	60 (6 with concession)	66
Grand Total	4	24	15	785 (69 with concession)	828

Key to Status

Delayed / Deferred Test – This identifies the number of criteria that are subject to 'deferred test' status. See section 2.1.

Failed (Deferred Fix) – Each Failed Criteria that is subject to a deferred fix is shown in section 2.3. Applicable defects are represented by an Acceptance Incident in section 3

Failed (No POL impact) - This status indicates that a criterion has one or more defects associated with it that has not yet been resolved, but the defect does not have any POL Business Impact and does not result in an AI. These defects are described in section 2.4.4.1.

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2.3 Delayed (Deferred) Test status

The Schedule B6.3 acknowledges that there may be circumstances when previously scheduled testing that was targeted for completion by this Acceptance Gateway cannot now take place. Providing that this is not due to a contractual default by Fujitsu, and the parties agree, then the tests associated with a POL requirement may be delayed – this is known in the contract as a 'Deferred Test'. Fujitsu are still obliged to carry out these 'Deferred Tests'.

For this Acceptance Gateway, Either Fujitsu or Joint Test Team has requested that tests associated with the following requirements are given this 'Deferred Test' status. Quality Centre does not record this status and so the current QC status is shown for each criterion.

2.3.1 Delayed Test Status – remaining from AG3

2.3.1.1 Non-testable delayed test criteria – remaining from AG3

The following HNG-X Acceptance Criteria were identified as having delayed test status at AG3 but it was not expected that the test would be carried out during the Live Pilot Stage: They retain this status at AG4.

Original Object Id	Original Object text	Acceptance Criteria	Verification Method	Status / Impact
SEC-3061	By provision of an appropriate architecture for HNG-X and associated service operation, Fujitsu Services shall protect Post Office from liability for information security threats to a similar extent that Post Office is protected by Baseline Horizon unless otherwise agreed with Post Office Information Security.	Review of documentation and agreed waivers prior to going live shows that all other security requirements have either been accepted or, where not, waivers have been agreed by Post Office Information Security.	DR	The assessment of this criterion cannot conclude until all other Security criteria have been assessed. (QC status = No Run)
SEC-3060	By provision of an appropriate architecture for HNG-X and associated service operation, Fujitsu Services shall protect Post Office from liability for information security threats to a similar extent that Post Office is protected by Baseline Horizon unless otherwise agreed with Post Office Information Security.	Review of documentation and agreed waivers on completion of ST tests shows that all other security requirements have either been accepted or, where not, waivers have been agreed by Post Office Information Security.	DR	The assessment of this criterion cannot conclude until all other Security criteria have been assessed. (QC status = No Run)

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2.3.2 Delayed Test Status – introduced at AG4

The Joint Test Team has advised that testing of the following criteria will not complete before the AG3 Acceptance Board. Accordingly they are to be given 'Deferred Test' status.

Original Object Id	Original Object text	Acceptance Criteria	Verification Method	Status / Impact
SER-2201	Fujitsu Services shall report Major Business Continuity incidents to the Post Office promptly in accordance with the timescales and through contact point described in POA Customer Service Incident Management Process Details (CS/PRD/074).	Business Continuity Tests are defined and contained within a detailed test plan, the successful completion of which shall determine the acceptance of this requirement. To clarify 'successful completion', success criteria will be identified in advance of test execution.	RV	It has not been possible to verify this live operational process within a test environment. The next opportunity for assessment will be the scheduled disaster recovery failover tests whose schedule is described in SVM/SDM/PLA/0035 [Current QC status is No Run]
HLP-76	Fujitsu shall provide the capability to enable POL Ltd to successfully and efficiently upload revised Help material into the Help Facility on an emergency basis	PO Ltd to witness during Pilot that new or revised help material can be uploaded sucessfully	MO	Awaiting feedback on status of recent Help data distributions. Further assessment may take place after AG4.

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2.4 Failed Status

This status identifies those Use Cases or non-functional criteria where one or more applicable defects have been identified.   Details of each of these requirements are shown below. Applicable defects associated with these failed Requirements are shown as Acceptance Incidents and contained in section 3.

2.4.1   Use Case Fails from AG3

Section 2.1 identifies that some Use Cases had the status of failed at AG3, and his status remains at AG4. Successful testing has already taken place on these Use Cases however there is one remaining defect that is causing some remaining tests to be shown as 'failed'.

The defect is: -

- Defect 10738 relates to test reference data for Network Banking and concerns the completion of tests of reference data combinations that do not exist in live. The affected Use Cases are: -

    o   GLB-2221 – Settlement by Debit Credit Card

    o   GLB-438 – Receive Reconciled Transaction Data

    o   GLB-494 – Receive Payment File

    o   GLB-578 – Obtain MID / TID Details

    o   GLB-2299 – Obtain Card Transaction or Reversal Authorisation

    For Acceptance purposes this defect is classed as 'Non-Incident' and does not contribute to progression through AG4.

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2.4.2 Non-Testable Fails from AG3

Section 2.2.2 identifies that a number of non-testable POL requirements had the status of failed at AG3 and this status remains at AG4 – details are shown below.

Original Object Id	Original Object text	Acceptance Criteria	Verification Method	Status
ARC-422	Fujitsu Services shall make available to POL an accurate and technically complete set of documentation describing the Solution Baseline Documentation Set, excluding legacy components where existing Horizon documentation may be retained.	The Solution Baseline documentation shall be provided to POL in accordance with the timetable stated in B6.2 and shall comprise the documents or other artefacts that are agreed between Post Office and Fujitsu Services according to Schedule B6.2.	DR	Some documentation not yet baselined. This is an Acceptance Incident - AI-NT-015 (Low) / defect 12505. Latest status of SBDS is here:- D:\PROFILES\cooked My Documents\My Dc Note that a revised set of contractual and design limit volumes have been agreed and are found here. D:\PROFILES\cooked My Documents\My Dc These will be incorporated into :- • ARC/PER/ARC/0001 – Systems Qualities Architecture (SBDS) • PA/PER/033 (or HNG-X equivalent) – Capacity Management and Business Volumes (CCD)

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Original Object Id	Original Object text	Acceptance Criteria	Verification Method	Status
MIG-3017	Physical security of any infrastructure components, including Branch base units, which contain any business or security sensitive information, shall not be compromised by processes developed and implemented for the migration from Baseline Horizon to HNG-X	Evidence of joint agreement to the migration processes affecting the security of physical infrastructure and the risks to business or security sensitive information.	DR	This is awaiting assessment of the migration decommissioning plan and is being progressed via the regular joint security forum. This is an Acceptance Incident - AI-NT-014 (Low) / defect 12489.
SEC-3167	{CISP 8.5.1g} Data over Wide Area Networks shall be encrypted unless specifically agreed in the relevant Technical Interface Specification or where otherwise specifically agreed by Post Office Limited Information Security. The Fibre Optic link between Data Centres is not considered to be a Wide Area Network. The requirement applies to transaction data between branches and the data centre(s).	Evidence of the Requirement in the Design.	DR	This defect requests clarification on which network security protocols apply to each of the relevant WAN connections. The existing details in the Technical Network Architecture will be updated to provide these details. This is an Acceptance Incident - AI-NT-004 (Low) / defect 7307.
SEC-3201	Logon to Counter Terminals must provide equivalent security to that provided by logon via native operating systems.	Review of Report prepared by an independent security expert (appointed by FS) confirms that the design of this critical security mechanism is sound.	DR	The Comsec report identified a number of defects that are being progressed and reviewed via the joint security forum. The PEAKs are :- PC0188679 (which incorporates PC0188681), PC0188685, PC0188107. This is an Acceptance Incident – AI-NT-003 (Low) / defect 12315.

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Original Object Id	Original Object text	Acceptance Criteria	Verification Method	Status
SEC-3083	The security measures appropriate for HNG-X, including those appropriate during the migration from Baseline Horizon, shall be determined by Fujitsu Services by means of a HNG-X System Risk Assessment which covers the HNG-X Service Domain. It is recognised this may increase costs if the scope of the contract is extended.	Evidence to support the determination of what security measures are considered as being appropriate for HNG-X	DR	This is awaiting assessment of the migration decommissioning plan and is being progressed via the regular joint security forum. This is subject to Acceptance Incident AI-NT-011 (Low) / defect 12384
SEC-3314	Fujitsu Services shall establish, operate and maintain an Information Security Management System compliant with ISO27001 that covers all aspects of HNG-X under their control.	Periodic evidence that FS are (via an agreed forum) reviewing with POL the progress and status of the milestones that relate to the implementation of the ISO27001 programme in FS.	DR	This defect comprises one of a set relating to the completion and establishment of the Security Risk Management process and the validation of the associated controls. This is due for resolution by end July 2010 and is being progressed via the regular joint security forum. This is subject to Acceptance Incident AI-NT-013 (Low) / defect 12387.
MIG-3015	Fujitsu shall agree with Post Office Ltd any security provisions employed during the migration process for interim data storage areas and/or data transmission paths across the Horizon Network. Details of how this Security requirement will be met, shall be jointly agreed and shall be included in the Migration Plan.	Evidence of joint agreement to the migration processes affecting data storage and data transmission paths.	DR	This is awaiting assessment of the migration decommissioning plan and is being progressed via the regular joint security forum. This is subject to Acceptance Incident AI-NT-010 (Low) / defect 12382

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Original Object Id	Original Object text	Acceptance Criteria	Verification Method	Status
SEC-3172	Cases requiring encrypted data to pass through any HNG-X firewall layer shall only be authorised by Post Office where a risk assessment has identified that the requirement for confidentiality outweighs the requirement for system availability and integrity	Approval of the authorisations process	DR	This defect identifies that the authorisation process will become part of the overall BAU joint security forum / ISMF, once the Risk management processes are established. This is subject to Acceptance Incident AI-NT-016 (Low) / defect 12873

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2.4.3 Testable Non-Functional Fails from AG3

This section comprises those POL non-functional requirements that had the status of failed at AG3 and where this status remains at AG4. The equivalent set that has been introduced at AG4 is shown in section 2.4.4.

The AG3 fails that remain as fails at AG4 are as follows:-

- 10 are subject to Acceptance Incidents and are shown in the table below. (The total of non-functional fails for AG3 and AG4 is 16).

- 6 have failed but where the associated defect has been assessed by POL as not having any business impact. These are contained section 2.4.4.1. (The total of non-functional fails for AG3 and AG4 with no POL business impact is 15.)

Original Object Id	Original Object text	Acceptance Criteria	Verification Method	Status
HLP-110	The Search Facility within Help shall allow the use of key words, sentences, wildcard and match all characters	Evidence that the search facility allows users to type in search criteria and returns the correct details	ST	Subject to Acceptance Incident AI-AD-102 (Low) / defect 11747.
MIG-2994	For any services that support serving customers in Post Office branches: full resilience, failover capability and a means of providing Disaster Recovery (for example by reversion to an alternative Data Centre) shall be supported Monday to Friday 08.00 to 18.00 and Saturday 08.00 to 14.00. Outside these times, resilience and immediate DR may be removed (during migration) providing it can be restored as documented in Migration Strategy	Tests to demonstrate disaster recovery are defined and contained within a detailed test plan, the successful completion of which shall determine the acceptance of this requirement. To clarify 'successful completion', success criteria will be identified in advance of test execution	RV	Subject to Acceptance Incidents AI-AD-005 (Low)\n\n41 tests have passed, 15 are no Run and 2 have failed.\n\nThis criterion is also linked to many other defects all of which have been assessed by POL as having no Business Impact.
SEC-3141	All passwords transmitted across any internal or external network shall be encoded such that it is infeasible for an interceptor to deduce the password.	Evidence of no reported incidence of passwords being compromised in this way during the testing phase.	ST	Subject to AI-TS-018 (Low) / defect 12827, AI-TS-012 (Low) / defect 12820.\n\nThis criterion is also linked to defects 1746, 1749 – both have been assessed by POL as having no Business Impact.

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Original Object Id	Original Object text	Acceptance Criteria	Verification Method	Status
SEC-3154	{CISP 8.5.1b} Unauthorised logical access from non-HNG-X systems and networks shall be prevented. This shall include but shall not be limited to, unauthorised access from any of the following: Any public networks used. Networks connecting to Third Parties. Networks connecting HNG-X to PO Ltd and/or Royal Mail Group. Other systems operated by the domain supplier on behalf of itself or other clients.	Demonstration of protection (either by simulation of attempts of unauthorised access or by other means). The exact timing and environment for the tests shall be agreed in the test plan but shall in any case be prior to live.	RV	This is subject to Acceptance Incident: - AI-TS-019 (Medium) / defect 12828
SEC-3158	{CISP 8.5.1c} Controls shall protect against denial-of-service attacks originating from non-HNG-X systems including those listed in Requirement SEC-3152	Demonstration of protection (either by simulation of attack or by other means)	RV	This is subject to Acceptance Incidents: - AI-TS-018 (Low) / defect 12827 AI-TS-023 (Low) / defect 12835
SEC-3164	{CISP 8.5.1e} Network management staff within each domain shall be alerted to any attempt to reach the HNG-X systems in their domain from unauthorised network addresses.	Demonstration of alert signal (either by simulation of attack or by other means)	ST	Subject to Acceptance Incident AI-AD-136 (Low) / defect 11932
SEC-3202	Logon to Counter Terminals must provide equivalent security to that provided by logon via native operating systems.	Tests show logon is as per design reviewed in SEC-3201 but with any recommendations resulting from the review applied.	ST	Subject to Acceptance Incident AI-NT-003 (Low) / defect 12315 The PEAKs are PC0188679 (which incorporates PC0188681), PC0188685, PC0188686, PC0188107.

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Original Object Id	Original Object text	Acceptance Criteria	Verification Method	Status
SEC-3204	The Horizon Access Control Policy RS/POL/003 shall apply but shall be updated to reflect the change in policy due to HNG-X or other agreed security requirements. Such update shall include at least the following password requirements: Minimum password length of 7Minimum password history length of 4.	As per the Requirement	ST	Subject to Acceptance Incidents: - AI-TS-045 (Low) / defect 13781 AI-TS-046 (Low) / defect 13077 AI-TS-047 (Low) / defect 13431 AI-TS-048 (Low) / defect 13432 AI-TS-049 (Low) / defect 13019 This criterion is linked to other defects, all of which have been assessed by POL as having no Business Impact.
SEC-3257	The logical security perimeter of the HNG-X system shall be defined and agreed with Post Office Information Security.	Tests to demonstrate the security perimeter are defined and contained within a detailed test plan, the successful completion of which shall determine the acceptance of this requirement. To clarify 'successful completion', success criteria will be identified in advance of test execution.	ST	This is subject to Acceptance Incidents: - AI-TS-012 (Low) / defect 12820 AI-TS-014 (Low) / defect 12822 AI-TS-015 (Low) / defect 12823

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Original Object Id	Original Object text	Acceptance Criteria	Verification Method	Status
SEC-3354	All cryptographic key lengths shall be at least 128 bits for symmetric keys and at least 1024 bits for asymmetric keys where the associated cryptographic control protects the integrity or confidentiality of HNG-X Business Data, Reference Data or Application Software unless otherwise agreed with Post Office Information Security. Note: Post Office is highly unlikely to agree to any shorter keys lengths (even for COTS products). For the avoidance of doubt, access to the TES Query service is not covered by this requirement but by requirement SEC-3310.	Tests to demonstrate compliance are defined and contained within a detailed test plan, the successful completion of which shall determine the acceptance of this requirement. To clarify 'successful completion', success criteria will be identified in advance of test execution.	ST	Subject to Acceptance Incident AI-TS-050 (Low) / defect 13078. This criterion is linked to other defects including 12306, all of which have been assessed by POL as having no Business Impact.

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2.4.4   Testable Non-Functional Fails introduced at AG4

Section 2.1 identifies any AG4 criteria that have failed. In addition some of the 'Delayed Test' AG3 criteria are now classed as 'Failed'.   These break down as follows:-

- 6 AG3 delayed test criteria are now classed as 'Failed / Deferred Fix' and are subject to Acceptance Incidents and are shown in the table below. (The total of non-functional fails for AG3 and AG4 is 16).

- 9 are classed as Failed but the associated defect has been assessed by POL as not having any business impact. These are not subject to any Acceptance incidents and are contained section 2.4.4.1. (The total of non-functional fails for AG3 and AG4 with no POL business impact is 15.)

Original Object Id	Original Object text	Acceptance Criteria	Verification Method	Status
SEC-3135	All new developments will protect databases from SQL injection attacks mounted through data centre perimeter controls such as firewalls.	Demonstration of protection (either by simulation of attack or by other means)	ST	This is subject to Acceptance Incident:- • AI-TS-034 (Low) / defect 13108 (QC Status = Failed)
SEC-3348	A risk assessment will be undertaken for retained functionality in the area of SQL injection attacks under HNG-X.	Demonstration of protection (either by simulation of attack or by other means)	ST	This is subject to Acceptance incident:- • AI-TS-035 (Low) / defect 13112 (QC Status = Failed)

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Original Object Id	Original Object text	Acceptance Criteria	Verification Method	Status
SEC-3212	It shall not be possible to install any application or operating system extension except under the control of properly authorised and authenticated systems administrators carrying out authorised and audited changes.	As per the Requirement	ST	This is subject to Acceptance Incidents:- • AI-TS-040 / defect 13141 • AI-TS-041 / defect 13147 which are aggregated into a single AI, AI-TS-1001 (Medium) Also, • AI-TS-042 (Low) / defect 13148 • AI-TS-051 (Low) / defect 13142 • AI-TS-052 (Low) / defect 13143 • AI-TS-053 (Low) / defect 13144 • AI-TS-054 (Low) / defect 13145 • AI-TS-055 (Low) / defect 13146 • AI-TS-056 (Low) / defect 13150 • AI-TS-057 (Low) / defect 13151 (QC Status = Failed)
ARC-468	Provision of the backup network shall not increase the end to end timescales for branch installations (i.e. it should not be on the critical path) unless agreed otherwise with PO Ltd. The in branch installation time may be higher.	Tests to demonstrate network connectivity for portable office configurations are defined and contained within a detailed test plan, the successful completion of which shall determine the acceptance of this requirement. To clarify 'successful completion', success criteria will be identified in advance of test execution	ST	51 Branch Router tests have passed with 14 failed due Acceptance Incident AI-TS-031 (Low) / defect 12795. (QC status = Failed)

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Original Object Id	Original Object text	Acceptance Criteria	Verification Method	Status
SEC-3113	Fujitsu Services shall provide a list of measures that will be taken to mitigate the risk of unauthorised devices being connected to any component of the HNG-X system, with the exception of passive devices within the Branch. A "passive device" is one which takes no active part in the communications or processing e.g. a LAN sniffer.	Evidence that all measures achieve the requirement	ST	This is subject to Acceptance Incidents- • AI-TS-043 (Low) / defect 13539 • AI-TS-044 (Low) / defect 13430 (QC Status = Failed)
MIG-3071	Both Horizon counters and HNG-x counters shall be capable of receiving and applying all forms of reference data driven changes (including both OBC and ADC) during the migration period.	As per the Requirement	ST	This is subject Acceptance incident AI-TS-039 (Low) / 12964. (QC status = Failed)

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2.4.4.1 Failed POL Requirements / not subject to Acceptance incidents

Details of those failed HNG-X Acceptance Criteria that are not subject to an AI are listed below and contained in the embedded spreadsheet below. This is due to POL's assessment that the associated defects do not have any POL Business Impact.

From AG3

MIG-2983 (ST), SER-2140 (ST), SEC-3101 (ST), ARC-464 (ST),

ARC-476 (RV).

MIG-3045 (RV) – Remaining tests will not be run.

From AG4

SEC-3309 (ST), POS-NFR-213(ST), POS-NFR-253(ST), POS-NFR-259(ST), POS-NFR-285(ST),

POS-NFR-292(ST), POS-NFR-293(ST), POS-NFR-295(ST), SVC-848

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3 Review of status of Acceptance Incidents

The Acceptance Incidents listed below have been raised because the acceptance evidence has failed to demonstrate that the HNG-X Acceptance Criteria have been achieved. They have been classified into four groups: -

- Those arising from testable HNG-X Acceptance Criteria with defects whose resolution has been agreed to be deferred until after Initial Acceptance. These have an identifier of AI-AD-nnn

- Those arising from non-testable HNG-X Acceptance Criteria with defects whose resolution has been agreed to be deferred until after Initial Acceptance. These have an identifier of AI-NT-nnn.

- Those arising from HNG-X Acceptance Criteria with defects where no formal deferral discussions have taken place. All AG4 Acceptance incidents are in this group. These have an identifier of AI-TS-nnn.

- Those raised by POL in accordance with the provisions described at paragraphs 6.1.2 of contract schedule B6.3.

3.1 Acceptance Incidents summary at AG3

The status of the Acceptance Incidents at AG3 was as follows: -

Severity	AI-AD – Agreed Deferred	AI-NT – Non Testable	AI-TS – Test	Total
Low	116	5	25	146
Medium	0	1	1	2
High	0	0	0	0

The Medium severity AIs at AG3 were:-

- Medium AI = AI-NT-1001 - This AI comprises those defects that relate to the completion and establishment of the Security Risk Management process and the validation of the associated controls. Defects are - 2309, 2312, 3503, 11295, 11299, 12384, 12489, 12386, 12382 – all now closed.

- Medium – AI-TS-030 – Packet size over Orange WWAN – now Closed.

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3.1.1   Individual Acceptance Incidents summary at AG3

The number of Acceptance Incidents at AG3 included a number of aggregated AIs - the total of individual AIs is shown below. These figures will be used as the starting position against which the number of new AIs and closed AIs will be tracked.

AI-AD – Agreed Deferred	AI-NT – Non Testable	AI-TS – Test	Total
148	15	26	189

3.2   Acceptance Incidents – additions / closures at AG4

This section identifies the changes to AI status that have occurred since AG3 comprising AI closures, changes to AI severity and newly introduced AIs.

3.2.1   AIs raised during Live Pilot Stage

These AIs have been raised during Live Pilot stage and remain at AG4. They are detailed in sections 4.2.1, 4.2.2 & 4.2.3. Their severity ratings are: -

Acceptance Incident Severity	AI-AD	AI-NT	AI-TS
Low	5	1	24
Medium			2 (see Note)
High			
Total	**5**	**1**	**27 (see Note)**

Note:

The Medium AIs comprise:-

- AI-TS-1001 - concerns Patch Management and is made up of two individual AIs – AI-TS-040 / defect 13141 and AI-TS-041 / defect 13148
- AI-TS-058 – concerns Cash Declarations

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3.2.2 AI closures

The AIs that have been closed since AG3 are summarised here and detailed in Appendix E and F.

Severity	AI-AD – Agreed Deferred	AI-NT – Non Testable	AI-TS – Test	Total Closed
Low	42	7	16	65
Medium	1	0	1	2
High	0	0	0	0

The Medium AIs that have been closed since AG3 are:-

- AI-AD-104 (defect 11403 / PC0186775) – Postal Services warning message.
    - Note that this changed severity from Low to Medium between AG3 and AG4.
- AI-TS-030 (defect 12774 / PC0191739) – Packet size over Orange WWAN

3.2.3 AI change of severity

The following AIs have changed their severity since AG3:-

a) AI-TS-019 (Defect 12828 / Peak PC0191931) – This defect concerns firewall settings and has been discussed and risk assessed in the joint security forum.

This was a Low severity and is now changed to Medium –see section 4.1.

Reason – firewall rule changes to prevent any-any connections on particular firewalls have not yet been applied.

In addition:-

- AI-NT-1001 – Risk Management was raised to a High severity in the period between AG3 and AG4 but has now been resolved and all associated defects / AIs have either been closed or will be progressed on an individual basis. These comprise three migration criteria (see section 2.4.2) where acceptance evidence has been submitted to POL.
- AI-TS-1001 – Patch Management was raised to a High severity in the period between AG3 and AG4 but has now been reduced to a Medium severity – see section 4.1. This is subject to regular review via the joint security forum.

3.3 Acceptance Incident total - Individual

The overall status of all **individual** Acceptance Incidents is as follows: -

Severity	AI-AD – Agreed Deferred	AI-NT – Non Testable	AI-TS – Test	Total
Low	110	9	34	153
Medium			2	2
High				
	110	9	36	155

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3.4 Acceptance Incident Aggregation

Schedule B6.3 (4.6.3) recognises that HNG-X Acceptance Incidents that are agreed to result from the same failure or deficiency, or to affect the same operational process or business function and will be addressed by one fix or a combination of fixes, may be aggregated into a single HNG-X Acceptance Incident for the purposes of the thresholds identified in section 1.2. The following sections contain details of all of the individual Acceptance Incidents and then identifies where aggregation has occurred.

3.4.1 Aggregated AIs from Agreed Deferrals

At AG3 there were 44 individual AIs that were aggregated into 12 Low Severity AIs. At AG4 various AIs have been closed and the net figure is now 32 individual AIs that are aggregated into 10 Low severity AIs.

3.4.2 Aggregated AIs from non-testable criteria

At AG3 there were 10 individual AIs that were aggregated into 1 Medium Severity AI (Risk Management). At AG4 one AI has been split away to facilitate separate management and the remaining 9 individual AIs have now been closed, removing the aggregated Medium severity AI.

3.4.3 Aggregated AIs from testable criteria

At AG4 there are two individual AIs – AI-TS-040 / defect 13141 and AI-TS-041 / defect 13148 concerning Patch Management that have been aggregated into a single Medium AI (AI-TS-1001).

3.5 Acceptance Incident – overall total

The overall status of all Acceptance Incidents is as follows: -

Severity	AI-AD – Agreed Deferred	AI-NT – Non Testable	AI-TS – Test	Total
Low	110 – 32 + 10 = 88	9	34 – 2 = 32	129
Medium			2 + 1 = 3	3
High				
	88	9	35	132

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4 HNG-X Rectification Plans & Target timescales

The rectification planned for the Medium severity AIs are described below.

4.1 Rectification Plans for Medium Severity AIs

4.1.1 AI-TS-1001 – Patch and Vulnerability Management

<u>AI Summary</u>

These defects arose from findings in the Portcullis report and identify that the patch status (including anti-virus) of HNG-X platforms is not up to date.

These are defects 13141 / Peak PC0194037 and 13147 / PC0194043. The affected requirement is SEC-3212.

<u>Operational Impact</u>

The Portcullis review identified that the patch state of HNG-X was not up to date and that there was no process in place to rectify this situation. As a consequence there was a greater risk exposure due to out of date patches and virus signatures. Urgent attention and commitment from senior FS management is required to re-establish patch and virus management as a matter of priority.

<u>Workaround</u>

An initial remedial plan was established and has been implemented. This focussed on deploying IDS and AV signature updates and on identifying critical patches on PCI and Tier 1 platforms. These have been deployed.

<u>Approach to rectification</u>

A plan to review the current process and then to identify and manage the application of necessary patches, virus engines and signatures has been agreed and shared with POL. Key deliverables include an updated process document, the identification of necessary patches etc by platform and the establishment of a Patch Management Board to oversee the on-going process. A firm commitment from FS senior management has also been provided.

The plan deliverables and progress have been discussed with POL, together with details of recently deployed patches and AV signatures. POL now attends the Patch Management Board.

<u>Timetable for Rectification</u>

The Patch Management process and AV process are progressing towards a business as usual operation. The target deployment times have been shared with POL and will operate to a regular cycle, supplemented by an emergency process as needed.

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4.1.2   AI-TS-019 – Arising from Portcullis Pen Test report

AI Summary

This defect relates to an issue raised in the Portcullis Pen test report referenced in paras 9.2, 9.3, 9.4 & 9.8. This defect concerns firewall settings and has been assessed for severity and impact by the joint security forum who will oversee the resolution of this issue.

This is defect 12828 / Peak PC0191931

Operational Impact

This defect arises from the Portcullis Penetration Report and concerns the need to update various firewall configurations to remove the 'any-to-any' rule settings on specific firewalls. In particular the settings on the Branch to Data Centre firewalls have to be revised.

Other security controls are in place to mitigate the risk but it is recognised that these config changes are required.

This issue is being managed and monitored via the joint security forum.

Workaround

No workaround is required since the rectification plan covers all the required actions.

Approach to rectification

Configuration changes have already been applied to various firewalls and actions are in place to complete the task. There is no release dependency on this task, although scheduling the update will take account of the current operational status of HNG-X

Timetable for Rectification

This is expected to be resolved by end of July 2010.

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4.1.3   AI-TS-058 – Obtain Daily Cash on Hand

AI Summary

This defect relates to a Business Equivalence exception concerning the timing of when the Overnight Cash Holdings (ONCH) declaration is done by a branch.

This is defect 13922 / Peak PC0200577

Operational Impact

Under Horizon a Branch can carry out the ONCH cash declaration at any time of the day and with no restrictions on any subsequent trading. The latest cash declaration in a Branch is sent to SAPADS each night to support Cash replenishment.

This defect identifies that HNG-X will not send the ONCH to SAPADS if any transactions have been performed on the stock unit after the cash declaration has been made. In practice this means branches have to carry out this declaration as the last transaction on each stock unit. This is operationally inconvenient as is contrary to the way in which Horizon operates. Branches who are unaware of this restriction will now not received accurate cash replenishments.

Workaround

The workaround requires Branches to carry out the ONCH as the last transaction of the day on each stock unit.

Approach to rectification

Code changes will be applied to the BRDB to remove the limitations described above.

Timetable for Rectification

This is scheduled for resolution in July 2010.

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4.2 Rectification Target timescales for Low Severity AIs

Post Office and Fujitsu have assessed all of the Low Severity AIs arising from AG3 and newly introduced at AG4. Agreements have been reached on the target timescale for rectification and this is expressed either in the form a time period or as target release. In some cases a target rectification time is not required, either because the defect is now closed, is for progression by POL or it is agreed that no rectification is required.

The target timescales are:-

1. Specific time period – mainly associated with non-functional defects (typically establishment of processes or document provision)
2. Security Forum – rectification tasks and timescales are agreed via the joint security forum
3. Functional Release 2 – target timescale is August 2010
4. Release 2 Maintenance or Release 3 – target timescale is October / November 2010
5. Future – this is used for any defects that are agreed as requiring rectification after the releases named above. The rectification status and target timescale will be reviewed again at AG6.

Indicative timescales for these releases are shown above however these are subject to change and will be formally agreed via the joint programme reviews (for the Functional releases) and via the Release Management Form (for the maintenance releases).

The total number of individual Low Severity AIs associated with these Target Releases / timescales is summarised below and detailed in the embedded document below.

Target Release / Timescales	Totals
Specific time period	18
Security Forum	2
Functional Release 2	27
Release 2 Maintenance / Release 3 (See Note)	96
Future	9
POL to Action	3
Rectification timescales not required (Defects / AIs closed)	77 (Includes 10 AIs raised and closed before AG3)
Total	232

Note:

This set of defects has been assessed by POL as having a low business impact and accordingly they have been prioritised to these later releases. POL and FS will jointly review this set to establish a more precise prioritisation and target rectification timescale, taking into account operational experience and the priorities of other changes that are occurring in these releases.

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4.2.1   Target Rectification timescales for AI-AD incidents

The specific target rectification timescales for each of the AI-AD Acceptance Incidents is recorded in the embedded WORD document here.

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My Documents\My Dc

4.2.2   Target Rectification timescales for AI-NT incidents

The specific target rectification timescales for each of the AI-NT Acceptance Incidents is recorded in the embedded WORD document here.

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4.2.3   Target Rectification timescales for AI-TS incidents

The specific target rectification timescales for each of the AI-TS Acceptance Incidents is recorded in the embedded WORD document here.

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A   Applicable POL Requirements and Acceptance Criteria

A.2 AG4 requirements

The POL Requirements and Criteria, contained in the HNG-X Requirements Catalogue – POL DOORS archive v2.00, and associated with AG4 are contained in the embedded spreadsheet.

This contains references to any Concessions.

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A.2 All POL requirements to AG4

The POL Requirements and Criteria, contained in the HNG-X Requirements Catalogue – POL DOORS archive v2.00, and associated with Acceptance gateways 1,2,3 and 4 are contained in the embedded spreadsheet.

This contains references to any Concessions.

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B   Definition of Acceptance Methods

The set of HNG-X Acceptance methods are defined in Appendix D of Schedule B6.3 HNG-X Acceptance Process and reproduced below.

Type	Description
HNG-X Document Review	HNG-X Acceptance Criteria that cannot be objectively verified by a test of HNG-X may be satisfied by Post Office undertaking a HNG-X Document Review. The outcome of any such review will be documented by Post Office in the HNG-X Acceptance Tracking Document. Fujitsu Services will supply a list of documents (and any specific references within such documents) for Post Office review, which may satisfy the agreed HNG-X Acceptance Criteria.
HNG-X Design Walkthrough	HNG-X Acceptance Criteria may be satisfied by Post Office participating in an HNG-X Design Walkthrough led by Fujitsu Services of the Fujitsu Services' design. The outcome of any such HNG-X Design Walkthrough will be documented by Post Office in the HNG-X Acceptance Tracking Document.
HNG-X Solution Test	Tests that are owned and managed by Fujitsu Services with significant collaborative support from Post Office, for the purpose of verifying that the Fujitsu Services' solution for the HNG-X System satisfies the relevant HNG-X Acceptance Criteria. The collaborative team will produce a joint test report presenting the results of the tests.
HNG-X Release Validation	Tests that are run and managed by Post Office with significant collaborative support from Fujitsu Services, for the purpose of verifying that the HNG-X Release satisfies the relevant HNG-X Acceptance Criteria. The combined team will produce a joint test report presenting the results of the tests and provide evidence on any areas of non conformance.
HNG-X Monitoring	Post Office shall specify any need beyond the level of support that Fujitsu Services are required to provide under normal operational practice (such as a report etc). Duration, nature and characteristics to be agreed in advance between Post Office and Fujitsu Services and will take place during Live Pilot or exceptionally during Live Monitoring. The total duration of HNG-X Monitoring and the obligations on Fujitsu Services to produce data/reports to support Post Office monitoring to be agreed between Post Office and Fujitsu Services (each acting reasonably and in good faith) for a particular HNG-X Requirement.
HNG-X Statement of Fact	Where the solution to an HNG-X Acceptance Criterion is self-evident and does not lend itself to formal proving.
HNG-X Statement of Obligation	Relates to HNG-X Acceptance Criterion that represents an ongoing contractual obligation for HNG-X.
Other	Used by exception, to be agreed between the Parties.

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C   Definition of Acceptance Incident Severity

The definition of the severity of an HNG-X Acceptance Incident is defined in Appendix A of Schedule B6.3 HNG-X Acceptance Process and reproduced below.

Severity	Description
High	The HNG-X Acceptance Incident was caused by the introduction of changes arising from Project HNG-X and/or the Associated Change Activities that are subject to the HNG-X Acceptance Process and results in a defect that would render a key element of one or more of the Business Capabilities and Support Facilities or a key element of the Infrastructure unfit for operational use, which could include: a) not allowing Post Office to undertake one or more Transaction types; b) not allowing Post Office to undertake one or more Transaction types using the required business inputs or generating the required business outcome; c) creating system performance issues which are in, or are likely to cause a, breach of Service Level Targets.
Medium	The HNG-X Acceptance Incident was caused by the introduction of changes arising from Project HNG-X and/or the Associated Change Activities that are subject to the HNG-X Acceptance Process and results in a defect that would not prevent operation of one or more of the Business Capabilities and Support Facilities or elements of the Infrastructure, but would cause problems in the operational use of one or more Transaction types.
Low	The HNG-X Acceptance Incident was caused by the introduction of changes arising from Project HNG-X and/or the Associated Change Activities that are subject to the HNG-X Acceptance Process and results in a defect that does not cause any adverse operational impact in the use of the Business Capabilities and Support Facilities or an element of the Infrastructure, or the HNG-X Acceptance Incident can be addressed by a workaround without any adverse operational impact for Post Office.
Non Incident	An incident raised by either Party which, following investigation is found: ➢ not to be a defect; ➢ not to have resulted from the introduction of changes arising from Project HNG-X and/or the Associated Change Activities that are subject to the HNG-X Acceptance Process; or ➢ not to fall within the high, medium or low categories set out in this column.

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D   Acceptance Board recommendation options

It is proposed that the decision of the HNG-X Acceptance Board should comprise one of the following options: -

1. Proceed through Acceptance Gateway.
    i.   Acceptance Gateway criteria have all been met.
    ii. There no Acceptance Incidents that would prevent progression through this Acceptance Gateway

2. Proceed through Acceptance Gateway
    i.   Not all Acceptance Criteria have been met and consequently there are Acceptance Incidents.
    ii. The severity of these Acceptance Incidents is within the limits for progression through this Acceptance Gateway.
    iii. Each Acceptance Incident has an agreed workaround.
    iv. Where required by the contract, all Acceptance Incidents have an agreed rectification plan or a target timescale for rectification

3. Proceed at risk through Acceptance Gateway
    i.   Not all Acceptance Criteria have met and consequently there are Acceptance Incidents.
    ii. The severity of these Acceptance Incidents is within the limits for progression through this Acceptance Gateway.
    iii. One or more workaround, rectification plan or target timescale, is not yet agreed.

4. Do not proceed through Acceptance Gateway
    i.   Not all Acceptance Criteria have been met and consequently there are Acceptance Incidents.
    ii. The severity of these Acceptance Incidents exceeds the limits for progression through this Acceptance Gateway
    iii. Remedial actions are required to address the Acceptance Incidents and / or workarounds.

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E   Closed Acceptance Incidents

The following tables contain summary details of Acceptance Incidents that have been raised as part of Acceptance Gateway 3 but have now been closed.   In addition there are some AIs that are to be resolved by POL or where it has been agreed that no rectification is required. These are shown in a separate table

Closed prior to AG3

AI reference	AI summary	Defect	Peak	Affected requirements	Reason for closure
AI-AD-103 (Low)	Message display during rollover	11802	PC0187803	BAC-3737	Duplicate of AI-AD-071
AI-AD-148 (Medium)	Date offset and ADC datatypes	12540	PC0190965	MIG-3155	Defect resolved.
AI-AD-151 (High)	Card misread	12568	PC0191093	No specific reqt.	Defect resolved.
AI-NT-002 (Low)	Details required of CTO / PHU rollout plans	5835	PC0174745	TR574	Plans provided
AI-TS-001 (Medium)	Incorrect priority of ref data downloads between Sysman and BRDB	12224	PC0189554	ARC-476, MIG-3071	Defect resolved
AI-TS-002 (Low)	Distribution of single Help file	12164	PC0189280	HLP-131, HLP-93, MIG-3071, MIG-3075	Defect resolved

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AI reference	AI summary	Defect	Peak	Affected requirements	Reason for closure
AI-TS-003 (Low)	Incorrect VPN Policy file on counters	11701	PC0187523	MIG-2994	Defect resolved
AI-TS-005 (Medium)	Basket settlement of Transaction Corrections	12338	PC0189900	SEC-3202	Defect resolved
AI-TS-028 (Medium)	Distribution of Help files	12845	None	HLP-131, HLP-93	Defect resolved
AI-TS-029 (High)	Reference data distribution	12888, 12850	PC0192201, PC0192011	MIG-3045, MIG-3078, MIG-3164	Defect now resolved and a successful Branch migration has been achieved.

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Closed after AG3 and prior to AG4

AI reference	AI summary	Defect	Peak	Affected requirements	Reason for closure
AI-AD-002 (Low)	Zero entries on Travellers Cheque declaration slip	6419	PC0174351		Closed as no fault. Functionality is the same as Horizon.
AI-AD-010 (Low)	Receipt reprint for ADC transactions	5300	PC0171091		Duplicate of 1779 / AI-AD-105
AI-AD-015 (Low)	APS Office harvesting Report	7525	PC0177037		Agreed to close as the 'APS Daily Office Harvesting Report' is no longer used.
AI-AD-020 (Low)	Office daily rem-out by day / multiple entries	8390	No Peak	CSM-628	Defect resolved in R1.
AI-AD-025 (Low)	Bureau de change / limited size of input field	8532	PC0192142	BDC-213	Defect resolved in R1.

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AI reference	AI summary	Defect	Peak	Affected requirements	Reason for closure
AI-AD-032 (Low)	UI usability / use of editable tables	8779	PC0180088		Closed as a duplicate of defect 6649 / PC0174865 – AI-AD-011
AI-AD-057 (Low)	CTO login error responses		PC0186110		Agreed to close as reported defect is agreed not to be a fault.
AI-AD-075 (Low)	AP receipt layout issues	5979	PC0173208		Defect resolved
AI-AD-076 (Low)	APS datatype AlphaPlus	10160	PC0183323		Agreed to close on the basis that this issue will be resolved if POL ever require to use this datatype for entry of the Euro symbol.
AI-AD-078 (Low)	Welsh receipt layouts	8388	None	GLB-298	Defect resolved in R1.

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AI reference	AI summary	Defect	Peak	Affected requirements	Reason for closure
AI-AD-085 (Low)	Navigation to End of Session prompts menu	9476	PC0175060		Agreed to close as reported defect is agreed not to be a fault.
AI-AD-108 (Low)	Cut off Despatch Report	11535	PC0187105		Defect resolved in R1.
AI-AD-109 (Low)	Multiple displays of transaction prompt	11530	PC0188571		Defect resolved in R1.
AI-AD-122 (Low)	ETU transaction failure prompt	11946	PC0188418		Defect resolved in R1.
AI-AD-123 (Low)	DCS response code	11944	PC0188415		Defect resolved in R1.
AI-AD-124 (Low)	BNK / ETU response code	11945	PC0188417		Defect resolved in R1.

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AI reference	AI summary	Defect	Peak	Affected requirements	Reason for closure
AI-TS-008 (Low)	IT health-check / Portcullis report defect	11934	No Peak		Closed and replaced with specific defects 12826, 12838, 12839 and 13111.
AI-TS-025 (Low)	IT health-check / Portcullis report defect	12838	PC0191937		Defect agreed as resolved at joint security forum of 29/01/10.
AI-TS-026 (Low)	IT health-check / Portcullis report defect	12839	PC0191938		Defect agreed as resolved at joint security forum of 29/01/10.
AI-AD-129 (Low)	IT health-check / Portcullis report defect	4567	PC0169567	SEC-3204	Defect agreed as resolved at joint security forum of 22/01/10.

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AI reference	AI summary	Defect	Peak	Affected requirements	Reason for closure
AI-AD-131 (Low)	IT health-check / Portcullis report defect	4636	PC0169735	SEC-3204	Defect agreed as resolved at joint security forum of 29/01/10.
AI-AD-132 (Low)	IT health-check / Portcullis report defect	4945	PC0170546	SEC-3204	Defect agreed as resolved at joint security forum of 29/01/10.
AI-TS-027 (Low)	Implementation of Vulnerability scans	12875		SEC-3154	Defect agreed as resolved at joint security forum of 26/02/10.
AI-TS-009 (Low)	IT health-check / Portcullis report defect	11935		SEC-3230	Closed / Defect resolved
AI-AD-130 (Low)	IT health-check / Portcullis report defect	4776	PC0170549	SEC-3204	Defect agreed as resolved at joint security forum of 22/01/10.

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AI reference	AI summary	Defect	Peak	Affected requirements	Reason for closure
AI-TS-020 (Low)	IT health-check / Portcullis report defect	12830	PC0191932	SEC-3154	Defect agreed as resolved at joint security forum of 19/02/10.
AI-AD-033 (Low)	Test tally printer	6366	PC0174243	BSC-250	Defect resolved
AI-TS-030 (Medium)	Packet size over Orange WWAN	12774	PC0191739		Defect resolved
AI-TS-011 (Low)	IT health-check / Portcullis report defect	12819	None	SEC-3257 & SEC-3204	Defect agreed as resolved at joint security forum of 05/03/10.
AI-TS-013 (Low)	IT health-check / Portcullis report defect	12821	None	SEC-3257 & SEC-3141	Defect agreed as resolved at joint security forum of 05/03/10.
AI-TS-017 (Low)	IT health-check / Portcullis report defect	12826	None	SEC-3257 & SEC-3210	Defect agreed as resolved at joint security forum of 05/03/10.

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AI reference	AI summary	Defect	Peak	Affected requirements	Reason for closure
AI-TS-022 (Low)	IT health-check / Portcullis report defect	12833	None	SEC-3154	Defect agreed as resolved at joint security forum of 26/02/10.
AI-AD-063 (Low)	Green giros report transactions are not correctly ordered	8608	PC0193744	BAC-270	Defect resolved in 1.08
AI-NT-005 (Low)	Secure filestore tidy	12414		SEC-3118	Defect resolved
AI-AD-128 (Low)	Validate product Mode	12343	PC0189918	n/a	Duplicate of 12938
AI-AD-119 (Low)	Busy Wait at 'configure rates board'.	9484	PC0195552	n/a	Defect resolved in R1
AI-AD-044 (Low)	Postal Services receipt layout	9680	PC0195476	n/a	Defect resolved in R1
AI-AD-022 (Low)	Default currencies on rates board	7668	PC0179066	BDC-241	Defect resolved in R1
AI-AD-070 (Low)	Postal Services receipt layout	11357	PC0191874	n/a	Duplicate of defect 12702
AI-AD-117 (Low)	Transaction reversal	11813	PC0187824	BAD-3112	Defect resolved in 1.08

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AI reference	AI summary	Defect	Peak	Affected requirements	Reason for closure
AI-AD-152 (Low)	Welsh Bureau receipt layout	12922	PC0192489	n/a	Duplicate of 12871
AI-TS-036 (Low)	IT health-check / Portcullis report defect	13113	PC0193919	SEC-3348	Defect agreed as resolved at joint security forum of 08/04/10.
AI-TS-021 (Low)	IT health-check / Portcullis report defect	12832	PC0191933	SEC-3154	Defect agreed as resolved at joint security forum of 16/04/10.
AI-TS-024 (Low)	IT health-check / Portcullis report defect	12836	PC0191936	SEC-3158	Defect agreed as resolved at joint security forum of 16/04/10.
AI-TS-006 (Low)	TESQA Access	12251	PC0189661		Defect agreed as resolved at joint security forum of 14/05/10.
AI-NT-009 (Low aggregated)	Risk management – unauthorised device connection	11299		SEC-3111	Closed / defect resolved

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AI reference	AI summary	Defect	Peak	Affected requirements	Reason for closure
AI-NT-001 (Low aggregated)	Risk management – unauthorised device connection	2309		SEC-3110	Closed / defect resolved
AI-NT-007 (Low aggregated)	Risk management - agreement to countermeasures	3503		SEC-3086	Closed / defect resolved
AI-NT-006 (Low)	Risk Treatment Plan	2312	PC0159541	SEC-3082	Closed / defect resolved
AI-NT-008 (Low)	Risk Treatment Plan	11295		SEC-3082	Closed / defect resolved
AI-NT-012 (Low)	Risk Assessment – SQL injection attack	12386		SEC-3137	Closed / defect resolved
AI-TS-016 (Low)	IT health-check / Portcullis report defect	12824	PC0191928	SEC-3257	Closed / defect resolved – see Concession CN069
AI-TS-010 (Low)	IT health-check / Portcullis report defect	12818	PC0191923	SEC-3257	Closed / defect resolved – see Concession CN069

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AI reference	AI summary	Defect	Peak	Affected requirements	Reason for closure
AI-AD-104 (Medium)	Postal Services warning message	11403	PC0186775	PS-1815 POS-NFR-213	Closed / defect resolved
AI-AD-041 (Low)	Message text	9536	PC0195475		Agreed to close as reported defect is agreed not to be a fault.
AI-AD-036 (Low)	Bureau pre-order ADC script	8932	PC0195473		Agreed to close as reported defect is agreed not to be a fault.
AI-AD-154 (Low)	Product Mode check	12938	PC0192670		Closed / defect resolved
AI-AD-155 (Low)	Product Mode check	13015	PC0193238		Closed / defect resolved
AI-AD-102 (Low)	Banking System error	11747	PC0193805		Closed / defect resolved

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F   Acceptance Incidents to be progressed by POL

The following tables contain summary details of Acceptance Incidents that were to be progressed by POL or where rectification has been agreed as not required.

AI reference	AI summary	Defect	Peak	Affected requirements	Reason
AI-AD-004 (Low)	Postal Order ADC script modification	6752	PC0175141		POL have agreed this can be closed
AI-AD-012 (Low)	Banking reason codes	7042	PC0175772		POL have agreed this can be closed
AI-AD-062 (Low)	Volume / Value override facility	11208	PC0186246		No fault in HNG-X. POL have agreed this can be closed and considered as a future enhancement
AI-AD-126 (Low)	Sort order on migration reports	11755	n/a		POL have agreed that no change is required
AI-AD-127 (Low)	Date range enquiry	11756	n/a		POL have agreed that no change is required

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AI reference	AI summary	Defect	Peak	Affected requirements	Reason
AI-AD-038 (Low)	Banking recovery receipt	9326	PC0181427		POL (IT) agreed to close on 21/04/10
AI-AD-089 (Low)	Log on event records	10997	PC0195482		POL (NB) agreed to close on 07/05/10.
AI-AD-156 (Low)	Welsh accents on receipts	11381	PC0187107		This will be resolved via the POL BAU ref data process.