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NETWORK BANKING MANAGEMENT OF PROSECUTION SUPPORT	Ref:	NB/PRO/003
	Version:	2.0
(Security Classification)	Date:	29/02/2005

Document Title:	NETWORK BANKING MANAGEMENT OF PROSECUTION SUPPORT
Document Type:	Procedure
Release:	N/A
Abstract:	This document outlines the end-to-end procedures required to manage and deliver the Network Banking Prosecution Support Service
Document Status:	APPROVED
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Contributors:	Neneh Lowther, Bill Mitchell, Penny Thomas, Jan Holmes, Alan Holmes
Internal Distribution:	Review List
External Distribution:	Review List
Approval Authorities:	*(See PA/PRO/010 for Approval roles)*

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Bill Mitchell	CS Security Manager		
Jan Holmes	Audit		

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0.0   Document Control

0.1   Document History

Version No.	Date	Reason for Issue	Associated CP/Peak
0.1	11/02/02	Initial Draft	
0.2	24/10/02	Incorporation of comments after initial review. Amendment to signed contract.	
0.3	15/11/02	Incorporate comments after review	
1.0	26/11/02	Version for approval	
1.1	02/02/05	Update to reflect current changes	
2.0	29/02/05	Version for approval	

0.2   Review Details

Review Comments by :	Date
Review Comments to :	Originator

Mandatory Review	
CS Director	Dave Baldwin
CS Security Manager	Bill Mitchell

Optional Review	
Quality Assurance Manager	Jan Holmes
Audit	Alan Holmes
Principle Consultant	Tony Haywood
Commercial and Contract Manager	Hilary Forrest
*Issued for Information – **Please restrict this distribution list to a minimum***	
Position	Name

(*) = Reviewers that returned comments

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0.3 Associated Documents

Reference	Version	Date	Title	Source
PA/TEM/001	8.0	19/12/02	Fujitsu Services Document Template	PVCS
CR/FSP/006			Audit Trail Functional Specification	
NB/SDS/004			System Design Specification for Network Banking Reconciliation	
IA/PRO/004			Audit Data Extractions Process	

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

0.4 Abbreviations/Definitions

Abbreviation	Definition
Audit Record Queries	A Record Query that is not a Banking Transaction Record Query and which relates to Transactions.
CS	Customer Services
Banking Transaction 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
FAD	A Post Office outlet unique identifier.
HSH	Horizon System Helpdesk
Prosecution	Civil or criminal court or statutory tribunal proceedings related to Banking Transactions
NB	Network Banking
Old Format Queries	The extraction of records created before commencement of Network Banking Pilot (Soft Launch) relating to Transactions (other than Banking Transactions) meeting the Search Criteria, such extraction being limited to the following specific types of information/data fields: the ID for the user logged-on, Counter Position ID, stock unit reference, Transaction ID, Transaction start time and date, Customer Session ID, mode (e.g. serve customer), product number and quantity, and sales value;
PO Ltd.	Post Office Limited

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PSS	Post Office account Prosecution Support Section
PSS Day	Between 09:00 and 17:30 Monday to Friday excluding English Bank Holidays.
Record Query	The extraction of records created after commencement of Network Banking Pilot (Soft Launch) in accordance with the terms paragraph 7.3 of N01 relating to Banking Transactions (and, in the case of Audit Record Queries relating to all Transactions) meeting the Search Criteria, such extraction being limited to specific types of information/data fields.
Audit Record Query Form	Audit Record Query Form (ARQ). A single Audit Record Query Form must relate to a single outlet.
Rolling Year	Any Record Queries received over the yearly limit shall be seen as the following years requests and as such will not be processed until the following year. In other words it will be rolled over in to the following years requests.
Search Criteria	Means either of: (a) date range (not exceeding 31 consecutive days), time-range, Outlet and PAN(or equivalent identifier); or (b) date range(not exceeding 31 consecutive days), time-range and Outlet, which may be specified for a Record Query. NB this is different from the criteria used for Banking Transactions Record Queries

0.5   Changes in this Version

Version	Changes
2.0	Update to reflect new ARQ contract details Minor typo errors Minor changes to internal work processes

0.6   Changes Expected

Changes

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0.7 Table of Contents

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1.0 Introduction

The Network Banking Prosecution Support Service has been introduced in response to Network Banking Requirements 260 and 315. The scope of the Service is outlined in Schedule NO1 of the Codified Agreement in the Section entitled *"Information Retrieval and Audit"*.

This document is intended to assist the management and delivery of the service necessary to support Post Office Ltd in respect of criminal prosecution or civil litigation for the Horizon solution.

It is intended that the management of prosecution support process is generic for all services. Audit Record Query requests are received, documented, extracted from the Audit Archive and progressed to resolution in the same manner. The production of evidence and witness statements in support of prosecution also utilises the same processes.

This document is without prejudice to any of the parties and nothing contained herein shall be deemed or construed as affecting contractual obligations or creating new contractual obligations between any of the parties.

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2.0 Scope

This document sets out the procedures to be adopted by Post Office account's Prosecution Support Section (PSS) for managing and dealing with Audit Record Queries for Investigation and Prosecution support purposes including the:

- Undertaking of Audit Record Queries;

- Presentation of Transaction records extracted by Audit Record Queries;

- Analysis of appropriate records and logs;

- Preparation of witness statements of fact in relation to Audit Record Queries;

- Attendance at Court by relevant employees to give evidence in respect of witness statements;

- Undertaking of additional litigation/prosecution support activities as may be requested on a case-by-case basis on the instruction of Legal Counsel.

It is recognised that it is not possible to deliver a standardised response to all prosecution related Audit Record Queries. The type of information requested for an Audit Record Query is heavily dependent upon the requirements of the particular case in question and the demands of the Legal System. These procedures therefore provide a flexible approach to the provision of prosecution support.

ARQs in support of potential prosecution will be obtained solely from the Horizon System Audit Archive / Server. The method by which the integrity of this data is protected is described in the Audit Trail Functional Specification. Evidence in support of data integrity will be sourced from Audit Archive / Server and Post Office account Business logs. All access to audit data is restricted to named individuals via dedicated workstations located in a secure environment. This is consistent with the security controls employed for the existing service. Supporting evidence is sourced from relevant business records and logs.

Requests for Information will fall into two general categories:

❑ Audit Record Query only.

  This involves the extraction from the audit archive of records relating to data for a particular outlet.

❑ Audit Record Query plus associated witness statement.

  This involves the extraction for the audit archive of records relating to data for a particular outlet plus the provision of a witness statement of fact in support of the data extracted.

This document and the limits on Audit Record Queries and Search Criteria it contains relate to information retrievals and audit for the Network Banking System and the Existing Service. The Existing Service ceases to be applicable 18 calendar months after Network Banking Pilot

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(Soft Launch). This document and the limits set out in this document will be updated at this time to reflect the removal of the Existing Service.

Provision of prosecution support for the existing service has been agreed under contract. Prior to Network Banking contract signing this provision was supported under a CR received to request such a facility. Provision of the old format data retrieval support service before contract signing was based upon an informal agreement between the Director of Horizon Commercial and the Director of Post Office account Quality. CCN 759, submitted to formalise this agreement was not subsequently ratified. The agreement provided for the provision of up to 50 audit data extractions per annum for audit and security purposes, with a maximum of 7 in any calendar month. The annual target measured over a rolling 12 month period. Additional extractions were catered for on the basis of Time and Material costs equivalent to 1.5 days at senior consultant rate.

The provision of prosecution support (specifically the provision of witness statements of fact) was similarly not formalised and was provided on a "without prejudice subject to contract" basis pending the receipt of the aforementioned Change Request. Prosecution support for the existing system is now provided as part of the Prosecution Support Service. This document outlines the operational approach to this service.

This document does not cover the requirements or procedures for the Data Reconciliation Service i.e. Banking Transaction Record Queries which are handled by BSU.

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3.0   Audit Record Queries

3.1   Scope

An Audit Record Query is an extraction from the Audit Archive of records relating to Transactions, which meet specific search criteria. Audit Record Queries may be undertaken to provide transaction and other details required to facilitate an investigation or in support of prosecution.

Through out this document the generic term to Audit Record Query is used collectively to refer to an extraction of data from the Audit Archive. There are three types of Audit Record Query as defined under contract:

"Audit Record Query" means a Record Query, which is not a Banking Transaction Record Query and which relates to Transactions.

"Record Query" the extraction of records created after commencement of Network Banking Pilot (Soft Launch) in accordance with the terms of paragraph 7.3 in N01 relating to Banking Transactions (and, in the case of Audit Record Queries relating to all Transactions) meeting the Search Criteria, such extraction being limited to specific types of information/data fields.

"Old Format Query" the extraction of records created before commencement of Network Banking Pilot (Soft Launch) relating to Transactions (other than Banking Transactions) meeting the Search Criteria, such extraction being limited to the following specific types of information/data fields.

3.2   Limits on Audit Record Queries.

The number of Audit Record Queries requested by Post Office Ltd in connection with investigation or prosecution shall be the first to be met per year of;

* no more than 720 queries (old and new) or

* 15,000 query days on a rolling year basis

With no more than the first to be met in any calendar month of

* 60 queries (old and new) or

* 1250 query days.

Any Audit Record Queries over and above the 720 maximum will be rolled-over to the next 12-month period and count towards the total for the next year.

Post Office may at any time on three months' notice vary the aggregate limits of Audit Record Queries which Fujitsu Services is required to carry out between

a)   the limits specified in paragraph 3.2; and

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b) the following substitutes for those limits (applicable on the same basis): 1020 Audit Record Queries or 21250 Query Days per year on a rolling year basis, and a maximum, allowing a 'burst rate' of 14%, of 142 Audit Record Queries or 2975 Query Days per calendar month and between

c) the substitute limits set out above, and;

d) the following substitutes for those limits (applicable on the same basis): 1500 Audit Record Queries or 31250 Query Days per year on a rolling year basis, and a maximum, allowing a 'burst rate' of 14%, of 210 Audit Record Queries or 4375 Query Days per calendar month

3.3   Search Criteria

The search criteria for Audit Record Queries in support of prosecution are either:

(a) Date or dates (not exceeding 31 consecutive days), time-range, Outlet and PAN (or equivalent identifier)

Or;

(b) Date or dates (not exceeding 31 consecutive days), time-range, and Outlet.

which may be specified for an Audit Record Query.

Each Audit Record Query shall cover a date range of up to and including 31 consecutive days. Individual dates or multiple date ranges can be accommodated provided that the maximum number of days requested does not exceed 31 consecutive days for each Audit Record Query.

If a request is received for a date range greater than 31 consecutive days then an additional Audit Record Query or Audit Record Queries from the agreed annual maximum will be required to facilitate the request. Additional Audit Record Queries will be required for each subsequent period of 31 consecutive days or part thereof. Multiple Audit Record Queries for prosecution will equate to faster consumption of the maximum Audit Record Queries per year.

Each Audit Record Query shall relate only to an individual Outlet.

Audit Record Queries are limited to specific types of information/data fields these are:

❑   the ID for the user logged-on,

❑   Counter Position ID,

❑   stock unit reference,

❑   Transaction ID,

❑   Transaction start time and date,

❑   Customer Session ID,

❑   mode (e.g. serve customer),

❑   product number,

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❑   product quantity,

❑   sales value.

Post Office account will consider reasonable requests from Post Office Ltd. for a variation to the requested information/data fields.   Such variation requests should be specified in the relevant ARQ form.

3.4   Format for Audit Record Query Requests

Audit Record Queries in connection with prosecution shall be made via the Audit Record Query Form.

Post Office Ltd will specify the following details for each Audit Record Query:

❑   Date of request;

❑   Outlet FAD and address to which the Audit Record Query relates.   Each Audit Record Query shall relate to a single FAD;

❑   Date range/times.   The maximum date range for each Audit Record Query is 31 consecutive days.

❑   General requirements.   This includes the required attributes associated with the Audit Record Query.

❑   Output Format required.   This is normally a standard Excel 95 version with separate columns for each attribute requested.

Alternatively Post Office account will provide information in native format if requested. Post Office account will provide details in other formats on receipt of an appropriate Change Request.

Each Audit Record Query shall be allocated a unique identifier to facilitate the logging and monitoring of work carried out.   The identifier shall be "ARQ" followed by a sequential number starting from 1 (1 to nnnn).   This will provide the audit trail information necessary to ensure continuity of evidence if required later at a court or tribunal.

The agreed Audit Record Query (ARQ) Form is at Appendix 1.

3.5   Exclusions

Audit Record Queries in connection with Disputed Banking Transactions are not covered in this document. Refer to NB/PRO/002.

3.6   Audit Record Query Resolution Time Scales

The time scales are measured from the time and date that the Audit Record Query is received by PSS from Post Office Ltd. Casework Manager as outlined in section 5.2.   Completion is defined as the work identified at 7.1.1 to 7.1.9.

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3.6.1   Record Query Resolution Time Scales

The time-scale for completion of each Record Query is seven working days for queries of fourteen or less days duration and fourteen for queries of greater than fourteen days duration.

3.6.2   Old Format Query Resolution Time Scales

Time-scales for completion of old format queries shall be fourteen working days for queries of fourteen or less days duration and twenty-eight working days for queries greater than fourteen days duration.

3.6.3   Contention and Court Appearance

Resolution time scales specified in 3.6.1 and 3.6.2 shall not apply to Audit Record Query in the following situations;

(a)   a new Audit Record Query or Old Format Query is received by the PSS or Post Office Ltd require analysis of an existing Audit Record Query or Old Format Query; and

(b)   a member of the PSS is needed to deal with that new or existing Audit Record Query or Old Format Query; but

(c)   that person is unavailable due to his or her attendance at court or other proceedings in connection with an Audit Record Query or Old Format Query.

The PSS shall instead deal with such Audit Record Queries as soon as reasonably practicable.

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4.0   Prosecution Support

In addition to the details at 3.4 above, Post Office Ltd shall wherever possible, advise on the relevant section of the Audit Record Query Form whether an associated witness statement is required. (See Appendix 1.)

4.1   Scope

Post Office account shall, in relation to an Audit Record Query, at the request of Post Office Ltd:

❏ Analyse appropriate Horizon Help Desk and Non-polling reports for the specific search criteria on the Audit Record Query in order to check the integrity of Transactions extracted for that Audit Record Query;

❏ Analyse fault logs for the devices from which the records of transactions were obtained to check the integrity of Transactions extracted by that Audit Record Query;

❏ Provide witness statements of fact in relation to that Audit Record Query. This will be based on the above analysis and be prepared by the relevant member PSS.

❏ The above analyses and witness statements will be undertaken in respect of a maximum of 250 Audit Record Queries per year;

❏ Provide for the attendance at Court by the person who has provided a witness statement as identified above in order to give evidence in support of that witness statement.   Post Office account shall provide a maximum of 100 days attendance in court per year.

The work undertaken as part of prosecution support is further detailed in section 7.2 Prosecution Support.

4.2   Exclusions

The provision of additional prosecution support is excluded from the service detailed above. Additional prosecution support is covered in Section 8 (Additional Prosecution Support).

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5.0   Notification Process

5.1   Contact Points

5.1.1   Post Office Ltd

All Audit Record Queries in conjunction with investigation and or prosecution must be authorised by the Post Office Ltd Security and Network Audit Team.

Requests will be accepted only from the Post Office Ltd.'s Casework Manager.

The Post Office Ltd. Casework Manager will advise the Post Office account Prosecution Support Manager of one named deputy, who is authorised to request record queries in his absence.

Other parts of the Post Office (e.g. Security and Network Audit Team) requiring Queries must channel these requests through this single point of contact. All Queries from these sources shall count toward the maximum for the year.

5.1.2   Post Office account

The Post Office Ltd. Casework Manager shall submit all requests for Audit Record Queries in connection with investigation and prosecution to:

Customer Service Prosecution Support Section,

Fujitsu Services

Forest Road,

Feltham

Middlesex TW13 7EJ

The Audit Record Query will be sent via email to both Post Office account's Prosecution Support Manager and also to one named deputy who shall be advised to the Post Office Ltd. Casework Manager.

Post Office account and Post Office Ltd will agree the e-mail address of the operational single point of contact within both organisations.

5.2   Request Process

Post Office Ltd Casework Manager shall receive audit Record Query requests using an internal process of the Post Office Ltd.   The Casework Manager or deputy shall complete an Audit Record Query form and email it to both the Post Office account Prosecution Support Manager and to one nominated individual from PSS. This will provide the contingency arrangements. The details of the request and the date and time of the request shall be recorded

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in the Prosecution Support Database. The PSS Manager shall determine which member of the PSS shall carry out the request from analysis of current workloads per team member.

Post Office Ltd Casework Manager shall also keep a log of all requests made to the PSS.

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6.0   Management Process

6.1   Allocation of Audit Record Queries

Post Office account Prosecution Support Manager shall allocate and monitor all requests within PSS. Allocation will be determined on current workloads of each member of PSS. Each individual in the section has the responsibility for updating their log daily. This will ensure an even spread of workload across PSS, making sure all requests are completed in accordance with agreed time scales. Status of Audit Record Queries shall be maintained in the Prosecution Support Database.

6.1.1   Continuity of Evidence

One member of PSS will generally undertake the entire end to end prosecution support process (as detailed in section 7.0). This enables one individual to attest to all elements of the retrieval process and facilitate provision of a single witness statement thereby minimising service impact.

6.2   Prosecution Support Database

The Database shall track all work carried out, by date and time, on every Audit Record Query. The database shall be used for allocating requests and tracking the request through the audit extraction process. An audit trail of date and time of processes carried out on the Horizon Audit System is recorded by Audit Record Query unique identifier on the Extractor Client GUI. Date and time of exporting messages to excel, details of anti virus checks used, date and time of burning to CD and posting shall not be recorded on the Extractor Client GUI. These shall be recorded in the Prosecution Support Database.

6.3   Process for Cancellations

Once an identifier has been attached to a request it shall not be reused even if the request is later withdrawn. This ensures the integrity of the request log for requests that require prosecution support at the time of request or at a future date. The log shall also ensure that Post Office Ltd and Post Office account meet contractual requirements on the number of requests and the turn around of requests.

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Audit record Query
received by PO Ltd.
Casework Managers

Cancellation
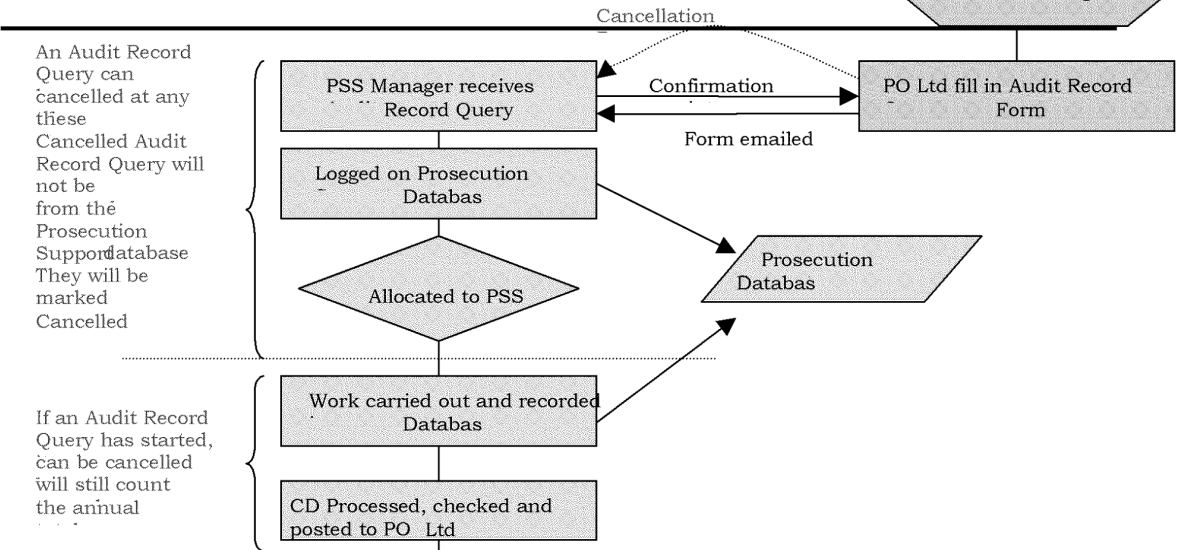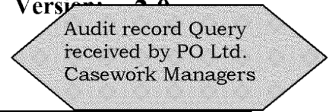
An Audit Record
Query can
cancelled at any
these
Cancelled Audit
Record Query will
not be
from the
Prosecution
Support database
They will be
marked
Cancelled

PSS Manager receives
Record Query

Confirmation

PO Ltd fill in Audit Record
Form

Form emailed

Logged on Prosecution
Databas

Allocated to PSS

Prosecution
Databas

If an Audit Record
Query has started,
can be cancelled
will still count
the annual

Work carried out and recorded
Databas

CD Processed, checked and
posted to PO Ltd

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7.0   Prosecution Support Process
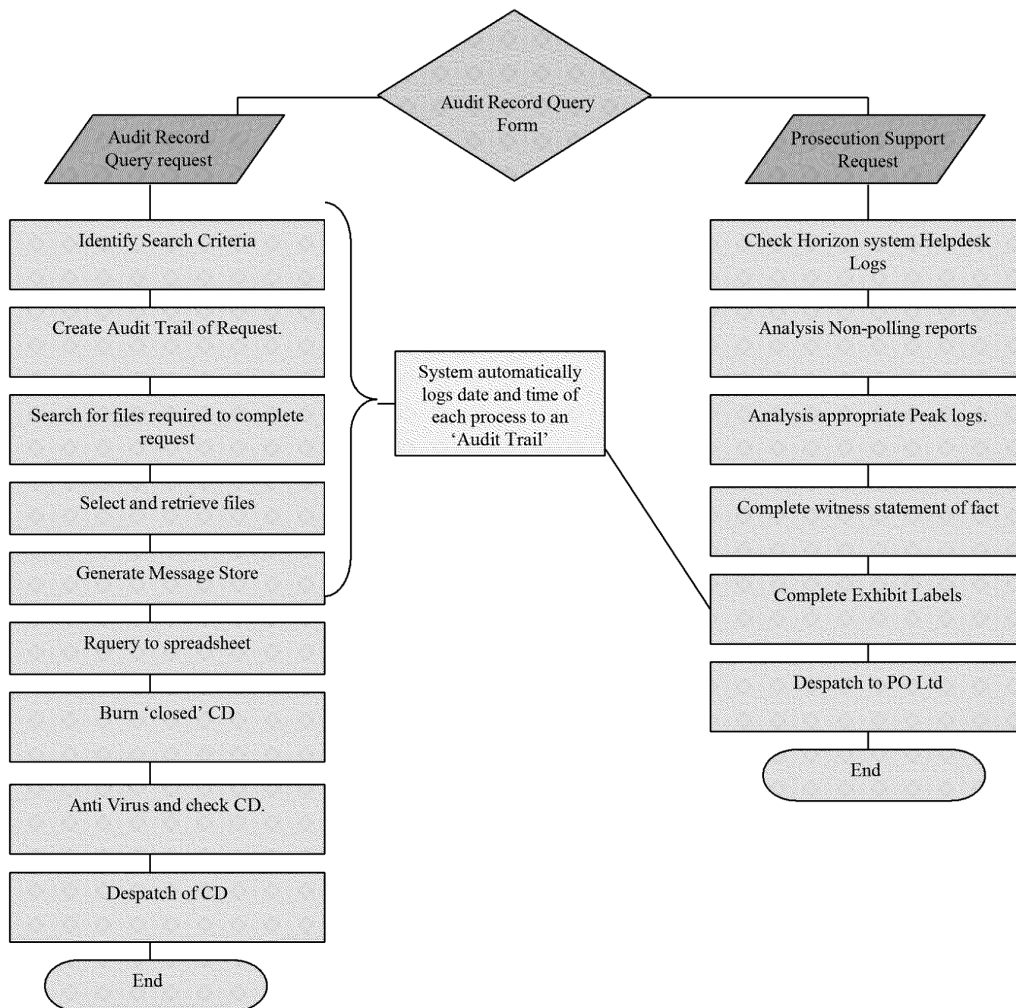
7.1   Audit Record Query

7.1.1   Identify Search Criteria

The team member allocated to the request shall identify the search criteria from the Audit Record Query

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7.1.2   Create Audit trail of request

The Horizon Audit System provides an audit trail. The audit trail records the date and time of every process carried out on the Horizon Audit System to complete each Audit Record Query. The search criteria and Audit Record Query identifier shall be used to create the directory structure of each audit trail. An audit trail is produced only when an Audit Record Query is marked as completed on the Extractor Client. (The audit trail is not the Prosecution Support Database). The Prosecution Support Database holds information on when the Audit Record Query is received, the search criteria and whether any Audit Record Queries are cancelled. The Prosecution Support Database is used to monitor workloads and ensure Audit Record Queries are completed in a timely fashion. The audit trail is used to attest to the integrity of data held on the Horizon Audit System and data extracted for Audit Record Queries.

7.1.3   Search for files required to complete request

A search for files required to complete the request shall then be initiated using the audit extractor GUI.

7.1.4   Select and retrieve files

Once the search has completed and returned the results each required file shall be marked for selection and then selection will be initiated. Files extracted to the server shall be seal checked as they are extracted. This check is intended to confirm that the data has not been altered from the time the transaction first originated to the time it was stored. After the files have been extracted the operator shall check the seal status and ensure all seals match.

7.1.5   Generate message store

A message store of the selected files shall be initiated on the operator's local machine using the files extracted to the audit server.

7.1.6   Rquery to spreadsheet

Once the message store has been successfully generated, the Rquery tool shall be used to select the files as per the search criteria set out in the Audit Record Query. *(NB: Banking Transaction details are still in refinement and until documentation is prepared on Network Banking Transaction data, data attributes available cannot be identified. When documentation is available Post Office Ltd. Casework Manager and Post Office account PSS Manager shall agree requirements).*

The Transaction records extracted for the Audit Record Query shall be exported by the Rquery tool to an Excel 95 Format or native format if requested

Sensitive Data included in records of Banking transactions are held in encrypted form by the Network Banking System. Therefore, sensitive data included in a Audit Record Query will be provided to Post Office Ltd. Casework Manager in its encrypted form. Post Office account will not be supplying any decryption routes.

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7.1.7   Burn closed CD

Once the data is complete and formatted it shall be burnt to 'closed' CD-W along with a word document that shall provide an explanation of the format in which the data is provided. The CD-W will be labelled with the Audit Record Query reference number, the Fad name and code, the due date, name of Fujitsu employee who compiled the data and date compilation was completed, the date range requested and the name of the Fujitsu employee who checked the data on the CD. The audit trail will complete date and times of access and events and record seal check values. The audit trail is saved as a text file to the user directory on the audit server.

7.1.8   Virus check

The word document that is attached to the CD shall also contain reference to the anti virus software used to check the CD. It shall state the engine and virus definition files used. The CD shall be checked for viruses after the data has been written to it and before sending it to Post Office Ltd. In order to adopt 'best practice' processes all data retrieval completed by Security Department staff is to be checked by another prior to despatch. (See IA PRO 004 12.0 for details).

7.1.9   Despatch

The CD shall be sent to Casework Manager by Special Delivery. Appropriate packaging for the CD will be used to help protect against damage in transit.

Files extracted to the audit server shall then be closed in order for the next Audit Record Query to be undertaken. The message store on the operator's local workstation shall be cleared of messages.

7.2   Prosecution Support

7.2.1   Check Horizon System Helpdesk Logs

Problems or faults at a Post Office outlet logged with the Horizon System Helpdesk will be examined using the search criteria specified in an Audit Record Query to assess whether the outlet was functioning effectively.

The logs are accessed through the web-based program, Powerhelp. All PSS members shall have access to Powerhelp. They shall use the specified outlet and date range as requested in the Audit Record Query search criteria to search Powerhelp for any calls logged for the outlet in the date range required. The log of calls to the Horizon System Helpdesk detail incidents of error, inaccuracy or malfunction pertaining to the sites, equipment, services and individuals concerned.

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7.2.2   Analysis Non-polling reports

Non-polling reports shall be reviewed for the outlet in question, for all days within the date range specified, to identify if the outlet in question had any problems receiving polls. Non-polled reports are stored by date. The file consists of all non-polls for a particular day. For the date range in question, the reports with the corresponding date shall be retrieved and searched through, by outlet. This will ensure whether during the date range in question the outlet received all polls.

7.2.3   Analysis of Fault logs

Any relevant PinICLs identified in Powerhelp logs will be reviewed through Peak to identify any recorded faults, that might affect the integrity or admissibility of the audit archive from which the Audit Record Queries are extracted.

The Peak log will detail the error relating to the site, equipment and or service in question.

7.2.4   Complete Witness Statement of Fact

PSS will provide a witness statement of fact in respect of 250 Audit Record Queries per annum. This will as far as possible be undertaken by the person responsible for the actioning of the work at 7.1 so as to retain continuity of evidence and obviate the need for additional statements.

7.2.4.1   Witness Statement of Fact

Any material or otherwise pertinent information shall be recorded and included in the relevant witness statement of fact.

Requirements for witness statements explaining the extraction of audit data from Horizon in response to an Audit Record Query shall be completed by the individual from PSS who completed the request.

The statement shall follow the standard format and layout for witness statements of fact provided in evidence. Contents of witness statements of fact are flexible depending on specific requirements of each case and the knowledge of the witness giving the statement. An example of a witness statement of fact is provided in Appendix 2. For each request, Post Office Ltd and PSS will agree relevant matters (such as those listed below) which should be covered in the witness statement of fact (based on the knowledge of the witness):

❑   Identification information about the author of the witness statement of fact.

❑   A summary of the previous manual system used by the Post Office before Horizon.

❑   A summary of Horizon and what information is recorded.

❑   How consistent time is recorded within the Horizon system.

❑   The types of reports that can be generated on a counter by a clerk.

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❏ The transfer of accounts information to Post Offices main accounts department.

❏ A brief overview of all applications, OBCS, EPOSS, APS, LFS, NBS.

❏ How data is passed from the counter to archive media.

❏ The process for extracting information for Audit Record Queries and the controls in place to protect and ensure the integrity of that data.

❏ An analysis of the Audit Record Query, when the Audit Record Query form was received and the dates when the audit data extraction took place. This shall be taken from the Prosecution Support Database and audit trail file.

❏ A summary of the evidence provided for the request

Any Network Banking specific witness statement of fact requirements shall be incorporated as agreed by Post Office Ltd. Casework Manager and Post Office account CS Security Manager.

7.2.4.2   Court attendance in support of Witness Statement of Fact

The author of a witness statement of fact may be required to attend Court in order to bear testimony to the facts. A maximum of 100 days has been anticipated for Court attendance. Any days over this maximum shall be subject to a Change Request.

7.2.5   Provision of exhibits.

Evidence provided in support of prosecutions will generally compromise of one or more of the following:

❏ CD of transaction data,

❏ HSH logs,

❏ Non-polling reports,

❏ fault logs.

7.2.6   Exhibit Labels

All evidence referred to in the witness statement of fact will require an Exhibit Label. This allows for the evidence to be clearly identified.

7.2.7   Despatch

Evidence from HSH logs, Non-polling reports, fault and event logs shall be given an exhibit number and along with the witness statements of fact, shall be posted to Post Office Ltd. Casework Manager by first class post. Appropriate packaging of the statements, reports etc. will be used to help protect against damage in transit.

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7.3   Prosecution Support Resolution Time Scales

Prosecution support is not subject to resolution times but Post Office account shall use reasonable endeavours to meet dates notified by Post Office for the production of this material.

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8.0 Additional Prosecution Support

There may be occasions when information is requested which exceeds that provided for as part of the standard Prosecution Support Service. This shall be dealt with on a case by case basis and in accordance with the Change Control Procedure.

8.1 Audit Record Queries

ARQ retrievals beyond that specified under contract shall be agreed on a case-by-case basis and shall be dealt with in accordance with Change Control Procedures.

8.2 Expert Witness Statement

To offer all the available evidence without it being requested would only serve to flood the courtroom with documentation. For this reason expert in depth analysis and detailed "expert" witness statements (as opposed to witness statements of fact) are rarely required.

It is however conceivable that, given the size and complexity of the Horizon system, the integrity of the witness statements of fact may be challenged by Defence Counsel in order to discredit a prosecution. In these cases additional, granular detail about the technical working and integrity of various systems that constitute the Horizon system may be required if only for "unused material".

Expert witnesses could comprise anyone within Post Office account or its approved contractors who could be called upon to provide and testify to this additional evidence.

Expert witnesses could be called upon to provide for example:

❑   Operational logs and shift hand over documentation to demonstrate consistent operation and availability of the service;

❑   Secure NT, Dynix and SecurID definitions;

❑   Details of information flows throughout the system;

❑   Details of cryptographic key controls and other confidentiality, integrity and availability issues;

❑   Provision of specific Tivoli and other system security event files;

❑   Subsequent analysis of this data.

Whilst this type of detail is specifically excluded from the standard evidential requirements included at paragraphs 7.2.1 to 7.2.4, Post Office account will endeavour to provide support of this granular level of evidence on an agreed case by case basis and shall be dealt with in accordance with the Change Control Procedure. The production of this evidence shall not be subject to the time-scales at 7.3 but Post Office account shall use reasonable endeavours to meet dates notified by Post Office for the production of this material.

8.3   Court Attendance in support of Expert Witness Statement

Support provided for attendance at Court in support of expert witness shall also be considered on production of an appropriate Change Request.   Post Office account's charges for assistance in this respect shall be calculated on the basis of the rates set out in Schedule A12.

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9.0   Appendices

Appendix 1 Audit Record Query

Appendix 2 Witness Statement of Fact

Appendix 3 Exhibit Labels

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Appendix 1

AUDIT RECORD QUERY

Originator:	Post Office Ltd Casework Manager The 4th Floor, Impact House, Edridge Road, Croydon CR9 1PJ	**Date:**	dd/mm/ccyy
Telephone:	**GRO**		

Witness Statement (delete as applicable)	YES/NO	**REF NO.**	ARQ ####/00

Information Requested			
Date range:		**Post Office**	Name and FAD
GENERAL DESCRIPTION / FORMAT REQUIREMENTS:			
Specific Details:	(PAN or equivalent identifier)		
Signed		**Date**	**dd/mm/ccyy**

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Witness Statement

(CJ Act 1967, s9; MC Act 1980, ss 5A(3)(a)
and 5B, MC Rules 1981, r 70)

Statement of

Age if under 18   (If over 18 insert 'over 18')

This statement (consisting of   pages each signed by me) is true to the best of my knowledge and belief and I make it knowing that, if it is tendered in evidence, I shall be liable to prosecution if I have wilfully stated in it anything which I know to be false or do not believe true.

Dated the   day of   20

Signature

A

I have been employed by Fujitsu Services, Post Office Account, formally ICL Pathway Ltd., for ???? months as an Information Technology (IT) Security Analyst responsible for audit data extractions and IT Security. I have working knowledge of the computer system known as Horizon, which is a computerised accounting system used by Post Office Ltd. I am authorised by Fujitsu Services to undertake extractions of audit data held on the Horizon system and to obtain information regarding system transaction information processed on the Horizon system.

B

Within each Post Office, there are counter positions which each have a computer terminal, a visual display unit and a keyboard and printer. This individual system records all transactions input by the counter clerk working at that counter position. Each clerk logs on to the system by using their own unique password. The transactions performed by each clerk, and the associated cash and stock level information are recorded by the computer system in a stock unit. Once logged on, any transactions performed by the clerk

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must be recorded and entered on the computer and are accounted for within the user's allocated stock unit.

C

The Horizon system provides a number of daily and weekly records of all transactions input into it. It enables Post Office users to obtain computer summaries for individual clients of Post Office Limited e.g. National Savings Bank, Girobank, Driving Vehicle Licence Agency and the Department of Working Pensions (DWP). The Horizon system also enables the clerk to produce a weekly balance of cash and stock on hand combined with the other transactions performed in that accounting period.

D

Where local reports are required these are accessed from an icon on the desktop menu. The user is presented with a parameter driven menu, which enables the report to be customised to requirements. The report is then populated from transaction data that is held in the local database and is printed out on the tally roll printer. The system also allows for information to be transferred to the main accounting department at Chesterfield in order for the office accounts to be balanced.

E

The Post Office counter processing functions are provided through a series of counter applications: the Order Book Control Service (OBCS) that ascertains the validity of DWP order books before payment is made; the Electronic Point of Sale Service (EPOSS) that enables Postmasters to conduct general retail trade at the counter and sell products on behalf of their clients; the Automated Payments Service (APS) provides support for utility companies and others who provide incremental in-payment mechanisms based on the use of cards and other tokens and the Logistics Feeder Service (LFS) which supports the management of cash and value stock movements to and from the outlet, principally to minimise cash held overnight in outlets. The counter desktop service and the office platform service on which it runs provides various common functions for transaction recording and settlement as well as user access control and session management.

F

Information from counter transactions is written into a local database and then replicated automatically to databases on all other counters within a Post Office outlet. The information is then forwarded over ISDN (or other communication service) to databases on a set of central Correspondence Servers at the Fujitsu Services data centres.   This is undertaken by a messaging transport system within the Transaction

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Management Service (TMS). Various systems then transfer information to Central Servers that control the flow of information to various support services. Details of outlet transactions are normally sent at least daily via the system. Details relating to the outlet's stock holding and cash account are sent weekly. Details are then forwarded daily via a file transfer service to the Post Office accounting department at Chesterfield and also, where appropriate, to other Post Office Clients.

G

An audit of all information handled by the TMS is taken daily by copying all new messages to archive media. This creates a record of all original outlet transaction details including its origin - outlet and counter, when it happened, who caused it to happen and the outcome. The TMS journal is maintained at each of the Fujitsu Services Data Centre sites and is created by securely replicating all transaction records that occurred in every Outlet. They therefore provide the ability to compare the audit track record of the same transaction recorded in two places to verify that systems were operating correctly. All exceptions are investigated and reconciled. Records of all transactions are written to audit archive media.

H

With the exception of 'Transfer In' events recorded in the Transaction Logs', which are shown in local time and are therefore subject to changes from GMT to BST and BST to GMT at appropriate points in the year. This is due to an anomaly within the programme code which has the effect that during the period where GMT is in force the 'Transfer In' log entries are recorded in GMT and while BST is in force the 'Transfer In' log entries will be recorded in BST instead of GMT and will show a one hour forward displacement in time from other transactions being recorded in the logs. With this one exception the Horizon system records time in GMT and takes no account of Civil Time Displacements.

The system clock incorporated into the desktop application on the counter visual display units is configured to indicate local time. This has been the situation at (INSERT FAD CODE AND POST OFFICE NAME) since (INSERT INSTALLATION DATE) when the Horizon system was introduced at that particular Post Office.

J

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The Order Book Control System (OBCS) software, linked to the Horizon system was developed in conjunction with the DWP. OBCS provides details of DWP order books on the national stop payment list, and, enables data regarding the movement of order books, and, encashments to be captured on their behalf. Each Horizon terminal at a Post Office counter has access to the national stop list through OBCS, when a barcoded DWP order book is scanned at the Post Office counter, or the order book details are manually keyed into Horizon at the Post Office counter. Each night, the national stop payment list is updated from information supplied electronically from the DWP computer centre. National stop payment list data is held centrally within the Horizon system, and is available to all Post Offices. However, certain information from the national stop payment list is also downloaded to individual Post Offices for faster access; this download process is called polling. The polling of individual Post Offices also involves receiving details of order book movements and encashments at Post Offices, centrally within Horizon, for onward transmission to the DWP.

K

I have access to reports that monitor faults, polling failures, equipment failures and calls for advice and guidance logged by the Horizon System Helpdesk. During the **??? to ???** , there were **??** calls from **name & fad code** to the Helpdesk. None of these calls relate to faults which would have had an effect on the integrity of the information held on the system.

L

When information relating to individual transactions is requested, the data is extracted from the audit archive media via the Audit Workstations (AW's). Information is presented in exactly the same way as the data held in the archive although it can be filtered depending upon the type of information requested. The integrity of audit data is guaranteed at all times from its origination, storage and retrieval to subsequent despatch to the requester. Controls have been established that provide assurances to Post Office Internal Audit (POIA) that this integrity is maintained.

During audit data extractions the following controls apply :

1. Extractions can only be made through the AWs, which exist at Fujitsu Services, Forest Road, Feltham, Middlesex, Fujitsu Services, Lovelace Lane, Bracknell, Berkshire and the two Fujitsu Services Data Centres. These are all subject to rigorous physical security controls appropriate to that location. Specifically, the Feltham and Bracknell AWs – where most extractions take place – are located in a

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secure room subject to proximity pass access within a secured Fujitsu Services site.

2. Logical access to the AW and its functionality is managed in accordance with the Fujitsu Services, Post Office Account Security Policy and the principles of ISO 17799. This includes dedicated Logins, password control and the use of Microsoft Windows NT security features.

3. All extraction's are logged on the AW and supported by documented Audit Record Queries (ARQ's), authorised by nominated persons within Post Office Ltd. This log can be scrutinised on the AW.

4. Extractions are only made by authorised individuals.

5. Upon receipt of an ARQ from Post Office Ltd they are interpreted by CS Security. The details are checked and the printed request filed.

6. The required files are identified and marked using the dedicated audit tools.

7. Checksum seals are calculated for audit data files when they are written to audit archive media and re-calculated when the files are retrieved.

8. To assure the integrity of the audit data while on the audit archive media the checksum seal for the file is re-calculated by the Audit Track Sealer and compared to the original value calculated when the file was originally written to the audit archive media. The result is maintained in a Check Seal Table.

9. The specific ARQ details are used to obtain the specific data.

10. The files are copied to the AW where they are checked and converted into the file type required by Post Office Ltd.

11. ~~The requested information is copied onto removal CD media, sealed to prevent modification and virus checked using the latest software. It is then despatched to the Post Office Ltd Casework Manager using Royal Mail Special Delivery. This ensures that a receipt is provided to Fujitsu Services confirming delivery.~~

~~M~~

ARQ ???? was received on ????? and asked for information in connection with the Post Office at ??????. I produce a copy of ARQ ???? as Exhibit ????. On various dates and at various times between ????????????? to ???????????, I undertook extractions of data held on the Horizon system in accordance with the requirements of ????????? and followed the procedure outlined above. I produce the resultant CD as Exhibit ?????.

N

The report is formatted with the following headings:

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ID – relates to counter position

User – Person Logged on to System

SU – Stock Unit

10.0 Start.Date – Date of transaction

Start.Time – Time of transaction

SessionId – A unique string relating to current customer session

TxnId – A unique string relating to current transaction

Mode – e.g. SC which translates to Serve Customer

ProductNo – Product Item Sold

Qty – Quantity of items sold

SaleValue – Value of items sold

Entry method - Method of data capture for OBCS Transactions (0 = barcode, 1 = manually keyed, 2 = magnetic card, 3 = smartcard, 4 = smart key)

State – Method of manual keyed Entry Method (4 = encash, 5 = non-barcode)

IOP - Order Book Number

Result – Order Book Transaction Result (1 = OK, 2 = impound, 3 = unreadable, 4 = invalid

State – Method of manual keyed Entry Method.

IOP - Order Book Number

Result – Order Book Transaction Result

Foreign Indicator – Indicates whether OBCS payment was made at a local or foreign outlet (0- Local, 1- Foreign). The foreign indicator defaults to a '0' for all manually entered transactions.

The Event report is formatted with the following headings:

Groupid – FAD code

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ID – relates to counter position

11.0 Date – Date of transaction

Time – Time of transaction

User – Person Logged on to System

SU – Stock Unit

EPOSSTransaction.T – Event Description

EPOSSTransaction.Ti – Event Result

P

The CD (Exhibit ????) was sent to the Post Office Investigation section by Special Delivery on ??????/

Q

There is no reason to believe that the information in this statement is inaccurate because of the improper use of the computer. To the best of my knowledge and belief at all material times the computer was operating properly, or if not, any respect in which it was not operating properly, or was out of operation was not such as to effect the information held on it. I hold a responsible position in relation to the working of the computer.

Any records to which I refer in my statement form part of the records relating to the business of Fujitsu Services. These were compiled during the ordinary course of business from information supplied by persons who have or may reasonably be supposed to have personal knowledge of the matter dealt with in the information supplied, but are unlikely to have any recollection of the information or cannot be traced. As part of my duties, I have access to these records.

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NOTE: This side B to be completed only when the original statement is overleaf. When this form is used to make a copy of a statement side B is to be left blank.

Forest Road, Feltham, Middlesex TW13 7EJ

Address

Mobile Tel No: GRO   **Business telephone No:**   GRO

Occupation:.   **Date and place of birth:**

Maiden name.:   **Identity code:**

Dates to be avoided. Delete dates of non availability of witness

September 2004							October 2004							November 2004							December 2004						
M	TU	W	TH	F	SA	SU	M	TU	W	TH	F	SA	SU	M	TU	W	TH	F	SA	SU	M	TU	W	TH	F	SA	SU

		1	2	3	4	5				1	2	3	1	2	3	4	5	6	7			1	2	3	4	5
6	7	8	9	10	11	12	4	5	6	7	8	9	10	8	9	10	11	12	13	14	6	7	8	9	10	11	12
13	14	15	16	17	18	19	11	12	13	14	15	16	17	15	16	17	18	19	20	21	13	14	15	16	17	18	19
20	21	22	23	24	25	26	18	19	20	21	22	23	24						27	28	20	21	22	23	24	25	26
27	28	29	30				25	26	27	28	29	30	31	29	30						27	28				

| January 2005 | | February 2005 | | March 2005 | | April 2005 |

M	TU	W	TH	F	SA	SU	M	TU	W	TH	F	SA	SU	M	TU	W	TH	F	SA	SU	M	TU	W	TH	F	SA	SU
31					1	2		1	2	3	4	5	6		1	2	3	4	5	6					1	2	3
3	4	5	6	7	8	9	7	8	9	10	11	12	13	7	8	9	10	11	12	13	4	5	6	7	8	9	10
10	11	12	13	14	15	16	14	15	16	17	18	19	20	14	15	16	17	18	19	20	11	12	13	14	15	16	17
17	18	19	20	21	22	23	21	22	23	24	25	26	27	21	22	23	24	25	26	27	18	19	20	21	22	23	24
24	25	26	27	28	29	30	28							28	29	30	31				25	26	27	28	29	30	

Contact point, if different from above: Security Manager, Post Office Account, Fujitsu Services

Address: Forest Road, Feltham, Middlesex TW13 7EJ

Telephone No: **GRO**   **Fax No:**   **GRO**

Mobile No:

STATEMENT TAKEN BY (print name)

Office

Appendix 3 – Exhibit Label

> ### Fujitsu Services
> Identifying Mark: …………………………………..
> Signature of Witness:
> ………………………………….
> ……………………………………………………
> Date………………………………………………
> ……
> Description of Item: …………………………………..
> Lab Ref: ………………… Exhibit No ………………
> Version 2.0 04/02
> Fujitsu Services, Registered in England no 96056,
> Registered Office 26, Finsbury Square, London, EC2A 1SL

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