



**Document Title:** ENHANCING AND PROLONGING THE HNG-x AUDIT FACILITY

**Document Reference:** TBC

**Document Type:** Process

**Release:** Not applicable

**Abstract:** This document establishes the need to enhance the current audit storage process and equipment

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**External Distribution:** POL Security Team

**Security Risk Assessment Confirmed** TBC

#### Approval Authorities:

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



# 0 Document Control

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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	03-Sept	Initial Draft	

## 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

## 0.4 Associated Documents (Internal & External)

Reference	Version	Date	Title	Source
PGM/DCM/TEM/0001 (DO NOT REMOVE)	7.0	3 Jun 2011	POA HNG-X Generic Document Template	Dimensions
DEV/GEN/MAN/0015	3.1	8 Feb 2011	Audit Extraction Client User Manual	Dimensions
SVM/SDM/SD/0017	3.1		Service Description for the Security	Dimensions



			Management Service	
SVM/SEC/POL/0003	5.2		POAA Information Security Polity	Dimensions
SVM/SEC/PRO/0017	1.1	14 Feb 2012	Management of the Litigation Support Service	Dimensions
CR/FSP/006			Audit Trail Functional Specification	Dimensions
DEV/APP/SPG/0020	2.5		HNG-X Audit Server Support Guide	Dimensions
DEV/APP/SPG/0016	3.1	8 Feb 2011	Audit Extraction Client Support Guide	Dimensions
		TBC	Audit Offline Storage Replacement Project Approach	

***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
ARQ	An Audit Record Query that is not a Banking Transaction Record Query and which relates to Transactions
AUW	Audit Workstation
BQ	Banking Record Query
CS	Customer Services
POL	Post Office Limited
POLIA	Post Office Limited Internal Audit
POA	Post Office Account

## 0.6 Glossary

Term	Definition
Audit Record Query (ARQ)	An Audit Record Query that is not a Banking Transaction Record Query and which relates to Transactions.
Audit Record Query Form	The form used by POL to request detailed transaction data.
Banking Record Query	A Record query in respect of a Banking Transaction which the Data Reconciliation Service has reconciled or has reported as an exception, the result or records of which are subsequently queried or disputed by Post Office Ltd or a third party.
Branch Code	A Post Office outlet unique identifier
Prosecution	Civil or criminal court or statutory tribunal proceedings related to transactions or fraudulent actions conducted at a Post Office Outlet

## 0.7 Changes Expected



Changes

## 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.



## 1 Introduction

### 1.1 Background

One of the key services provided by Fujitsu under the HNG-x contract is the Audit provision. This service provides Audit data stored by an approved and legally tested procedure. The integrity of data retrieved for audit purposes is guaranteed at all times from the point of gathering, storage and retrieval to subsequent despatch to the person making the request. Controls have been established that provide assurances to Post Office Ltd Internal Audit (POLIA) that this integrity is maintained.

Approval of this document will sign off the project approach. This will allow the project to commence with appropriate project sign offs at each designated project stage.

Further details on the audit process are available in Audit Trail Functional Specification document.

### 1.2 Reasons for Enhancement

It is important to state that the current process described in 1.1 Background will not be changed by this enhancement. However the current storage used for the audit data has the following constraints:

- The current storage technology is at the end of normal service life
- Ongoing support will cost more and is not guaranteed for the rest of the HNG-x Contract period
- Fujitsu see an unacceptable risk to the Prosecution Service without adequate support in place for all system components
- At the current rate of transactions it is expected the current storage will be full by summer 2014
- In addition, the Transition Support Service (TSS) CCN, due to be signed in September 2013, extends the operational window to March 2017 from the current termination in March 2015. This extension means the current storage arrangements need to be extended to meet this new requirement.

Fujitsu therefore recommends that new storage is introduced under the current service arrangements in line with agreed strategy for storage under the Belfast Refresh Project aligned to TSS. A workshop between Post Office Technical and Security Teams and Fujitsu will be arranged to sign off the technical solution.

## 2 Project Approach

### 2.1 Guiding Principles

The following principles will be applied:

- The project planned will not change the current approved process for storing and retrieving audit data.

The introduction and usage of the new storage will at appropriate stages be health checked by external agents. In addition, Fujitsu is seeking a legal opinion from external counsel to confirm the rules of legal admissibility of evidence that any changes to the current storage system will need to take account of.



## 2.2 Project Strategy

The project will be completed in three stages:

### 2.2.1 Stage 1

The following activities are planned:

1. The new storage will be introduced in both Belfast data centres.
2. Once the storage is live all new audit data will then be stored on both the old and new storage.
3. A security health check and penetration test will be conducted and the new storage solution signed off for the storing the new transaction data when all actions and observations (if any) are mitigated.
4. The new data feed to the old storage will be switched off and the new storage will become the data store for the audit data.

### 2.2.2 Stage 2

The following activities are planned:

1. The existing audit data on the old system will be copied to the new storage.
2. A security health check test will be conducted and the recall of the existing audit data on the new storage solution will be signed off when all actions and observations (if any) are mitigated.
3. The new storage becomes the primary operational store for all audit data

### 2.2.3 Stage 3

At this point the following alternatives are available:

Recommended solution:

Decommission the old storage in order to save ongoing maintenance costs for the old storage and mitigate the end of life state of the old storage.

Optional if Post Office has a business need or requirement:

Extend support on the old storage as a back up facility for old cases (this shall be subject to an additional charge to Post Office as we will be maintaining additional sources of the existing audit data).