



COMPANY IN CONFIDENCE



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| HNG-X CHANGE PROPOSAL | | CP NO: 4867 |
| CP TITLE: HNG-X CP0336 - Enable analysis of Counter event messages within the HNG-X Audit solution | | DATE RAISED: 26 th February 2009 |
| REQUIRED IMPLEMENTATION / PURCHASE DATE: 30 th April 2009 | | ORIGINATOR: Alan Holmes |
| ANTICIPATED CP CLOSURE / COMPLETION DATE: 30 th April 2009 | | CHANGE OWNER: Pete Sewell (RECEIVED) |
| DATE BY WHICH CP TO BE IMPACTED: 17 th March 2009 | | TECHNICAL SPONSOR: Alan Holmes (RECEIVED) |
| CP CLASSIFICATION: FAST TRACK/URGENT/ROUTINE/FOR INFORMATION* (*strikethrough as applicable) | | Budget Holder Approval for Impacting: (Email or Hard Copy Signature) S Denham (RECEIVED) W Warham (RECEIVED) J Jukes (RECEIVED) |
| DAB Required: Yes/No (<i>Strikethrough as applicable</i>) | Date DAB Authorised: | |
| LIFECYCLE STAGE: Stage 1 : Strategic Approval Stage 2 : Start Up & Feasibility Stage 3 : Requirements Analysis (*strikethrough as applicable) | Stage 4 : Solution Specification Stage 5 : Solution Build & Test Stage 6 : Implementation Not Applicable | |
| RELATED Change Request/Request for Work Package: N/A | | |
| RELATED PEAKs: PC0152376 | | |
| RELATED HORIZON CPs: N/A | | |
| RELATED HNG-X CPs: N/A | | |
| Impact statements must consider all transitional states between Horizon and HNG-X, as well as the final HNG-X solution. | | |
| Description of Change Proposed: <p>The Audit system supports a service (the Prosecution Support Service) whereby POL can request an extract of historical data that is held within the Audit archive. Typically this requires retrieval of archived Riposte transaction data. The data, as returned to POL, is often used to support legal proceedings where, say, a postmaster is accused of fraud. In such cases, we must also provide a witness statement with the audit data which attests to its provenance and integrity.</p> <p>In order to further automate this service under HNG-X, for every branch Riposte data retrieval, the archived events generated by counters at the branch are also analysed to identify any possible occurrences of problems which might adversely affect the integrity of the transaction data.</p> <p>The current Horizon tactical solution is a largely manual process, the operation of which is reliant on a few key individuals. Whilst we believe that we will have to live with this tactical solution for the remaining life of the Horizon Audit system, a permanent solution for the HNG-X Audit solution is required. In outline, this will require the following:</p> <ul style="list-style-type: none"> Ø Amending the HNG-X Audit server (ARC) and workstation (AUW) applications to automatically retrieve and filter Events data when performing Horizon branch data retrievals.¹ Ø Amending the HNG-X Audit server (ARC) and workstation (AUW) applications to | | |

¹ The HNG-X Audit solution will need to continue to support the retrieval & analysis of Horizon branch audit data for seven years



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| <p>automatically retrieve and filter Events data when performing HNG-X branch data retrievals.²</p> <ul style="list-style-type: none"> Ø Introduce Prosecution Support process changes around the operation of the amended system. Ø Identify suitable skilled & committed resources to perform any manual analysis required. Ø Identify all ongoing operational costs associated with operating the revised service. | | | | | | | | | |
|---|--------------------|---------------------|---------------------|-----|-----|-----|--------------|--|--|
| <p>Acceptance Criteria and Methods <i>(Functional and Non Functional):</i></p> <p>Testing will be required to ensure that all counter events are extracted by the system and presented to the Audit workstation user for further analysis</p> | | | | | | | | | |
| <p>Reason for Change and Justification for Required Date <i>(above):</i></p> <p>While we do not believe that (due to time constraints) it is practicable to introduce this change into Horizon, it is required to ensure the viability of the ongoing Prosecution Support service within HNG-X.</p> | | | | | | | | | |
| <p>Consequences if Not Approved:</p> <ul style="list-style-type: none"> Ø We are obliged to present, and vouch for the integrity of, Audit data that is fit for purpose meets the contractual requirements (amended at CCB 31/03/09) - i.e. admissible as evidence in court. If this change is not approved, we will need to continue operating the current Horizon tactical process for the lifetime of HNG-X. <p>This solution has a number of deficiencies :</p> <ul style="list-style-type: none"> Ø It is a largely manual process which is error prone & time consuming. Ø It involves moving large volumes of data between the Audit server and workstation Ø It is reliant on ad hoc tooling & hardware Ø It is reliant on a few key individuals Ø It requires local & insecure storage of event audit data, invalidating certain statements made within the current witness statement Ø It has no DR mechanism in the event of DR from BRA01 to LEW02 | | | | | | | | | |
| <p>Platforms (Physical) Affected: <i>(insert identity and details of all platforms requiring software update by this CP - where known)</i></p> <ul style="list-style-type: none"> Ø ARC - Audit Server Ø AUW - Audit Workstation | | | | | | | | | |
| <p>Business Applications Affected: <i>(insert identity and details of all Applications requiring update by this CP - where known)</i></p> <ul style="list-style-type: none"> Ø Audit Server retrieval application Ø Audit workstation client application | | | | | | | | | |
| <p>External Impact Assessment Distribution: <i>(insert contact details and additional rows as required)</i></p> <table border="1"> <tr> <th>Name:</th> <th>Organisation:</th> <th>Contact No:</th> </tr> <tr> <td>N/A</td> <td>N/A</td> <td>N/A</td> </tr> </table> | Name: | Organisation: | Contact No: | N/A | N/A | N/A | | | |
| Name: | Organisation: | Contact No: | | | | | | | |
| N/A | N/A | N/A | | | | | | | |
| <p>Impact on Royal Mail Group Account: <i>(insert additional rows as required)</i></p> <table border="1"> <tr> <th>Resource Grade</th> <th>Man-days</th> <th>Non Labour Cost (£)</th> </tr> <tr> <td>TBA</td> <td>TBA</td> <td>TBA</td> </tr> <tr> <td>TOTAL</td> <td></td> <td></td> </tr> </table> | Resource Grade | Man-days | Non Labour Cost (£) | TBA | TBA | TBA | TOTAL | | |
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| TBA | TBA | TBA | | | | | | | |
| TOTAL | | | | | | | | | |
| <p>Documents Affected: <i>(insert additional rows as required)</i></p> <table border="1"> <tr> <th>Document Reference</th> <th>Title</th> <th>Current Version</th> </tr> <tr> <td>TBA</td> <td>TBA</td> <td>TBA</td> </tr> </table> | Document Reference | Title | Current Version | TBA | TBA | TBA | | | |
| Document Reference | Title | Current Version | | | | | | | |
| TBA | TBA | TBA | | | | | | | |



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² While there is no reason to believe that the HNG-X counter will suffer the same deficiencies as the Horizon counter, it is advisable that similar checks are performed in both environments



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CHANGE PROPOSAL

ID: PWY_CP_4867 Create Date: 26-FEB-2009
Status: APPROVED Originator: Ken.Westfield

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Title

HNG-X CP0336 - Enable analysis of Counter event messages within the
HNG-X Audit solution

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Action Messages

Action Number: 2 Date Mar 24 2009 16:53:41 By: Ken.Westfield

Comments

Update from D Hinde regarding Audit Team and impact:

The development impact on this CP was based on retaining a contractor, starting work at the beginning of April and delivering before end June 2009. This CP urgently needs to progress through the boards for approval if we are to achieve this.

If approval of this CP is delayed the development impact is likely to increase as we will need to retain the contractor beyond the end of June or find less skilled resource who will take longer to do the work.

Action Number: 3 Date Mar 26 2009 13:01:39 By: Ken.Westfield

PCCB Minutes (586)
09

26-Mar-

CCB_PENDING

CP presented to PCCB by D Hinde on behalf of CS Security.

CP had been fully impacted and based on a delivery from Dev at the end of June, LST would test this after that.



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This was for a piece of work primarily within the Dev Audit team which the Account had identified as a must-have. D Hinde confirmed that he had discussed this with W Warham who had agreed that CS would cover the cost of this work. D Hinde and G Allen stressed the urgency in progressing the CP was that the identified resource to do the work was due to leave next week.

ChM advised that the only o/s issue was for an impact from CS RM, but that had been delivered before the PCCB and the paperwork had now been updated.

PCCB had no further comments and set to CCB Pending.

Action Number: 4 Date Apr 1 2009 09:43:15 By: Ken.Westfield

CCB Minutes (530)
09

31-Mar-

APPROVED

CP presented by D Hinde and W Warham who confirmed that this was a must have from CS perspective and as such W Warham had agreed to cover the 100.5mds impacted (78.5 incremental).

S Denham identified that this was currently being performed by a series of people using manual processes, with the inherent risk to data integrity and was of the order of 9mds a month. G Wilkerson queried the savings on this and after discussion S Denham identified that this change was to introduce automation to bring us back to a baseline position.

W Warham requested S Denham take an action to include this in the CS Forecast for April and S Denham agreed to do this.

Over and above that W Warham stressed that this was needed for accreditation and for acceptance into service as reducing litigation risk and improving data integrity and confidence in the records.

R Wright asked when this was expected to be delivered and D Hinde stated that this was towards the end of June (i.e. post Pilot).

G Wilkerson identified that the CP contained the words "is fit for purpose" and stated that this statement should not be used, even on internal documents and P Sewell accepted an action to amend this.

CCB had no further comment and approved the CP.

Actions:

1. S Denham to include the mds are included in the CS Forecast for April.
2. P Sewell to amend words in the CP from "if fit for purpose" to "meets the contractual requirements".



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P.M.N. CP wording updated by P Sewell and ChM to reflect the request made at CCB, Action complete.

Action Number: 5 Date Apr 1 2009 09:43:57 By: Ken.Westfield

Comments

Please be advised that the following CP has received full approval from CCB. The CP status in PVCS is 'APPROVED'.

HNG-X CP 0336
Release HNG-X
CT/CCN N/A
Title Enable analysis of Counter event messages within the HNG-X Audit solution
(PVCS CP Ref: 4867)

Areas affected for Planning purposes:

Dev
Integration
ITU
CS

Areas approved for work to commence for these tasks (i.e. Time Recording)

All of above

Project Description: 123881

CT/CCN Owner: N/A

CP to be tagged for planning (Activity description and extension field): 0336 - See notes below

CT/CCN to be tagged for planning (Activity description and extension field): N/A

Documentation Affected: See CP body and history

Planned Activities Budget Notes:
Work to be planned with budget. The CP Impact Spreadsheet (v3) for this change is in PVCS.

----- END OF CHANGE PROPOSAL PWY_CP_4867 -----