

## Message

**From:** Andy J Jones [IMCEAEX-  
\_O=MMS\_OU=EXCHANGE+20ADMINISTRATIVE+20GROUP+20+28FYDIBOHF23SPDLT+29\_CN=RECIPIENTS\_CN=ANDY+2EJ+2EJON  
96C2-42E2-87C6-54385FBD94E5@C72A47.ingest.local]  
on behalf of Andy J Jones <IMCEAEX-  
\_O=MMS\_OU=EXCHANGE+20ADMINISTRATIVE+20GROUP+20+28FYDIBOHF23SPDLT+29\_CN=RECIPIENTS\_CN=ANDY+2EJ+2EJON  
96C2-42E2-87C6-54385FBD94E5@C72A47.ingest.local> [IMCEAEX-  
\_O=MMS\_OU=EXCHANGE+20ADMINISTRATIVE+20GROUP+20+28FYDIBOHF23SPDLT+29\_CN=RECIPIENTS\_CN=ANDY+2EJ+2EJON  
96C2-42E2-87C6-54385FBD94E5@C72A47.ingest.local]  
**Sent:** 17/05/2012 14:09:03  
**To:** Sarah Hall [GRO] Nigel Tuppen [GRO]  
**CC:** Lesley J Sewell [GRO]; Susan Crichton [GRO]; Richard J Barber  
[GRO]; Neil Lecky-Thompson [GRO]  
**Subject:** RE: E&Y management response and briefing paper  
**Attachments:** simplified audit briefing document v1.doc; EY 2011-12 draft response v10.doc

I have updated the management response document and produced a 'layman' version which for each observation area has a *definition, observation from last year, observation from this year and what we have done to improve*'. This was created with Richard last night and again during his journey to Chesterfield this morning, so Richard has not had a chance to see the final versions, so may wish to amend (as the majority owner of actions). It should give Chris the background he was looking for. It's a delicate balance between saying too much, too little and talking techie, so hopefully we have struck the right balance. It does give a small story for each area and could be his crib. Richard being at the 9.30 meeting will help tease those specific points out I think.

Regards,

Andy

Andy Jones  
**IT & Change**  
Quality & Standards Manager

- ⊙ 2<sup>nd</sup> Floor. Bunhill Row Wing. 148 Old Street. London EC1V 9HQ
- ⊙ [GRO]
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**From:** Sarah Hall  
**Sent:** 17 May 2012 11:39  
**To:** Andy J Jones; Nigel Tuppen

**Cc:** Lesley J Sewell; Susan Crichton; Richard J Barber; Neil Lecky-Thompson  
**Subject:** RE: E&Y management response and briefing paper

Hi,

I've lost track of all the email changes now. Please could you send me the latest version of the cover paper, the lay man's brief to explain the individual items and the management responses so I can review (as the lay man in mix!) before we talk to Chris (another lay man!).

Thanks,  
Sarah

Sarah Hall  
Financial Controller  
Post Office Limited  
148 Old Street LONDON EC1V 9HQ

**GRO**

Email sarah.hall@postoffice.co.uk **GRO**

Please note that my office telephone number has changed

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**From:** Andy J Jones  
**Sent:** 17 May 2012 11:30  
**To:** Nigel Tuppen  
**Cc:** Lesley J Sewell; Susan Crichton; Sarah Hall; Richard J Barber; Neil Lecky-Thompson  
**Subject:** RE: E&Y management response and briefing paper

Thanks Nigel. I may reword ever so slightly as there are a few to many 'actions' in the sentence, but it wont change the sentiment.

Regards,

Andy

Andy Jones  
**IT & Change**  
Quality & Standards Manager

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**From:** Nigel Tuppen  
**Sent:** 17 May 2012 10:38  
**To:** Andy J Jones  
**Cc:** Lesley J Sewell; Susan Crichton; Sarah Hall; Richard J Barber; Neil Lecky-Thompson  
**Subject:** RE: E&Y management response and briefing paper

Andy,

Based on your feedback propose following-want to keep the summary as "punchy" as possible.

Neil,

This wording is aimed for the mgt response to be included in the EY mgt letter as an overall comment-expressing the overall improvement and commitment on the EY IT issues. The board paper has these themes already but in little more detail in section 5 (2011/12 audit).

**"This year has shown considerable progress from the prior year results with no high risk issues arising.**

**Post Office have taken firm action in the prior year report to actions previous actions further reduce the number of actions raised from 70 in the prior year to 25 for 2011/12. We have significantly closed down the risks relating to the prior year actions with extensive additional controls and processes we put in place with our suppliers ensuring no high risk items have arisen.**

**Management will continue this focus on continuous improvement with clear action plans for those outstanding issues. A risk based approach will be taken to ensure the issues raised and their related risk are further actioned and mitigated. This will be formerly monitored and managed through a Post Office lead IT Audit Steering Committee in liaison with our key supplier Fujitsu.**

**The move to a SAS70 style report produced annually now referred to as an ISAE 3402, will further assist with the move to greater standardisation of controls and continuous evidenced compliance."**

Nigel

Nigel Tuppen

Business Risk & Assurance

Legal & Compliance

Post Office Limited

Direct Tel **GRO**

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nigel.tuppen **GRO**

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**From:** Andy J Jones  
**Sent:** 17 May 2012 08:17  
**To:** Nigel Tuppen; Sarah Hall; Richard J Barber; Neil Lecky-Thompson  
**Cc:** Lesley J Sewell; Susan Crichton  
**Subject:** RE: E&Y management response and briefing paper

Nigel

One minor comment if I may. The reference to 70 actions last year and 25 this year, sounds a bit like we only completed 45 actions from the previous audit. Could it be made slightly clearer that we had 70 last year and closed these actions down with the extensive controls and processes we put in place with our suppliers. This year those improvements were reflected in only having 25 actions with none being rated high.

What do you think? Of course you can play with the words, but the sentiment I think is there.

Regards,

Andy

Andy Jones  
**IT & Change**  
Quality & Standards Manager

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**From:** Nigel Tuppen  
**Sent:** 16 May 2012 16:13  
**To:** Andy J Jones; Sarah Hall; Richard J Barber; Neil Lecky-Thompson  
**Cc:** Lesley J Sewell; Susan Crichton  
**Subject:** RE: E&Y management response and briefing paper

All

As discussed in meeting below is a brief proposed summary for the management response document.

“This year has shown considerable progress from the prior year results with no high risk issues arising.

Post Office have made significant efforts to implement the actions to further reduce the number of actions raised from 70 in the prior year to 25 for 2011/12.

Management will continue this focus on continuous improvement with clear action plans for those outstanding issues. A risk based approach will be taken to ensure the issues raised and their related risk are further actioned and mitigated. This will be formerly monitored and managed through a Post Office lead IT Audit Steering Committee in liaison with our key supplier Fujitsu.

The move to a SAS70 style report produced annually, now referred to as an ISAE 3402, will further assist with the move to greater standardisation of controls and continuous evidenced compliance.”

Nigel

Nigel Tuppen

Business Risk & Assurance

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**From:** Andy J Jones  
**Sent:** 16 May 2012 12:19  
**To:** Sarah Hall; Nigel Tuppen; Richard J Barber; Neil Lecky-Thompson  
**Cc:** Lesley J Sewell; Susan Crichton  
**Subject:** E&Y management response and briefing paper

PSA the latest version of the briefing paper for senior management and the expected management response to the E&Y observations as part of the IT controls audit.

The call at 1pm will look to finalise both these papers for effective 'sign off' prior to issuance. Although there will be some remedial work after the call.

Apologies for the lateness of these documents so close to 1pm but we have been working on them up and to now.

Speak to you all at 1pm

Regards,

Andy

Andy Jones

**IT & Change**  
Quality & Standards Manager

2<sup>nd</sup> Floor, Bunhill Row Wing, 148 Old Street, London EC1V 9HQ

**GRO**

Andy.j.jones@**GRO**

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