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MANAGEMENT OF THE LITIGATION SUPPORT SERVICE

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Document Title:	MANAGEMENT OF THE LITIGATION SUPPORT SERVICE
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Author & Dept:	Penny Thomas, CS Security
External Distribution:	Jane Owen, POL Security Team
Security Risk Assessment Confirmed	Yes

Approval Authorities:

Name	Role	Signature	Date
David Keeling	CS Director		
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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	20 Oct 2009	Initial Draft	
1.0	27 Oct 2009	For Approval	

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 :	27 Oct 2009	
Review Comments to :	Penny.thomas@ GRO	RMGADocumentmanagement@ GRO
Mandatory Review		
Role	Name	
CS Service Support Manager	Kirsty Gallacher	
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Role	Name	
Commercial Manager	Guy Wilkerson	
Issued for Information – Please restrict this distribution list to a minimum		
Position/Role	Name	
Security Operations	Andy Dunks	

(*) = Reviewers that returned comments

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
CR/FSP/006			Audit Trail Functional Specification	
SVM/SDM/SD/0017			Service Description for the Security Management Service	Dimensions
SVM/SEC/PRO/0018			Audit Data Extraction Process	Dimensions
CCP/PA/PRO/001			RMGA Change Control Procedure	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
ARQ	A Record Query that is not a Banking Transaction Record Query and which relates to Transactions
CS	Customer Services
POL	Post Office Limited
RMGA	Royal Mail Group Account

0.6 Glossary

Term	Definition
Audit Record Query (ARQ)	A 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.
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.

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1   Introduction

This document is intended to assist in the management and delivery of the service required to support Post Office Limited (POL) in respect of criminal and/or civil litigation for the Horizon and Horizon Online solutions. This service was introduced in response to Network Banking Requirements 260 and 315 and this document is derived from the Horizon document NB/PRO/003

The defined detail of the Service is outlined in SVM/SDM/SD/0017.

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.

2   Scope

Audit Record Query (ARQ) requests are received, documented, interpreted and transaction data is extracted from the Audit Archive and progressed to resolution.

A comprehensive set of standard data information requests has been created and agreed with POL. In the majority of cases these returns satisfy POL requests for transaction data and exceptions are dealt with on a case by case basis. These procedures can therefore provide a flexible approach to the provision of litigation support.

ARQ requests in support of potential litigation will be obtained solely from the Audit Archive / Server. The method by which the integrity of this data is protected is described in the *Audit Trail Functional Specification, CRFSP6.*

Requests for evidence and witness statements in support of litigation activity are received and provided.

3   Audit Record Queries (ARQs)

An ARQ is a request to the Royal Mail Group Account (RMGA) for transaction data required to support a POL investigation or litigation activity. This transaction data is held on the Audit Archive. The request is received from the POL Casework Manager, or his nominated representative, and contains specific search criteria. The stipulated criteria and the format of the returned data are as referenced in the document Security Management Service - Service Description, SVM/SDM/SD/0017.

The agreed annual quotas and return timeframes for ARQ requests are as referenced in the document Security Management Service - Service Description, SVM/SDM/SD/0017.

3.1   Format for ARQ Requests

ARQ requests in connection with litigation activity are made via an ARQ Form; the agreed detail of the request is as referenced in the document Security Management Service - Service Description, SVM/SDM/SD/0017.

POL will allocate a unique identifier to each request. This number will be retained by RMGA and will form the basis of an audit trail for each request.

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3.2 Exclusions

Transaction requests in connection with Disputed Banking Transactions are not covered in this document.

4 Audit Data Retrieval

The process for retrieval of audit data through to production of CD is described in the process SVM/SEC/PRO/0018 Audit Data Extraction Process.

4.1 Despatch

The CD shall be sent to the POL Casework Manager via Royal Mail's Special Delivery Service.

5 Litigation Support Service

The full service provided by RMGA is as referenced in the document Security Management Service - Service Description, SVM/SDM/SD/0017.

5.1 Witness Statement of Fact

RMGA will provide witness statements of fact to support data or records retrieved, as referenced in the document Security Management Service - Service Description, SVM/SDM/SD/0017.

Requirements for witness statements explaining the retention and extraction of audit data from Horizon and Horizon Online in response to an ARQ shall be, where possible, completed by the individual from RMGA who filled the ARQ request.

5.2 Court Attendance in support of a Witness Statement of Fact

The author of a witness statement of fact may be required to attend Court to give evidence relating to the detail contained in the witness statement provided.

Agreed quotas for Court attendance are as referenced in the document Security Management Service - Service Description, SVM/SDM/SD/0017

5.3 Provision of Exhibits

If a case goes to Court all evidence provided by RMGA in support of the prosecution will be required as Exhibits.

5.4 Litigation Support Resolution Time Scales

Litigation Support is not subject to resolution timeframes but RMGA shall use reasonable endeavours to meet dates notified by POL for the production of this material.

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6 Detail Retention/Litigation Support Database

The detail of all requests will be recorded in the Litigation Support database. This database will be used as a register and all relevant information and dates will be recorded therein.

POL will also keep a log of requests made to RMGA.

The duplication of records will ensure that POL and RMGA meet contractual requirements on the number of requests issued and returned.

6.1 Process for ARQ Cancellations

Once an ARQ has been received by RMGA and the unique identifier allocated the reference number will not be reused, even if the request is later withdrawn.

7 Additional Litigation Support

Where additional information to that described in the standard litigation support service is requested RMGA shall view each request on a case by case basis, and in accordance with the Change Control Procedure.

7.1 ARQ Requests

ARQ requests 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.

7.2 Expert Witness Statement

Expert, in depth, analysis and detailed "expert" witness statements (as opposed to witness statements of fact) are rarely required.

However, in the event of such a request RMGA will endeavour to provide "expert" witnesses who are able to give more detailed and specific evidence to support POL's litigation activity. This "expert" activity shall be provided on a case by case basis and shall be dealt with in accordance with the Change Control Procedure.

Again, RMGA shall use reasonable endeavours to meet dates notified by POL for the production of this material and support.

7.3 Court Attendance in support of an Expert Witness Statement

Attendance at Court in support of an "expert" witness statement shall also be considered on production of an appropriate Change Request. The RMGA'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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8 Nominated Contacts

8.1 POL

All ARQ requests for the purpose of investigation and/or litigation are to be authorised by and channelled through the POL Security Team.

RMGA will only accept requests from the POL Casework Manager or his nominated deputy.

The POL Casework Manager will advise the RMGA's Litigation Support Manager, or his nominated representative, of named deputies, authorised to submit ARQ requests.

RMGA will post all returns to:-

POL Casework Manager

Post Office Limited

Security Team, Royal Mail Group

3rd Floor, Clippers House

Clippers Quay

Salford M50 3NW

8.2 RMGA

POL will submit all ARQ requests which support investigation or litigation to:

Litigation Support Section,

CS Security, RMGA

Fujitsu (UK & Ireland)

Lovelace Road

Bracknell

Berkshire RG12 8SN

The completed ARQ form will be sent via email to the nominated team.