FUJITSU

POST OFFICE

Document Title:	ACCEPTANCE REPORT FOR HNG-X ACCEPTANCE GATEWAY 3
Document Reference:	*REQ/GEN/ACS/0002*
Release:	Release specific
Abstract:	This document comprises the Acceptance Report for HNG-X Acceptance Gateway 3. It provides details of the Acceptance status of all POL requirements associated with this Acceptance Gateway and is for submission to the HNG-X Acceptance Board.
Document Status:	APPROVED
Author & Dept:	Dave Cooke HNG-X Acceptance Manager
External Distribution:	Neil Williams, Phil Norton, Mark Burley, David Smith, Liz Tuddenham, Ian Trundell
Security Risk Assessment Confirmed	NO

Approval Authorities:

Name	Role	Signature	Date
Phil Norton	POL Requirements and Acceptance Manager	See Dimensions for record	
Dave Cooke	FS HNG-X Acceptance Manager	See Dimensions for record	

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

0 Document Control

0.1 Table of Contents

© Copyright Post Office Limited 2010

COMMERCIAL IN CONFIDENCE

UNCONTROLLED IF PRINTED OR LOCALLY STORED

Ref: REQ/GEN/ACS/0002
Version: 2.0
Date: 23-Feb-2010
Page No: 2 of 46

0.2   Document History

Version No.	Date	Summary of Changes and Reason for Issue	Associated Change - CP/PEAK/PPRR Reference
0.1	28-OCT-2009	Initial version	
0.2	02-NOV-2009	Updated following joint FS / POL review	
0.3	03-NOV-2009	Updated following joint FS / POL review	
0.4	06-NOV-2009	Updated the following sections: - • Section 3.3 to add additional defect 12489 (MIG-3017), 12505 (ARC-422) • Section 3.4.2 to clarify the status of the Use Case failures • Section 3.4 to add additional defects 12251 & 12270, and revise the AI severities • General updates to the number and status of the 'deferred test' requirements	

© Copyright Post Office Limited 2010

COMMERCIAL IN CONFIDENCE

UNCONTROLLED IF PRINTED OR LOCALLY STORED

Ref: REQ/GEN/ACS/0002
Version: 2.0
Date: 23-Feb-2010
Page No: 3 of 46

Version No.	Date	Summary of Changes and Reason for Issue	Associated Change - CP/PEAK/PPRR Reference
0.5	04-Dec-2009	Consolidation of changes agreed via interim reviews and working drafts. Updates following Acceptance Criteria status changes and to the following sections:- • Section 1.1 – statement added concerning non-acceptance defects • Section 1.2 – revised layout • Section 2.2.1 – layout changes and inclusion of tables for known 'Delayed Test' criteria • Section 2.2 – Update of table • Section 2.2.1 – Update of tables to include all criteria that are known to require future testing • Section 2.3.1.2 - general revisions to tables to update test status, and to reflect movement of some criteria to section 2.2.1 • Section 2.3.2.2 - general revisions to tables to update test status, and to reflect movement of some criteria to section 2.2.1 • Section 2.3.5 – Addition of SEC-3118 – now reinstated at AG3 • Section 2.3.6 – Updates to test status • Section 3 – General updates to reflect additional defects / Acceptance Incidents and adjustments to totals	
0.6	08-Dec-2009	Updates following joint review. Changes to the following sections: - • Section 1.2 – update to figures • Section 2.2 – inclusion of 'Delayed Test' column and adjustment of figures • Section 2.2.1 – Update of tables • Section 2.3 – removal of sections as necessary as requirements are moved to 'Delayed Test' section of 'Failed' section.	
0.7	09-Dec-2009	Updates to reflect change of requirements and defect status. Changes to the following sections: - • Section 1.2 – update to figures • Section 2.2 – update to figures arising from MIG-3162 now passed • Section 3 – update to figures arising from defects now being passed	

© Copyright Post Office Limited 2010

COMMERCIAL IN CONFIDENCE

UNCONTROLLED IF PRINTED OR LOCALLY STORED

Ref: REQ/GEN/ACS/0002
Version: 2.0
Date: 23-Feb-2010
Page No: 4 of 46

Version No.	Date	Summary of Changes and Reason for Issue	Associated Change - CP/PEAK/PPRR Reference
1.0	10-Dec-2009	Updates arising from joint review. Changes to section:- • Section 1.2 – update to layout and figures • Sections 2.1 & 2.2 – adjustment to column headings and figures • Section 2.3.3.2 – update to status details • Section 2.4.3 – update to advise which defects will be subject to discussion at RAB • Section 3 – Addition of new AIs for defects 12797 and 12845 • General – include defects numbers alongside AI references	
1.1	17-Dec-2009	Updates arising from AG3 Acceptance Board. Changes to sections: - • Section 1.2 – update to reference known defects / AIs that are pre-requisites to progression into Pilot • General – inclusion of AI severity against any AI references • Section 3 – include summary details of the medium AIs alongside relevant tables. • Section 2.3.3.2 – Move HLP-93 & HLP-131 to this section. • General – updates as required to reflect current QC status	
1.2	22-Dec-2009	Updates to reflect latest QC status. Changes to sections: - • Section 1.2 – Note 1 – updated to reflect latest position	

© Copyright Post Office Limited 2010

COMMERCIAL IN CONFIDENCE

UNCONTROLLED IF PRINTED OR LOCALLY STORED

Ref: REQ/GEN/ACS/0002
Version: 2.0
Date: 23-Feb-2010
Page No: 5 of 46

ACCEPTANCE REPORT FOR HNG-X ACCEPTANCE GATEWAY 3

COMMERCIAL IN CONFIDENCE

Version No.	Date	Summary of Changes and Reason for Issue	Associated Change - CP/PEAK/PPRR Reference

1.3	08-Jan-2010	Updates to reflect outcome of AG3 Board of 30/12/09 and latest QC status. Changes to sections: -
		
		• Section 1.2 and note 1.
		
		• Section 2.2 – revision of figures
		
		• General – update to tables to reflect latest QC status
		
		• Appendix E – inclusion of new appendix to record summary of Acceptance Incidents that are now closed.
		
		• Section 2.3.1 – removed as Use Cases now passed
		
		• Section 3 – AI updates:-
		
		   o AI-AD-151 (High) - card misread - closed
		
		   o Defect 12540 / AI-AD-148 (Medium) – date offset – closed
		
		   o Defect 12845 / AI-TS-028 (Medium) - Help file distribution – closed
		
		   o Status of defect 12795 / AI-TS-031 to be reviewed	

1.4	20-Jan-2010	Updates to reflect status changes and progress against Acceptance Incidents. Changes to sections:-
		
		• Section 1.2 – Update to figures and notes
		
		• Section 3 – update to figures
		
		   o AI-TS-030 – Orange WWAN – now a Medium AI as workaround in place
		
		   o AI-TS-031 – Router syslog event messages – now a Low AI
		
		   o New AI-TS-032 (Low) introduced concerning 'hourglass' visible in Help
		
		• Appendix E – Update to record closure of previous AIs
		
		   o AI-TS-029 – Ref data distribution – now closed
		
		   o AI-AD-103 – Duplicate of AI-AD-071	

2.0	23–Feb-2010	Updated to baselined version following decision at AG3 Acceptance Board of 21/01/2010 - see minutes AG3-06 / item AG3.60. Notes in sections 1.2 removed. Acceptance decision included in section 1.3.	

© Copyright Post Office Limited 2010

COMMERCIAL IN CONFIDENCE

UNCONTROLLED IF PRINTED OR LOCALLY STORED

Ref: REQ/GEN/ACS/0002
Version: 2.0
Date: 23-Feb-2010
Page No: 6 of 46

FUJITSU

ACCEPTANCE REPORT FOR HNG-X ACCEPTANCE GATEWAY 3

COMMERCIAL IN CONFIDENCE

POST OFFICE

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 :	
Review Comments to :	david.cooke GRO & RMGADocumentManagement GRO

Mandatory Review	
Role	Name
HNG-X Programme Manager	Alan D'Alvarez
HNG-X Solution Architect	Jim Sweeting
POL HNG-X Programme Manager	Mark Burley
POL HNG-X Requirements Manager	Phil Norton
POL HNG-X Acceptance Manager	Neil Williams
POL HNG-X Design Authority	Ian Trundell
HNG-X Testing Manager	Debbie Richardson
POL HNG-X Testing Manager	Lee Farman

Optional Review	
Role	Name
Head of Programmes – Private Sector Business Unit	Mike Wood
Head of Change and IS	Dave Smith
RMGA Commercial Director	Guy Wilkerson
POL HNG-X Senior Contracts and Service Manager	Liz Tuddenham
Issued for Information – Please restrict this distribution list to a minimum	
Position/Role	Name

(*) = Reviewers that returned comments

© Copyright Post Office Limited 2010

COMMERCIAL IN CONFIDENCE

UNCONTROLLED IF PRINTED OR LOCALLY STORED

Ref:	REQ/GEN/ACS/0002
Version:	2.0
Date:	23-Feb-2010
Page No:	7 of 46

FUJITSU

POST OFFICE

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
			Schedule B6.3 – HNG-X Acceptance Process	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

0.6 Glossary

Term	Definition

0.7 Changes Expected

Changes
Version numbers all embedded documents will be updated to align with final baseline version,

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.

© Copyright Post Office Limited 2010

COMMERCIAL IN CONFIDENCE

UNCONTROLLED IF PRINTED OR LOCALLY STORED

Ref: REQ/GEN/ACS/0002
Version: 2.0
Date: 23-Feb-2010
Page No: 8 of 46

1   Introduction

This document comprises the HNG-X Acceptance Report to the HNG-X Acceptance Board for the assessment of the progression through Acceptance Gateway 3 (AG3) – Readiness for Pilot.

The basis for HNG-X Acceptance is defined in Schedule B6.3 and some sections are reproduced within this report.

The POL Requirements and Criteria, contained in the HNG-X Requirements Catalogue - POL DOORS archive v1.42, and associated with AG3 are contained in Appendix A.

The definition of the HNG-X Acceptance Methods is contained in Appendix B.

The definition of the Acceptance Incident Severity is contained in Appendix C.

1.1   Scope

The purpose of this Acceptance Board is: -

'To agree the Acceptance status of the relevant Release (*HNG-X Release 1 for AG3)* and provide a recommendation to the 'Joint Release Authorisation Board'.' The proposed options that this Board can select from are described in Appendix D.

This recommendation is based on an assessment of the status of the applicable POL Requirements and Acceptance Criteria and of the stage progression criteria for AG3 are described in Schedule B6.3.

The primary assessment concerns the status of any Acceptance Incidents as follows:-

Progression through HNG-X Acceptance Gateway 3 shall occur once all of the following have been satisfied for the HNG-X Acceptance Criteria allocated to achieving progression through the respective HNG-X Acceptance Gateway:

(a)   subject to paragraph 4.6 *(of Schedule B6.3 which refers to dispute handling, defect aggregation and deferred tests)*, all such HNG-X Acceptance Criteria have been achieved;

(b)   activities leading to HNG-X Acceptance Gateway 1 (named "Readiness for Router Roll–Out (Z1)" and HNG-X Acceptance Gateway 2 (named "Readiness for Data Centre Migration") must be completed and these two HNG-X Acceptance Gateways passed through in accordance with paragraph 4.5.4.2 as pre-requisites to achieve HNG-X Acceptance Gateway 3.

(b)   there are no outstanding HNG-X High Severity Acceptance Incidents;

(c)   the number of outstanding HNG-X Medium Severity Acceptance Incidents is five or fewer and an agreed workaround exists for each of them; and

(d)   there is an agreed workaround for all outstanding HNG-X Low Severity Acceptance Incidents except for those which the Parties agree do not require a workaround.

(e)   details of all Non Incidents are recorded, although they shall have no impact upon Acceptance Gateway progression

These together with other supporting factors are summarised in the following checklists for AG3.

It should be noted that there are also defects that are not linked to POL Requirements and which are not the subject of Acceptance Incidents. A separate assessment of the status and significance of these has been undertaken and this will be available for consideration at the Release Authorisation Board.

© Copyright Post Office Limited 2010

COMMERCIAL IN CONFIDENCE

UNCONTROLLED IF PRINTED OR LOCALLY STORED

Ref: REQ/GEN/ACS/0002
Version: 2.0
Date: 23-Feb-2010
Page No: 9 of 46

1.2 Acceptance Board assessment checklist for AG3

References in this table refer to the HNG-X Acceptance Schedule B6.3.

Programme Stages. Schedule 6.3 paragraph 2.2.4 identifies the three key stages during which the HNG-X Acceptance Process takes place.		**Test and Validation.**	
Acceptance Gateways. Schedule 6.3 paragraph 4.3 identifies three key HNG-X Acceptance Gateways controlling progression through the HNG-X Acceptance Process Stages plus two additional Acceptance Gateways.		**Acceptance Gateway 3.**	
		First of three key HNG-X Acceptance Gateways.	Check list.
Sequence. The sequence of HNG-X Acceptance Process stages and the order of precedence for Acceptance Gateways is defined in schedule 6.3 section 2.2		Passage through both AG 1 & AG2	✔
Assessment of the HNG-X Requirements Catalogue; for Achievement, Fulfilment and Compliance.	The HNG-X Acceptance Plan. For all HNG-X Requirements, Fujitsu Services is responsible for producing, within the timescale agreed between the Parties, evidence to demonstrate that the relevant HNG-X Acceptance Criterion has been met. 4.6.4 If, other than as a result of a Default of Fujitsu Services, it is impossible for a test to be carried out when scheduled in the HNG-X Acceptance Plan then that test becomes known as a "Delayed Test". The non-occurrence of a Delayed Test at the time originally scheduled in the HNG-X Acceptance Plan will not prevent HNG-X Stage Progression, HNG-X Final Acceptance or progression through HNG-X Acceptance Gateways 1 or 2.	With the exception of those tests agreed to be Delayed Tests, all tests have been carried out when scheduled in the HNG-X Acceptance Plan.	✔
	Delayed Tests. 4.6.4 Delayed Tests will be carried out as soon as reasonably practicable or at such later time as the Parties may agree (which shall be no later than six months after HNG-X Final Acceptance) provided that performance on that agreed date does not, other than as a result of a Default of Fujitsu Services, become impossible (in which event the Delayed Test shall be carried out as soon as reasonably practicable). *Contract Schedule 6.3 will need revising (from v1.0) to change the reference from Deferred Test to Delayed Test.*	The total number of Requirements with one or more Delayed Tests equals:	24
	Achievement, Fulfilment & Compliance. Gateway progression shall occur when 4.5.4.2 (a) subject to paragraph 4.6, all (such) HNG-X Acceptance Criteria have been achieved. Tests have identified a number of HNG-X Acceptance Incidents and these are summarised below. Otherwise, (and with the exception of Delayed Tests), Test demonstrate that all other HNG-X Acceptance Criteria have been met.	With the exception of those Requirements with Delayed Tests and those that are the subject of Acceptance Incidents (noted below), all AG 3 Acceptance Criteria have been achieved (4.5.1.1(a)).	✔

COMMERCIAL IN CONFIDENCE

UNCONTROLLED IF PRINTED OR LOCALLY STORED

Ref: REQ/GEN/ACS/0002
Version: 2.0
Date: 23-Feb-2010
Page No: 10 of 46

All Defects Recorded.	HNG-X Acceptance Incidents recorded (a subset of all Defects Recorded).	Each of which was caused by the introduction of changes arising from Project HNG-X and/or the Associated Change Activities that are subject to the HNG-X Acceptance Process and	Results in a defect that would render a key element of one or more of the Business Capabilities and Support Facilities or a key element of the Infrastructure unfit for operational use.	High Severity	None allowed (4.5.1.1 (c))+I13.	0
			Results in a defect that would cause problems in the operational use of one or more Transaction types.	Medium Severity	Five or fewer allowed and -	2
					each has an agreed workaround but -	✔
					Rectification Plans are not required yet.	✔
			Results in a defect that does not cause any adverse operational impact in the use of the Business Capabilities and Support Facilities or an element of the Infrastructure, or can be addressed by a Fujitsu Services workaround without any adverse operational impact for Post Office.	Low Severity	Contract does not specify a limit on the number but -	146
					each has an agreed workaround (unless agreed otherwise) but -	✔
					Rectification Plans are not required yet.	✔
			Was found: not to be a defect, not to have resulted from the introduction of HNG-X or not to fall within the high, medium or low categories.	Non Incident	Need not be counted for Acceptance but resolution will be managed in QC & Peak.	8
	Defects not caused by Fujitsu Services: 4.6.2 If, following investigation by Fujitsu Services, an HNG-X Acceptance Incident is found to have been caused solely by a fault or deficiency in anything other than those elements of HNG-X provided by Fujitsu Services, it shall not count (towards Gateway Progression).				Need not be counted for Acceptance but POL may need to resolve.	0
Acceptance Disputes. In accordance with Schedule 6.3 paragraph 4.6 the parties agree that:					There are no unresolved Acceptance Disputes.	✔

1.3 Acceptance Decision

The AG3 Acceptance Board (AG3-06) was held on 21/01/10 and approval to proceed through AG3 was granted. The decision stated that '…it was agreed that the high priority fixes in "Reset 4" – to be delivered as part of Maintenance Release 01.08 – could constitute a High Severity AI if not delivered in time for High Volume Pilot (over 272 branches). As such, "Qualified Acceptance" at AG3 was agreed, subject to the successful delivery of the high priority items in Reset 04.

Whilst not an exact match, this is the closet to the Acceptance Board Recommendation 3: 'Proceed at risk through Acceptance Gateway.'

These associated conditions were discussed at the corresponding Release Authorisation Board and recorded in the minutes of that meeting.

© Copyright Post Office Limited 2010

COMMERCIAL IN CONFIDENCE

UNCONTROLLED IF PRINTED OR LOCALLY STORED

Ref: REQ/GEN/ACS/0002
Version: 2.0
Date: 23-Feb-2010
Page No: 11 of 46

2 Review of status of Acceptance Criteria

The POL requirements for Acceptance Gateway 3 comprise all of the functional requirements represented by the POL Use Cases and a set of the Non-Functional requirements.

2.1 Functional Requirements – Use Cases

There are 143 Use Cases which constitute the POL functional requirements. Their summary status is as follows: -

Count of Status	Status			
Service Barrel	**Failed (Deferred Fix)**	**Failed**	**Passed**	**Grand Total**
Banking	8		10	18
Branch Accounting	1		17	18
Branch Admin	2		8	10
Branch Support & Control			17	17
Bureau de Change			7	7
ETU	3		1	4
IOP	8		11	19
Postal Services	1		8	9
Retail & Stock Sales	1			1
Shared	1	5	13	19
Cash & Stock Management	3		18	21
Grand Total	**28**	**5**	**110**	**143**

Key to Status

Failed (Deferred Fix) – This indicates that a Use Case has one or more defects associated with it, but that the resolution of these defects have been agreed to be deferred to beyond start of Pilot.

Failed - This status indicates that a Use Case has one or more defects associated with it that has not yet been resolved. See section 2.4.1. (Note that in this case these all relate to test reference data issues and are classed as Non-Incidents).

Applicable defects are represented as Acceptance Incidents in section 3.

COMMERCIAL IN CONFIDENCE

UNCONTROLLED IF PRINTED OR LOCALLY STORED

Ref: REQ/GEN/ACS/0002
Version: 2.0
Date: 23-Feb-2010
Page No: 12 of 46

POL00032999
POL00032999

ACCEPTANCE REPORT FOR HNG-X ACCEPTANCE GATEWAY 3

COMMERCIAL IN CONFIDENCE

FUJITSU

POST OFFICE

2.2 Non-Functional Requirements and Criteria

There are 753 non functional Acceptance Criteria associated with Acceptance Gateway 3. Their summary status is as follows: -

Count of Status	Status				
Verification Method	**Delayed Test**	**Failed (Deferred Fix)**	**Failed**	**Passed**	**Grand Total**
Document Review	3	14		234 (21 with concession)	251
Design Walkthrough				139 (11 with concession)	139
Monitoring				2	2
Statement of Fact				42 (2 with concession)	42
Statement of Obligation				90 (4 with concession)	90
Solution Test	15	16	6	129 (22 with concession)	166
Release Validation Test	1	3	2	57 (6 with concession)	63
Grand Total	19	33	8	693	753

Key to Status

Deferred Test – This identifies the number of criteria that are subject to 'deferred test' status. See section 2.3.

Failed (Deferred Fix) – Each Failed Criteria is shown in section 2.4. Applicable defects are represented by an Acceptance Incident in section 3

Failed - This status indicates that a criterion has one or more defects associated with it that has not yet been resolved. See section 2.4.3.1 (Note that in this case these defects have all been assessed as having no POL Business Impact).

© Copyright Post Office Limited 2010

COMMERCIAL IN CONFIDENCE

UNCONTROLLED IF PRINTED OR LOCALLY STORED

Ref: REQ/GEN/ACS/0002
Version: 2.0
Date: 23-Feb-2010
Page No: 13 of 46

2.3   Delayed (Deferred) Test status

The Schedule B6.3 acknowledges that there may be circumstances when previously scheduled testing that was targeted for completion by this Acceptance Gateway cannot now take place. Providing that this is not due to a contractual default by Fujitsu, and the parties agree, then the tests associated with a POL requirement may be delayed – this is known in the contract as a 'Deferred Test'. Fujitsu are still obliged to carry out these 'Deferred Tests'.

For this Acceptance Gateway, Either Fujitsu or Joint Test Team has requested that tests associated with the following requirements are given this 'Deferred Test' status. Quality Centre does not record this status and so the current QC status is shown for each criterion.

2.3.1   Delayed Test Status - non-testable criteria

The final testing of the following non-testable criteria has been agreed to be delayed.

Original Object Id	Original Object text	Acceptance Criteria	Verification Method	Status / Impact
SEC-3138	Risks identified in the area of SQL injection attacks (see SEC-3347) will be managed under Change Control.	Evidence that all risks raised under Requirement SEC-3347 have been addressed under the Change Control process.	DR	The assessment of this criterion cannot conclude until the two criteria associated with SEC-3347 have been assessed. They are: - SEC-3137 – see AI-NT-1001 (Medium) & SEC-3348 – Deferred Test (QC status = No Run)
SEC-3061	By provision of an appropriate architecture for HNG-X and associated service operation, Fujitsu Services shall protect Post Office from liability for information security threats to a similar extent that Post Office is protected by Baseline Horizon unless otherwise agreed with Post Office Information Security.	Review of documentation and agreed waivers prior to going live shows that all other security requirements have either been accepted or, where not, waivers have been agreed by Post Office Information Security.	DR	The assessment of this criterion cannot conclude until all other Security criteria have been assessed. (QC status = No Run)

© Copyright Post Office Limited 2010

COMMERCIAL IN CONFIDENCE

UNCONTROLLED IF PRINTED OR LOCALLY STORED

Ref: REQ/GEN/ACS/0002
Version: 2.0
Date: 23-Feb-2010
Page No: 14 of 46

Original Object Id	Original Object text	Acceptance Criteria	Verification Method	Status / Impact
SEC-3060	By provision of an appropriate architecture for HNG-X and associated service operation, Fujitsu Services shall protect Post Office from liability for information security threats to a similar extent that Post Office is protected by Baseline Horizon unless otherwise agreed with Post Office Information Security.	Review of documentation and agreed waivers on completion of ST tests shows that all other security requirements have either been accepted or, where not, waivers have been agreed by Post Office Information Security.	DR	The assessment of this criterion cannot conclude until all other Security criteria have been assessed. (QC status = No Run)

© Copyright Post Office Limited 2010

COMMERCIAL IN CONFIDENCE

UNCONTROLLED IF PRINTED OR LOCALLY STORED

Ref:	REQ/GEN/ACS/0002
Version:	2.0
Date:	23-Feb-2010
Page No:	15 of 46

2.3.2 Delayed Test Status – non-functional testable criteria

The final testing of the following testable criteria has been agreed to be delayed.

2.3.2.1 Criteria associated with the Security Penetration Testing

Original Object Id	Original Object text	Acceptance Criteria	Verification Method	Status / Impact
SEC-3115	Branch Terminals shall be bootable only from their primary mass storage device on the terminal.	Evidence that attempts to boot from other than the primary mass storage device fail.	ST	Final status of this criterion is subject to the review and assessment of the Portcullis report which is due in mid January. (QC Status = No Run)
SEC-3135	All new developments will protect databases from SQL injection attacks mounted through data centre perimeter controls such as firewalls.	Demonstration of protection (either by simulation of attack or by other means)	ST	Final status of this criterion is subject to the review and assessment of the Portcullis report which is due in mid January. Interim status has been communicated to POL and identified that there were no major issues. This is subject to Acceptance incident AI-AD-129 (Low) / defect 4567. (QC Status = No Run)
SEC-3193	Any mobile backup or secondary network produced within the {CISP 8.5.1k} specification of the requirement shall be secured to the same level as the primary network.	As per the Requirement	ST	Final status of this criterion is subject to the review and assessment of the Portcullis report which is due in mid January. (QC Status = No Run)

© Copyright Post Office Limited 2010

COMMERCIAL IN CONFIDENCE

UNCONTROLLED IF PRINTED OR LOCALLY STORED

Ref: REQ/GEN/ACS/0002
Version: 2.0
Date: 23-Feb-2010
Page No: 16 of 46

FUJITSU

POST OFFICE

Original Object Id	Original Object text	Acceptance Criteria	Verification Method	Status / Impact
SEC-3161	All HNG-X systems shall use private IP addresses (see RFC1918) which shall not be exposed across the system boundary.	Evidence of no reported incidence of IP addresses being exposed in this way during the testing phase.	ST	Final status of this criterion is subject to the review and assessment of the Portcullis report which is due in mid January. Interim status has been communicated to POL and identified that there were no major issues. (QC Status = Not Complete)
SEC-3177	All RADIUS servers that authenticate network access shall be secured and segregated into logical network segments by carrier access method and be externally visible to authorised domain users only.	As per the Requirement	ST	Final status of this criterion is subject to the review and assessment of the Portcullis report which is due in mid January. Interim status has been communicated to POL and identified that there were no major issues. (QC Status = No Run)
SEC-3348	A risk assessment will be undertaken for retained functionality in the area of SQL injection attacks under HNG-X.	Demonstration of protection (either by simulation of attack or by other means)	ST	Final status of this criterion is subject to the review and assessment of the Portcullis report which is due in mid January. Interim status has been communicated to POL and identified that there were no major issues. (QC Status = No Run)
SEC-3144	The HNG-X system shall not retrieve data from any external web service unless additional security features are agreed with Post Office Information Security. For the avoidance of doubt, no security change is required to the connection to the DVLA web service.	Demonstration of protection (either by simulation of attack or by other means). Tests are only required if HNG-X supports browsing of external web servers.	ST	Final status of this criterion is subject to the review and assessment of the Portcullis report which is due in mid January. (QC Status = Not Complete)

© Copyright Post Office Limited 2010

COMMERCIAL IN CONFIDENCE

UNCONTROLLED IF PRINTED OR LOCALLY STORED

Ref: REQ/GEN/ACS/0002
Version: 2.0
Date: 23-Feb-2010
Page No: 17 of 46

FUJITSU

POST OFFICE

Original Object Id	Original Object text	Acceptance Criteria	Verification Method	Status / Impact
SEC-3309	All Sensitive Authentication Data (see Definitions) and Sensitive Cardholder Data shall be encrypted using approved algorithms and encryption protocols whilst in transit over any public network unless specifically agreed in writing by the client. Approved algorithms are 128-bit 3DES (as per ANSI X9.52) and 256-bit AES (FIPS 197). Approved encryption protocols are SSL v3 / TLS, SSH, IPSec, and PPTP. [DN: · Any in-house designed protocols will need to be documented, justified and reviewed for security by an external specialist agreed with PCI. · Point-to-point optical fibre connections are not considered public networks. All inter-site connections (including those from outlets) are assumed to be via a licensed public telecommunications provider and should therefore be treated as public. · The X.25 authorisation connection to Streamline is currently the only client connection on which encryption is not mandatory]	Tests show that all specified data is protected by encryption or other method that makes it impractical to deduce	ST	Final status of this criterion is subject to the review and assessment of the Portcullis report which is due in mid January. (QC Status = Not Complete)
SEC-3113	Fujitsu Services shall provide a list of measures that will be taken to mitigate the risk of unauthorised devices being connected to any component of the HNG-X system, with the exception of passive devices within the Branch. A "passive device" is one which takes no active part in the communications or processing e.g. a LAN sniffer.	Evidence that all measures achieve the requirement	ST	Final status of this criterion is subject to the review and assessment of the Portcullis report which is due in mid January. Interim status has been communicated to POL and identified that there were no major issues. (QC Status = No Run)

Original Object Id	Original Object text	Acceptance Criteria	Verification Method	Status / Impact
SEC-3212	It shall not be possible to install any application or operating system extension except under the control of properly authorised and authenticated systems administrators carrying out authorised and audited changes.	As per the Requirement	ST	Final status of this criterion is subject to the review and assessment of the Portcullis report which is due in mid January. Interim status has been communicated to POL and identified that there were no major issues. (QC Status = No Run)
SEC-3210	HNG-X shall have controls in place to prevent user bypass of the standard application.	As per the Requirement	ST	Final status of this criterion is subject to the review and assessment of the Portcullis report which is due in mid January. (QC Status = Failed) This is subject to Acceptance Incident AI-TS-008 (Low) / Defect 11934

© Copyright Post Office Limited 2010

COMMERCIAL IN CONFIDENCE

UNCONTROLLED IF PRINTED OR LOCALLY STORED

Ref: REQ/GEN/ACS/0002
Version: 2.0
Date: 23-Feb-2010
Page No: 19 of 46

2.3.2.2   Other testable criteria

The Joint Test Team has advised that testing of the following criteria will not complete before the AG3 Acceptance Board. Accordingly they are to be given 'Deferred Test' status.

Original Object Id	Original Object text	Acceptance Criteria	Verification Method	Status / Impact
ARC-463	Fujitsu Services shall demonstrate that network connections for portable office configurations shall be automatically selected from those physically available without the intervention of the sub-postmaster.	Tests to demonstrate network connectivity for portable office configurations are defined and contained within a detailed test plan, the successful completion of which shall determine the acceptance of this requirement. To clarify 'successful completion', success criteria will be identified in advance of test execution	ST	There are two tests that have not been run that relate to PHU and will be run on LST. This is expected to complete by 29/01/10. It should be noted that the PHU Pilot is scheduled to take start on 25/01/10 with the migration starting on 08/02/10. (QC Status = No Run)
ARC-468	Provision of the backup network shall not increase the end to end timescales for branch installations (i.e. it should not be on the critical path) unless agreed otherwise with PO Ltd. The in branch installation time may be higher.	Tests to demonstrate network connectivity for portable office configurations are defined and contained within a detailed test plan, the successful completion of which shall determine the acceptance of this requirement. To clarify 'successful completion', success criteria will be identified in advance of test execution	ST	37 Branch Router tests have passed with 17 blocked and 12 failed due to lack of Vodafone network or defects 12774 and 12795. **See section 1.2 – note 2.** (QC status = Failed)
MIG-3071	Both Horizon counters and HNG-x counters shall be capable of receiving and applying all forms of reference data driven changes (including both OBC and ADC) during the migration period.	As per the Requirement	ST	There are 155 tests that have passed, 1 SV&I test to be re-run. This criterion is linked to defect 12732 which has been assessed by POL as having no Business Impact. (QC status = Failed)

© Copyright Post Office Limited 2010

COMMERCIAL IN CONFIDENCE

UNCONTROLLED IF PRINTED OR LOCALLY STORED

Ref:	REQ/GEN/ACS/0002
Version:	2.0
Date:	23-Feb-2010
Page No:	20 of 46

Original Object Id	Original Object text	Acceptance Criteria	Verification Method	Status / Impact
MIG-3075	It shall be possible to introduce software and reference data changes into the HNG estate using standard HNG processes while the Migration period is in progress	RV confirms that HNG-x counters are capable of receiving and applying all forms of reference data and software driven change during the migration period	RV	2 SV&I tests are failed. There are no defects linked to this criterion. (QC status = Failed)
TR471	To support external training activities including migration, the solution shall be capable of running on a pre-defined portable platform.	As per the requirement	ST	There is one test that has not been run that relates to PHU and will be run on LST. This is expected to complete by 29/01/10. It should be noted that the PHU Pilot is scheduled to take start on 25/01/10 with the migration starting on 08/02/10. (QC Status = No Run)

© Copyright Post Office Limited
2010

COMMERCIAL IN CONFIDENCE

UNCONTROLLED IF PRINTED OR LOCALLY STORED

Ref: REQ/GEN/ACS/0002
Version: 2.0
Date: 23-Feb-2010
Page No: 21 of 46

2.4 Failed Status

This status identifies those Use Cases or non-functional criteria where one or more applicable defects have been identified.   Details of each of these requirements are shown below. Applicable defects associated with these failed Requirements are shown as Acceptance Incidents and contained in section 3.

2.4.1 Use Case Fails

Section 2.1 identifies that some Use Cases have failed. Successful testing has already taken place on these Use Cases, however there are two remaining defects that are causing some remaining tests to be shown as 'failed'.

The two defects are: -

- Defects 10723 & 10738 both relate to test reference data for Network Banking and relate to the completion of tests of reference data combinations that do not exist in live. The affected Use Cases are: -
    - o GLB-2221 – Settlement by Debit Credit Card
    - o GLB-438 – Receive Reconciled Transaction Data
    - o GLB-494 – Receive Payment File
    - o GLB-578 – Obtain MID / TID Details
    - o GLB-2299 – Obtain Card Transaction or Reversal Authorisation

    For Acceptance purposes these two defects are classed as 'Non-Incidents' and do not contribute to progression through AG3.

© Copyright Post Office Limited 2010

COMMERCIAL IN CONFIDENCE

UNCONTROLLED IF PRINTED OR LOCALLY STORED

Ref: REQ/GEN/ACS/0002
Version: 2.0
Date: 23-Feb-2010
Page No: 22 of 46

2.4.2   Non-Testable Fails

Section 2.2 identifies that a number of non-testable POL requirements have failed – details are shown below.

Original Object Id	Original Object text	Acceptance Criteria	Verification Method	Status
ARC-422	Fujitsu Services shall make available to POL an accurate and technically complete set of documentation describing the Solution Baseline Documentation Set, excluding legacy components where existing Horizon documentation may be retained.	The Solution Baseline documentation shall be provided to POL in accordance with the timetable stated in B6.2 and shall comprise the documents or other artifacts that are agreed between Post Office and Fujitsu Services according to Schedule B6.2.	DR	Some documentation not yet baselined. This is an Acceptance Incident - AI-NT-015 (Low) / defect 12505.
MIG-3017	Physical security of any infrastructure components, including Branch base units, which contain any business or security sensitive information, shall not be compromised by processes developed and implemented for the migration from Baseline Horizon to HNG-X	Evidence of joint agreement to the migration processes affecting the security of physical infrastructure and the risks to business or security sensitive information.	DR	This defect comprises one of a set relating to the completion and establishment of the Security Risk Management process and the validation of the associated controls. This is due for resolution by end January 2010 and is being progressed via the regular joint security forum. This is an Acceptance Incident - AI-NT-014 / (Low – aggregated into AI-NT-1002 (Medium)) defect 12489.

© Copyright Post Office Limited 2010

COMMERCIAL IN CONFIDENCE

UNCONTROLLED IF PRINTED OR LOCALLY STORED

Ref: REQ/GEN/ACS/0002
Version: 2.0
Date: 23-Feb-2010
Page No: 23 of 46

Original Object Id	Original Object text	Acceptance Criteria	Verification Method	Status
SEC-3082	The security measures appropriate for HNG-X, including those appropriate during the migration from Baseline Horizon, shall be determined by Fujitsu Services by means of a HNG-X System Risk Assessment which covers the HNG-X Service Domain. It is recognised this may increase costs if the scope of the contract is extended.	System Risk Assessment (and Management) plan	DR	This defect comprises one of a set relating to the completion and establishment of the Security Risk Management process and the validation of the associated controls. This is due for resolution by end January 2010 and is being progressed via the regular joint security forum. This is an Acceptance Incident - AI-NT-006 (Low – aggregated into AI-NT-1002 (Medium)) / defect 2312 & AI-NT-008 (Low – aggregated into AI-NT-1002 (Medium)) / defect 11295.
SEC-3086	Based on the System and Business Risk Assessments, Post Office and Fujitsu Services shall work together to agree appropriate countermeasures commensurate with the value and nature of the business risk. It is recognised this may increase costs if the scope of the contract is extended.	Evidence of joint working resulting in an agreed Risk Management Plan covering both Business and System Risks.	DR	This defect comprises one of a set relating to the completion and establishment of the Security Risk Management process and the validation of the associated controls. This is due for resolution by end January 2010 and is being progressed via the regular joint security forum. This is an Acceptance Incident - AI-NT-007 (Low – aggregated into AI-NT-1002 (Medium)) / defect 3503.

© Copyright Post Office Limited 2010

COMMERCIAL IN CONFIDENCE

UNCONTROLLED IF PRINTED OR LOCALLY STORED

Ref: REQ/GEN/ACS/0002
Version: 2.0
Date: 23-Feb-2010
Page No: 24 of 46

Original Object Id	Original Object text	Acceptance Criteria	Verification Method	Status
SEC-3110	Fujitsu Services shall provide a list of measures that will be taken to mitigate the risk of unauthorised devices being connected to any component of the HNG-X system, with the exception of passive devices within the Branch. A "passive device" is one which takes no active part in the communications or processing e.g. a LAN sniffer.	Evidence of the Requirement in Risk Management Plans with measures of perceived risk.	DR	This defect comprises one of a set relating to the completion and establishment of the Security Risk Management process and the validation of the associated controls. This is due for resolution by end January 2010 and is being progressed via the regular joint security forum. This is an Acceptance Incident - AI-NT-001 (Low – aggregated into AI-NT-1002 (Medium)) / defect 2309.
SEC-3111	Fujitsu Services shall provide a list of measures that will be taken to mitigate the risk of unauthorised devices being connected to any component of the HNG-X system, with the exception of passive devices within the Branch. A "passive device" is one which takes no active part in the communications or processing e.g. a LAN sniffer.	List of measures and the effect of mitigation	DR	This defect comprises one of a set relating to the completion and establishment of the Security Risk Management process and the validation of the associated controls. This is due for resolution by end January 2010 and is being progressed via the regular joint security forum. This is an Acceptance Incident - AI-NT-009 (Low – aggregated into AI-NT-1002 (Medium)) / defect 11299.

© Copyright Post Office Limited 2010

COMMERCIAL IN CONFIDENCE

UNCONTROLLED IF PRINTED OR LOCALLY STORED

Ref: REQ/GEN/ACS/0002
Version: 2.0
Date: 23-Feb-2010
Page No: 25 of 46

FUJITSU

ACCEPTANCE REPORT FOR HNG-X ACCEPTANCE GATEWAY 3

COMMERCIAL IN CONFIDENCE

POST OFFICE

Original Object Id	Original Object text	Acceptance Criteria	Verification Method	Status
SEC-3167	{CISP 8.5.1g} Data over Wide Area Networks shall be encrypted unless specifically agreed in the relevant Technical Interface Specification or where otherwise specifically agreed by Post Office Limited Information Security. The Fibre Optic link between Data Centres is not considered to be a Wide Area Network. The requirement applies to transaction data between branches and the data centre(s).	Evidence of the Requirement in the Design.	DR	This defect requests clarification on which network security protocols apply to each of the relevant WAN connections. The existing details in the Technical Network Architecture will be updated to provide these details. This is an Acceptance Incident - AI-NT-004 (Low) / defect 7307.
SEC-3201	Logon to Counter Terminals must provide equivalent security to that provided by logon via native operating systems.	Review of Report prepared by an independent security expert (appointed by FS) confirms that the design of this critical security mechanism is sound.	DR	The Comsec report identified a number of defects that are being progressed and reviewed via the joint security forum. The PEAKs are PC0188679, PC0188681, PC0188684, PC0188685, PC0188686. This is an Acceptance Incident – AI-NT-003 (Low) / defect 12315.
SEC-3118	The secure filestore in configured Horizon terminals shall be rendered unrecoverable on migration to HNG-X. Any terminal which is not migrated (e.g. it is taken out of service instead) shall have its filestore deleted in accordance with current procedures	Evidence of the requirement in the design	DR	This defect identifies that the process for managing secure filestore deletion will be introduced during Pilot This is subject to Acceptance Incident AI-NT-005 (Low) / defect 12414

© Copyright Post Office Limited 2010

COMMERCIAL IN CONFIDENCE

UNCONTROLLED IF PRINTED OR LOCALLY STORED

Ref: REQ/GEN/ACS/0002
Version: 2.0
Date: 23-Feb-2010
Page No: 26 of 46

Original Object Id	Original Object text	Acceptance Criteria	Verification Method	Status
SEC-3137	A risk assessment will be undertaken for retained functionality in the area of SQL injection attacks under HNG-X.	Risk Assessment	DR	This defect comprises one of a set relating to the completion and establishment of the Security Risk Management process and the validation of the associated controls. This is due for resolution by end January 2010 and is being progressed via the regular joint security forum. This is subject to Acceptance Incident AI-NT-012 (Low – aggregated into AI-NT-1002 (Medium)) / defect 12386
SEC-3083	The security measures appropriate for HNG-X, including those appropriate during the migration from Baseline Horizon, shall be determined by Fujitsu Services by means of a HNG-X System Risk Assessment which covers the HNG-X Service Domain. It is recognised this may increase costs if the scope of the contract is extended.	Evidence to support the determination of what security measures are considered as being appropriate for HNG-X	DR	This defect comprises one of a set relating to the completion and establishment of the Security Risk Management process and the validation of the associated controls. This is due for resolution by end January 2010 and is being progressed via the regular joint security forum. This is subject to Acceptance Incident AI-NT-011 (Low – aggregated into AI-NT-1002 (Medium)) / defect 12384

© Copyright Post Office Limited 2010

COMMERCIAL IN CONFIDENCE

UNCONTROLLED IF PRINTED OR LOCALLY STORED

Ref: REQ/GEN/ACS/0002
Version: 2.0
Date: 23-Feb-2010
Page No: 27 of 46

Original Object Id	Original Object text	Acceptance Criteria	Verification Method	Status
SEC-3314	Fujitsu Services shall establish, operate and maintain an Information Security Management System compliant with ISO27001 that covers all aspects of HNG-X under their control.	Periodic evidence that FS are (via an agreed forum) reviewing with POL the progress and status of the milestones that relate to the implementation of the ISO27001 programme in FS.	DR	This defect comprises one of a set relating to the completion and establishment of the Security Risk Management process and the validation of the associated controls. This is due for resolution by end January 2010 and is being progressed via the regular joint security forum. This is subject to Acceptance Incident AI-NT-013 (Low – aggregated into AI-NT-1002 (Medium)) / defect 12387
MIG-3015	Fujitsu shall agree with Post Office Ltd any security provisions employed during the migration process for interim data storage areas and/or data transmission paths across the Horizon Network. Details of how this Security requirement will be met, shall be jointly agreed and shall be included in the Migration Plan.	Evidence of joint agreement to the migration processes affecting data storage and data transmission paths.	DR	This defect comprises one of a set relating to the completion and establishment of the Security Risk Management process and the validation of the associated controls. This is due for resolution by end January 2010 and is being progressed via the regular joint security forum. This is subject to Acceptance Incident AI-NT-010 (Low – aggregated into AI-NT-1002 (Medium)) / defect 12382

© Copyright Post Office Limited 2010

COMMERCIAL IN CONFIDENCE

UNCONTROLLED IF PRINTED OR LOCALLY STORED

Ref: REQ/GEN/ACS/0002
Version: 2.0
Date: 23-Feb-2010
Page No: 28 of 46

Original Object Id	Original Object text	Acceptance Criteria	Verification Method	Status
SEC-3172	Cases requiring encrypted data to pass through any HNG-X firewall layer shall only be authorised by Post Office where a risk assessment has identified that the requirement for confidentiality outweighs the requirement for system availability and integrity	Approval of the authorisations process	DR	This defect identifies that the authorisation process will become part of the overall BAU joint security forum / ISMF, once the Risk management processes are established. This is subject to Acceptance Incident AI-NT-016 (Low) / defect 12873

© Copyright Post Office Limited 2010

COMMERCIAL IN CONFIDENCE

UNCONTROLLED IF PRINTED OR LOCALLY STORED

Ref: REQ/GEN/ACS/0002
Version: 2.0
Date: 23-Feb-2010
Page No: 29 of 46

2.4.3   Testable Non-Functional Fails

Section 2.2 identifies that 27 testable POL requirements have failed. These break down as follows:-

- 19 are subject to Acceptance Incidents and are shown in the table below.

- 8 have failed but where the associated defect has been assessed by POL as not having any business impact. These are contained section 2.4.3.1.

Original Object Id	Original Object text	Acceptance Criteria	Verification Method	Status
HLP-110	The Search Facility within Help shall allow the use of key words, sentences, wildcard and match all characters	Evidence that the search facility allows users to type in search criteria and returns the correct details	ST	Subject to Acceptance Incident AI-AD-102 (Low) / defect 11747.
MIG-2994	For any services that support serving customers in Post Office branches: full resilience, failover capability and a means of providing Disaster Recovery (for example by reversion to an alternative Data Centre) shall be supported Monday to Friday 08.00 to 18.00 and Saturday 08.00 to 14.00. Outside these times, resilience and immediate DR may be removed (during migration) providing it can be restored as documented in Migration Strategy	Tests to demonstrate disaster recovery are defined and contained within a detailed test plan, the successful completion of which shall determine the acceptance of this requirement. To clarify 'successful completion', success criteria will be identified in advance of test execution	RV	Subject to Acceptance Incidents AI-AD-005 (Low), AI-TS-001 (Low), AI-TS-003 (Low).

41 tests have passed, 15 are no Run and 2 have failed.

This criterion is also linked to many other defects all of which have been assessed by POL as having no Business Impact. |
| POS-NFR-213 | The Postal Services shall prevent the selection and the use of data and related components, outside of their respective effective dates. | No evidence to the contrary when undertaking ST of the Postal Services functionality. | ST | Subject to Acceptance Incident AI-AD-104 / defect 11403.

This criterion is linked to defects 6668, 9379 – both have been assessed by POL as having no Business Impact. |

© Copyright Post Office Limited 2010

COMMERCIAL IN CONFIDENCE

UNCONTROLLED IF PRINTED OR LOCALLY STORED

Ref: REQ/GEN/ACS/0002
Version: 2.0
Date: 23-Feb-2010
Page No: 30 of 46

Original Object Id	Original Object text	Acceptance Criteria	Verification Method	Status
POS-NFR-253	The Postal Services system shall display each service name as it is provided by PO: This will be the full (Selectica) service name, except where PO has provided an alternative name to be used in preference.	Each display name for service matches the appropriate entry in the Postal Services Data model.	ST	Subject to Acceptance Incident AI-AD-104 (Low) / defect 11403. This criterion is linked to defects 6668, 9379 – both have been assessed by POL as having no Business Impact.
POS-NFR-259	The Postal Services system shall support the use of country synonyms (e.g. Holland, The Netherlands): as identified in an agreed listing of all such synonyms.	As per the requirement.	ST	Subject to Acceptance Incident AI-AD-104 (Low) / defect 11403. This criterion is linked to defects 6668, 9379 – both have been assessed by POL as having no Business Impact.
POS-NFR-285	Upon application of the relevant reference data, all postage methods applicable to a service shall be evident to the Branch User.	As per the requirement.	ST	Subject to Acceptance Incident AI-AD-104 (Low) / defect 11403. This criterion is linked to defects 6668, 9379 – both have been assessed by POL as having no Business Impact.
POS-NFR-292	The Postal Services system shall display a minimum "To Pay" value for each Postage Method; the value of which will be set in the Postal Services Data model.	As per the requirement.	ST	Subject to Acceptance Incident AI-AD-104 (Low) / defect 11403.
POS-NFR-293	The Postal Services system shall provide a default Postage Method for individual services; the value of which will be set in the Postal Services Data model.	As per the requirement.	ST	Subject to Acceptance Incident AI-AD-104 (Low) / defect 11403. This criterion is linked to defects 6668, 9379 – both have been assessed by POL as having no Business Impact.

© Copyright Post Office Limited 2010

COMMERCIAL IN CONFIDENCE

UNCONTROLLED IF PRINTED OR LOCALLY STORED

Ref: REQ/GEN/ACS/0002
Version: 2.0
Date: 23-Feb-2010
Page No: 31 of 46

FUJITSU

POST OFFICE

Original Object Id	Original Object text	Acceptance Criteria	Verification Method	Status
POS-NFR-295	Where the Postal Services System records or uses barcodes, discrete barcode ranges will be used and the system shall reject all codes that fall outside these defined ranges. This shall include but shall not be limited to the rejection of number sequences	As per the requirement.	ST	Subject to Acceptance Incident AI-AD-104 (Low) / defect 11403.

This criterion is linked to defects 6668, 9379 – both have been assessed by POL as having no Business Impact. |
| SEC-3141 | All passwords transmitted across any internal or external network shall be encoded such that it is infeasible for an interceptor to deduce the password. | Evidence of no reported incidence of passwords being compromised in this way during the testing phase. | ST | Subject to AI-TS-018 (Low) / defect 12827, AI-TS-013 (Low) / defect 12821, AI-TS-012 (Low) / defect 12820.

This criterion is also linked to defects 1746, 1749 – both have been assessed by POL as having no Business Impact. |
| SEC-3154 | {CISP 8.5.1b} Unauthorised logical access from non-HNG-X systems and networks shall be prevented. This shall include but shall not be limited to, unauthorised access from any of the following: Any public networks used. Networks connecting to Third Parties. Networks connecting HNG-X to PO Ltd and/or Royal Mail Group. Other systems operated by the domain supplier on behalf of itself or other clients. | Demonstration of protection (either by simulation of attempts of unauthorised access or by other means). The exact timing and environment for the tests shall be agreed in the test plan but shall in any case be prior to live. | RV | This is subject to Acceptance Incidents: -
AI-TS-019 (Low) / defect 12828
AI-TS-020 (Low) / defect 12830
AI-TS-021 (Low) / defect 12832
AI-TS-022 (Low) / defect 12833
AI-TS-027 (Low) / defect 12875 |

COMMERCIAL IN CONFIDENCE

UNCONTROLLED IF PRINTED OR LOCALLY STORED

Ref: REQ/GEN/ACS/0002
Version: 2.0
Date: 23-Feb-2010
Page No: 32 of 46

FUJITSU

POST OFFICE ™

Original Object Id	Original Object text	Acceptance Criteria	Verification Method	Status
SEC-3158	{CISP 8.5.1c} Controls shall protect against denial-of-service attacks originating from non-HNG-X systems including those listed in Requirement SEC-3152	Demonstration of protection (either by simulation of attack or by other means)	RV	This is subject to Acceptance Incidents: - AI-TS-018 (Low) / defect 12827 AI-TS-023 (Low) / defect 12835 AI-TS-024 (Low) / defect 12836
SEC-3164	{CISP 8.5.1e} Network management staff within each domain shall be alerted to any attempt to reach the HNG-X systems in their domain from unauthorised network addresses.	Demonstration of alert signal (either by simulation of attack or by other means)	ST	Subject to Acceptance Incident AI-AD-136 (Low) / defect 11932
SEC-3202	Logon to Counter Terminals must provide equivalent security to that provided by logon via native operating systems.	Tests show logon is as per design reviewed in SEC-3201 but with any recommendations resulting from the review applied.	ST	Subject to Acceptance Incident AI-NT-003 (Low) / defect 12315
SEC-3204	The Horizon Access Control Policy RS/POL/003 shall apply but shall be updated to reflect the change in policy due to HNG-X or other agreed security requirements. Such update shall include at least the following password requirements: Minimum password length of 7Minimum password history length of 4.	As per the Requirement	ST	Subject to Acceptance Incidents: - AI-TS-006 (Low) / defect 12251, AI-TS-007 (Low) / defect 12270, AI-AD-1009 (Low) / defects 4567, 4776, 4636, 4945. AI-TS-011 (Low) / defect 12819. This criterion is linked to other defects, all of which have been assessed by POL as having no Business Impact. This criterion is linked to defects 12190, 12306 – both have been assessed by POL as having no Business Impact.

© Copyright Post Office Limited 2010

COMMERCIAL IN CONFIDENCE

UNCONTROLLED IF PRINTED OR LOCALLY STORED

Ref: REQ/GEN/ACS/0002
Version: 2.0
Date: 23-Feb-2010
Page No: 33 of 46

FUJITSU

POST OFFICE

Original Object Id	Original Object text	Acceptance Criteria	Verification Method	Status
SEC-3230	Applications requiring passwords shall continue to comply with the conditions stated in the updated Horizon (HNG-X) Access Control Policy CCD (ref. RS/POL/003). See also Requirement SEC-3312.	As per the Requirement	ST	Subject to Acceptance Incident AI-TS-009 (Low) / defect 11935.
SEC-3257	The logical security perimeter of the HNG-X system shall be defined and agreed with Post Office Information Security.	Tests to demonstrate the security perimeter are defined and contained within a detailed test plan, the successful completion of which shall determine the acceptance of this requirement. To clarify 'successful completion', success criteria will be identified in advance of test execution.	ST	This is subject to Acceptance Incidents: - AI-TS-010 (Low) / defect 12818 AI-TS-011 (Low) / defect 12819 AI-TS-012 (Low) / defect 12820 AI-TS-013 (Low) / defect 12821 AI-TS-014 (Low) / defect 12822 AI-TS-015 (Low) / defect 12823 AI-TS-016 (Low) / defect 12824 AI-TS-017 (Low) / defect 12826
SEC-3354	All cryptographic key lengths shall be at least 128 bits for symmetric keys and at least 1024 bits for asymmetric keys where the associated cryptographic control protects the integrity or confidentiality of HNG-X Business Data, Reference Data or Application Software unless otherwise agreed with Post Office Information Security. Note: Post Office is highly unlikely to agree to any shorter keys lengths (even for COTS products). For the avoidance of doubt, access to the TES Query service is not covered by this requirement but by requirement SEC-3310.	Tests to demonstrate compliance are defined and contained within a detailed test plan, the successful completion of which shall determine the acceptance of this requirement. To clarify 'successful completion', success criteria will be identified in advance of test execution.	ST	Subject to Acceptance Incident AI-TS-006 (Low) / defect 12251. This criterion is linked to other defects including 12306, all of which have been assessed by POL as having no Business Impact.

Original Object Id	Original Object text	Acceptance Criteria	Verification Method	Status
SER-2207	The System Monitoring facilities shall be able to generate Alerts. Where the Alerts are deemed to be incidents, the Incident Management System will be cognisant of the nature (e.g.. VIP status) of the affected branch and will escalate/act accordingly as described in POA Customer Service Incident Management Process Details (CS/PRD/074).	These transactions will be tested in both stages of testing using an agreed approach to extrapolate up from the testing environments to production.	ST	Subject to Acceptance incident AI-TS-004 (Low) / defect 12139.

308 tests have passed. 1 SV&I test has failed.

This criterion is also linked to defect 11845, 11962 – these have been assessed by POL as having no Business Impact. |

© Copyright Post Office Limited 2010

COMMERCIAL IN CONFIDENCE

UNCONTROLLED IF PRINTED OR LOCALLY STORED

Ref: REQ/GEN/ACS/0002
Version: 2.0
Date: 23-Feb-2010
Page No: 35 of 46

2.4.3.1   Failed POL Requirements / not subject to Acceptance incidents

Details of these failed testable requirements that are not subject to an AI are listed below and contained in the embedded spreadsheet below.

MIG-2983, SER-2140, SER-2199, SER-2205, SEC-3101, ARC-464, ARC-476.

MIG-3045 – Remaining tests will not be run.

D:\PROFILES\cooked
My Documents\My Dc

© Copyright Post Office Limited 2010

COMMERCIAL IN CONFIDENCE

UNCONTROLLED IF PRINTED OR LOCALLY STORED

Ref: REQ/GEN/ACS/0002
Version: 2.0
Date: 23-Feb-2010
Page No: 36 of 46

3 Review of status of Acceptance Incidents

The Acceptance Incidents listed below have been raised because the acceptance evidence has failed to meet the acceptance criteria. They have been classified into three groups: -

- Those arising from defects whose resolution has been agreed to be deferred until after the start of Pilot. These have an identifier of AI-AD-nnn

- Those arising from defects that have been raised during the assessment of the non-testable criteria - in this case Document Review. These have an identifier of AI-NT-nnn.

- Those arising from defects that have been raised during testing and where no formal deferral discussions have taken place. These have an identifier of AI-TS-nnn.

3.1 Acceptance Incident Aggregation

Schedule B6.3 (4.6.3) recognises that HNG-X Acceptance Incidents that are agreed to result from the same failure or deficiency, or to affect the same operational process or business function, may be aggregated into a single HNG-X Acceptance Incident for the purposes of the thresholds identified in section 1.2. The following sections contain details of all of the individual Acceptance Incidents and then identifies where aggregation has occurred.

3.2 Acceptance Incidents arising from Agreed Deferrals

The AIs of this type and their severity are: -

Acceptance Incident Severity	Individual AIs
Low	148
Medium	0
High	0
Total	148

(Note: AI-AD-103 removed as this is a duplicate of AI-AD-071).

Of these, 44 of the Low Severity AIs have been aggregated into 12 Low Severity AIs giving a net figure as follows: -

Acceptance Incident Severity	Net Individual AIs	Aggregated AIs	Net Total
Low	104	12	116
Medium	0	0	0
High	0	0	0
Total	104	12	

© Copyright Post Office Limited 2010

COMMERCIAL IN CONFIDENCE

UNCONTROLLED IF PRINTED OR LOCALLY STORED

Ref: REQ/GEN/ACS/0002
Version: 2.0
Date: 23-Feb-2010
Page No: 37 of 46

3.2.1   Acceptance Incident details for type AI-AD

Details of these Acceptance Incidents are contained in the embedded WORD document here.

D:\PROFILES\cooked
My Documents\My Dc

3.2.2   Aggregated Acceptance Incident details for type AI-AD

Details of these Aggregated Acceptance Incidents are contained in the embedded WORD document here.

D:\PROFILES\cooked
My Documents\My Dc

© Copyright Post Office Limited 2010

COMMERCIAL IN CONFIDENCE

UNCONTROLLED IF PRINTED OR LOCALLY STORED

Ref:	REQ/GEN/ACS/0002
Version:	2.0
Date:	23-Feb-2010
Page No:	38 of 46

3.3 Acceptance Incident arising from non-testable criteria

The AIs of this type and their severity are: -

Acceptance Incident Severity	Individual AIs
Low	15
Medium	0
High	0
Total	15

Of these, 10 of the Low Severity AIs have been aggregated into 1 Medium Severity AI giving a net figure as follows: -

Acceptance Incident Severity	Net Individual AIs	Aggregated AIs	**Net Total**
Low	5	0	**5**
Medium	0	1	**1**
High	0	0	**0**
Total	5	1	

Medium AI = AI-NT-1001 - This AI comprises those defects that relate to the completion and establishment of the Security Risk Management process and the validation of the associated controls.

Defects are - 2309, 2312, 3503, 11295, 11299, 12384, 12489, 12386, 12387, 12382.

3.3.1 Acceptance Incident details for type AI-NT

Details of these Acceptance Incidents are contained in the embedded WORD document here.

D:\PROFILES\cooked
My Documents\My Dc

3.3.2 Aggregated Acceptance Incident details for type AI-NT

Details of these Aggregated Acceptance Incidents are contained in the embedded WORD document here.

D:\PROFILES\cooked
My Documents\My Dc

© Copyright Post Office Limited 2010

COMMERCIAL IN CONFIDENCE

UNCONTROLLED IF PRINTED OR LOCALLY STORED

Ref: REQ/GEN/ACS/0002
Version: 2.0
Date: 23-Feb-2010
Page No: 39 of 46

3.4 Acceptance Incident arising from Testable criteria

The AIs of this type and their severity are: -

Acceptance Incident Severity	Individual AIs
Low	25
Medium	1
High	0
Total	26

Medium AI = defect 12774 / AI-TS-030 – Maximum packet size over Orange WWAN

3.4.1 Acceptance Incident details for type AI-TS

Details of these Acceptance Incidents are contained in the embedded WORD document here.

D:\PROFILES\cooked
My Documents\My Dc

3.5 Acceptance Incident total

The overall status of all Acceptance Incidents is as follows: -

Severity	AI-AD – Agreed Deferred	AI-NT – Non Testable	AI-TS – Test	Total
Low	116	5	25	146
Medium	0	1	1	2
High	0	0	0	0

© Copyright Post Office Limited 2010

COMMERCIAL IN CONFIDENCE

UNCONTROLLED IF PRINTED OR LOCALLY STORED

Ref: REQ/GEN/ACS/0002
Version: 2.0
Date: 23-Feb-2010
Page No: 40 of 46

A Applicable POL Requirements and Acceptance Criteria

The POL Requirements and Criteria, contained in the HNG-X Requirements Catalogue – POL DOORS archive v1.42, and associated with AG3 are contained in the embedded spreadsheet.

This contains references to any Concessions.

D:\PROFILES\cooked
My Documents\My Dc

© Copyright Post Office Limited 2010

COMMERCIAL IN CONFIDENCE

UNCONTROLLED IF PRINTED OR LOCALLY STORED

Ref: REQ/GEN/ACS/0002
Version: 2.0
Date: 23-Feb-2010
Page No: 41 of 46

B   Definition of Acceptance Methods

The set of HNG-X Acceptance methods are defined in Appendix D of Schedule B6.3 HNG-X Acceptance Process and reproduced below.

Type	Description
HNG-X Document Review	HNG-X Acceptance Criteria that cannot be objectively verified by a test of HNG-X may be satisfied by Post Office undertaking a HNG-X Document Review. The outcome of any such review will be documented by Post Office in the HNG-X Acceptance Tracking Document. Fujitsu Services will supply a list of documents (and any specific references within such documents) for Post Office review, which may satisfy the agreed HNG-X Acceptance Criteria.
HNG-X Design Walkthrough	HNG-X Acceptance Criteria may be satisfied by Post Office participating in an HNG-X Design Walkthrough led by Fujitsu Services of the Fujitsu Services' design. The outcome of any such HNG-X Design Walkthrough will be documented by Post Office in the HNG-X Acceptance Tracking Document.
HNG-X Solution Test	Tests that are owned and managed by Fujitsu Services with significant collaborative support from Post Office, for the purpose of verifying that the Fujitsu Services' solution for the HNG-X System satisfies the relevant HNG-X Acceptance Criteria. The collaborative team will produce a joint test report presenting the results of the tests.
HNG-X Release Validation	Tests that are run and managed by Post Office with significant collaborative support from Fujitsu Services, for the purpose of verifying that the HNG-X Release satisfies the relevant HNG-X Acceptance Criteria. The combined team will produce a joint test report presenting the results of the tests and provide evidence on any areas of non conformance.
HNG-X Monitoring	Post Office shall specify any need beyond the level of support that Fujitsu Services are required to provide under normal operational practice (such as a report etc). Duration, nature and characteristics to be agreed in advance between Post Office and Fujitsu Services and will take place during Live Pilot or exceptionally during Live Monitoring. The total duration of HNG-X Monitoring and the obligations on Fujitsu Services to produce data/reports to support Post Office monitoring to be agreed between Post Office and Fujitsu Services (each acting reasonably and in good faith) for a particular HNG-X Requirement.
HNG-X Statement of Fact	Where the solution to an HNG-X Acceptance Criterion is self-evident and does not lend itself to formal proving.
HNG-X Statement of Obligation	Relates to HNG-X Acceptance Criterion that represents an ongoing contractual obligation for HNG-X.
Other	Used by exception, to be agreed between the Parties.

© Copyright Post Office Limited 2010

COMMERCIAL IN CONFIDENCE

UNCONTROLLED IF PRINTED OR LOCALLY STORED

Ref: REQ/GEN/ACS/0002
Version: 2.0
Date: 23-Feb-2010
Page No: 42 of 46

C   Definition of Acceptance Incident Severity

The definition of the severity of an HNG-X Acceptance Incident is defined in Appendix A of Schedule B6.3 HNG-X Acceptance Process and reproduced below.

Severity	Description
High	The HNG-X Acceptance Incident was caused by the introduction of changes arising from Project HNG-X and/or the Associated Change Activities that are subject to the HNG-X Acceptance Process and results in a defect that would render a key element of one or more of the Business Capabilities and Support Facilities or a key element of the Infrastructure unfit for operational use, which could include: a) not allowing Post Office to undertake one or more Transaction types; b) not allowing Post Office to undertake one or more Transaction types using the required business inputs or generating the required business outcome; c) creating system performance issues which are in, or are likely to cause a, breach of Service Level Targets.
Medium	The HNG-X Acceptance Incident was caused by the introduction of changes arising from Project HNG-X and/or the Associated Change Activities that are subject to the HNG-X Acceptance Process and results in a defect that would not prevent operation of one or more of the Business Capabilities and Support Facilities or elements of the Infrastructure, but would cause problems in the operational use of one or more Transaction types.
Low	The HNG-X Acceptance Incident was caused by the introduction of changes arising from Project HNG-X and/or the Associated Change Activities that are subject to the HNG-X Acceptance Process and results in a defect that does not cause any adverse operational impact in the use of the Business Capabilities and Support Facilities or an element of the Infrastructure, or the HNG-X Acceptance Incident can be addressed by a workaround without any adverse operational impact for Post Office.
Non Incident	An incident raised by either Party which, following investigation is found: ➢ not to be a defect; ➢ not to have resulted from the introduction of changes arising from Project HNG-X and/or the Associated Change Activities that are subject to the HNG-X Acceptance Process; or ➢ not to fall within the high, medium or low categories set out in this column.

© Copyright Post Office Limited 2010

COMMERCIAL IN CONFIDENCE

UNCONTROLLED IF PRINTED OR LOCALLY STORED

Ref: REQ/GEN/ACS/0002
Version: 2.0
Date: 23-Feb-2010
Page No: 43 of 46

D   Acceptance Board recommendation options

It is proposed that the decision of the HNG-X Acceptance Board should comprise one of the following options: -

1. Proceed through Acceptance Gateway.
    i.   Acceptance Gateway criteria have all been met.
    ii. There no Acceptance Incidents that would prevent progression through this Acceptance Gateway

2. Proceed through Acceptance Gateway
    i.   Not all Acceptance Criteria have been met and consequently there are Acceptance Incidents.
    ii. The severity of these Acceptance Incidents is within the limits for progression through this Acceptance Gateway.
    iii. Each Acceptance Incident has an agreed workaround.
    iv. Where required by the contract, all Acceptance Incidents have an agreed rectification plan or a target timescale for rectification

3. Proceed at risk through Acceptance Gateway
    i.   Not all Acceptance Criteria have met and consequently there are Acceptance Incidents.
    ii. The severity of these Acceptance Incidents is within the limits for progression through this Acceptance Gateway.
    iii. One or more workaround, rectification plan or target timescale, is not yet agreed.

4. Do not proceed through Acceptance Gateway
    i.   Not all Acceptance Criteria have been met and consequently there are Acceptance Incidents.
    ii. The severity of these Acceptance Incidents exceeds the limits for progression through this Acceptance Gateway
    iii. Remedial actions are required to address the Acceptance Incidents and / or workarounds.

© Copyright Post Office Limited 2010

COMMERCIAL IN CONFIDENCE

UNCONTROLLED IF PRINTED OR LOCALLY STORED

Ref: REQ/GEN/ACS/0002
Version: 2.0
Date: 23-Feb-2010
Page No: 44 of 46

E   Closed Acceptance Incidents

The following table contains summary details of Acceptance Incidents that have been raised as part of Acceptance Gateway 3 or 4 but have now been closed.

AI reference	AI summary	Defect	Peak	Affected requirements	Reason for closure
AI-AD-148 (Medium)	Date offset and ADC datatypes	12540	PC0190965	MIG-3155	Defect resolved.
AI-AD-151 (High)	Card misread	12568	PC0191093	No specific reqt.	Defect resolved.
AI-NT-002 (Low)	Details required of CTO / PHU rollout plans	5835	PC0174745	TR574	Plans provided
AI-TS-001 (Medium)	Incorrect priority of ref data downloads between Sysman and BRDB	12224	PC0189554	ARC-476, MIG-3071	Defect resolved
AI-TS-002 (Low)	Distribution of single Help file	12164	PC0189280	HLP-131, HLP-93, MIG-3071, MIG-3075	Defect resolved
AI-TS-003 (Low)	Incorrect VPN Policy file on counters	11701	PC0187523	MIG-2994	Defect resolved
AI-TS-005 (Medium)	Basket settlement of Transaction Corrections	12338	PC0189900	SEC-3202	Defect resolved
AI-TS-028 (Medium)	Distribution of Help files	12845	None	HLP-131, HLP-93	Defect resolved

© Copyright Post Office Limited 2010

COMMERCIAL IN CONFIDENCE

UNCONTROLLED IF PRINTED OR LOCALLY STORED

Ref: REQ/GEN/ACS/0002
Version: 2.0
Date: 23-Feb-2010
Page No: 45 of 46

ACCEPTANCE REPORT FOR HNG-X ACCEPTANCE GATEWAY 3

COMMERCIAL IN CONFIDENCE

AI reference	AI summary	Defect	Peak	Affected requirements	Reason for closure
AI-AD-103 (Low)	Message display during rollover	11802	PC0187803	BAC-3737	Duplicate of AI-AD-071
AI-TS-029 (High)	Reference data distribution	12888, 12805	PC0192201, PC0192011	MIG-3045, MIG-3078, MIG-3164	Defect now resolved and a successful Branch migration has been achieved.

© Copyright Post Office Limited 2010

COMMERCIAL IN CONFIDENCE

UNCONTROLLED IF PRINTED OR LOCALLY STORED

Ref: REQ/GEN/ACS/0002
Version: 2.0
Date: 23-Feb-2010
Page No: 46 of 46