



AUDIT EXTRACTION - LOCAL WORK INSTRUCTION
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Abstract: Describes the process used to extract, check, and send Audit data requested by POL via the ARQ process, using the Audit Extraction Client application on the Audit Workstations

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Author & Dept: Farzin Denbali, POA Security Operations

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Approval Authorities:

Name	Role	
Steven Browell	POA CISO	See Dimensions for record



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0.2 Document History

Only integer versions are authorised for development.

Version No.	Date	Summary of Changes and Reason for Issue	Associated Change CWO, CP, CCN or PEAK Reference
0.1	24/03/2022	Draft Version Created	N/A
0.2	01/04/2022	Amended following review	N/A
0.3	01/03/2024	Amended section 2 to include requests from the Remediation team, Added a new section (3) for prerequisite activities, Added instructions for processing ARQ requests for Legacy Horizon (effective Thursday 14th December 2023) to section 5, Added instructions for Slow ARQ to section 5, Added section 6.1 for Gaps and Duplicates. Amended section 8 to reflect the new PGP process for sending ARQs to POL, Added instructions for closing locked ARQ to section 10, Added section 11 for raising PEAKs for Interface Interaction Logs.	N/A
0.4	20/03/2024	Amended following reviews	N/A
0.5	09/04/2024	Amended following further reviews	N/A
1.0	10-Apr-2024	Approval version	N/A

0.3 Review Details

Review Comments by:	
Review Comments to:	farzin.denballi GRO PostOfficeAccountDocumentManagement GRO

Mandatory Review	
Role	Name
CISO	Steven Browell
Security Analyst	Ifran Khan
Security Analyst	Sreydy Khun

Optional Review	
Role	Name
Information Security Governance Manager	Chris Stevens
Security Analyst/Crypto Key Manager	Andy Dunks
Developer (Audit-Dev)	Gerald Barnes
Infrastructure Domain Architect	Paul Gauntlet

(*) = Reviewers that returned comments

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0.4 Associated Documents (Internal & External)

References should normally refer to the latest approved version in Dimensions; only refer to a specific version if necessary.

Reference	Version	Date	Title	Source
PGM/DCM/TEM/0001 (DO NOT REMOVE)	See note above	See note above	POA Generic Document Template	Dimensions
PGM/DCM/ION/0001 (DO NOT REMOVE)			POA Document Reviewers/Approvers Role Matrix	Dimensions
ARC/SEC/ARC/0003			HNG-X Technical Security Architecture	Dimensions
DES/APP/HLD/0029			Audit Data Retrieval High Level Design	Dimensions
DEV/APP/LLD/0071			Audit Data Retrieval Low Level Design	Dimensions
DEV/APP/SPG/0016			Audit Extraction Client Support Guide	Dimensions
DEV/INF/ION/0001			Archive Server Configuration	Dimensions
SVM/SDM/SD/0017			Security Management Service – Service Description	Dimensions
DES/APP/HLD/0123			HNG-X HLD - Settlement Functions	Dimensions
DEV/GEN/MAN/0015			Audit Extraction Client User Manual	Dimensions
SVM/SEC/TEM/5088			Audit Record Query (ARQ) Request Form	Dimensions

0.5 Abbreviations

Abbreviation	Definition
AE	Audit Extractor
ARQ	Audit Record Query
FAD	Financial Accounts Department
HNG-X	Horizon Next Generation – Plan X
iKey	USB security token used for two-factor authentication
IRE11	The active data centre in Ireland that replaces the Bootle data centre
IRE19	The failover data centre in Ireland that replaces the Wigan data centre
MSAD	Microsoft Active Directory
PAN	Personal Account Number. The number associated with a credit or debit card.
PIN	Personal Identification Number
POL	Post Office Limited

0.6 Glossary

Term	Definition
SecOps	The team that runs ARQs and sends the results to the Post Office.
PEAK	Incident and Release Management system used by Fujitsu

0.7 Changes Expected

Changes



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Amendments following review

0.8 Accuracy

Fujitsu Services endeavours to ensure that the information contained in this document is correct but, while 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 Information Classification

The author has assessed the information in this document for risk of disclosure and has assigned an information classification of FUJITSU RESTRICTED (COMMERCIAL IN CONFIDENCE).



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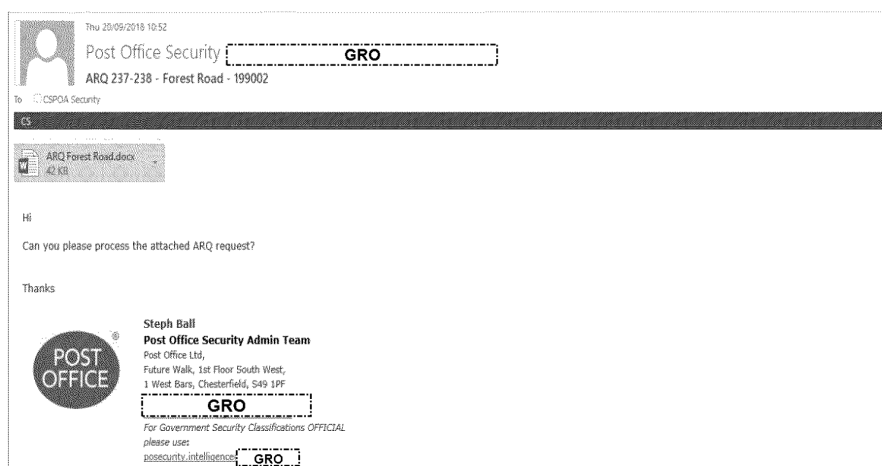
1 Introduction

This document describes the use of the Audit Extraction Client for the retrieval, filtering and querying of audit data in response to Audit Record Queries (ARQs) received from the Post Office. It further describes the process of data verification to ensure that the extracted data satisfies the ARQ request.

2 ARQ Requests from POL

The SecOps **GRO** team receive ARQ requests from the Post Office Security **GRO** and Post Office Remediation teams via email. Requests from the Post Office Remediation team are known as Horizon Shortfall Scheme requests and are more commonly referred to as HSS requests. Only ARQ requests received from the Post Office Security and Remediation teams will be processed. If a request for an Audit Record is received from a Post Office employee, they must be directed to the Post Office Security team, who will submit an ARQ on their behalf.

Below is an example of an ARQ request email received from the Post Office Security team:



An example of the ARQ request form received as an attachment to the email is shown below:

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FUJITSU Audit Record Query (ARQ) Request Form
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Please complete all relevant fields (highlighted in orange).

POL Reference Details	
ARQ No.:	
Case No.:	
Date submitted to Fujitsu:	
POL Requester Details	
Requester Name:	
Requester Team:	
Requester Address:	
Contact Telephone Number:	
Signature:	
Mandatory Information	
POL Branch Name:	POL Branch/FAD Code:
Date From:	Date To:
Specific Requirements	
An ARQ includes a report of all transactions and events. Please confirm what is required:	Transactions only/Events only/Transactions & Events/Neither (delete as appropriate)
Help desk call logs can also be provided. Are these required?	Yes/No
If the date range for help desk call logs is different to the mandatory information above, please state:	Date From: Date To:
Are Pouch IDs required?	Yes/No
If the date range for Pouch IDs is different to the mandatory information above, please state - otherwise leave blank:	Date From: Date To:
Are PAN details required (i.e., credit/debit card details)?	Yes/No
If PAN details are required, please specify:	Session ID: Other unique identifier:
Is an address needed for a recorded delivery?	Yes/No
If address details are required, please specify:	Tracking barcode:
Other information: (Please note that requests that cannot be specified in the fields above may need new queries to be written by Fujitsu. Fujitsu will confirm in its response.)	

Interface interaction logs are not part of the contracted ARQ process but are provided on a goodwill basis using the ARQ request form:

Are interface interaction logs required?	Yes/No
If interface interaction logs are required, please specify:	Node(s): Date and Time From: Date and Time To:

Please note that when Interface Interaction logs are provided, the response to POL will state:
Fujitsu has included interface interaction logs in this ARQ response. These are not "extraneous" as this is not captured.
Fujitsu recommends in the strongest possible terms that the Post Office should not rely on interface interaction records it has received from Fujitsu in any investigation of potential fraud, theft, breach of contract or any other impropriety which is suspected to have occurred at relevant Post Office branches. Interface interactions were created by and are used by Fujitsu for internal support purposes only and we would refer you to Simon Oldhall who has received a fuller explanation of the purpose of this content and its use.

Please forward the completed form to CSPOA/Security GRO from an authorised POL email sender account.

¹ The Service Description: Security Management Service (SVM/SDM/SD/0017) Section 2.1.15 describes the format of ARQ responses that are to be provided to POL.
² Interface interactions are not subject to any turnaround SLA and are provided on a **goodwill basis**.
Please do not supply "Yes/No" - Numbers must be provided.
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As HSS ARQs are now processed under the standard ARQ process and commercial model, the HSS requests will also be submitted on the standard ARQ form from 18/03/2024.

The following information is required before an ARQ request can be processed:

- The Branch Name and Branch Code
- The required date range. This is shown in the 'Date Range From:' and 'To:' fields on the ARQ request form received from Post Office Security. For the requests received from the Remediation team, this is shown in the 'Dates Required' field.
- The ARQ request number e.g., 'ARQ No.: 519' (from Post Office Security), or HSS2811 (from the Remediation team). Each ARQ request is for a maximum of 1 month of data. If the requested date range spans more than 1 month, the submitted ARQ number(s) must reflect that, as in the example above (ARQ No.: 237-238). If the submitted ARQ request number is incorrect, reply to the ARQ request email from POL and request an amended form.

Note that HSS ARQ requests received from the Remediation team are for Transaction and Event Logs, and HSD calls only. However, ARQ requests received from Post Office Security may include requests for data in addition to Transaction and Event Logs. These will be stated in the relevant field(s) on the ARQ request form.

Contractual limits and turnaround times for the provision of Audit Record Queries are detailed in the Security Management Service - Service Description (SVM/SDM/SD/0017).

3 Prerequisite activities

The following tasks must be completed prior to ARQ data retrieval:

- Open the ARQ Tracker (ARQ Tracking 14-22.xlsx) for each new ARQ request.

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- For ARQ requests received from the Remediation team –
 - Enter the new HSS ARQ number in the 'HSS Ref #' field. This is the 'ARQ Number' in the HSS ARQ request tracker attached to the request email from the Remediation team e.g., HSS2811. Each request must be entered in a new row:

ARQ Ref #	HSS Ref #	Date Request Received from POL	Branch Name	FAD Code	Date Range FROM	Date Range TO	Number of Days of Data	Number of Days of Data (Running Total)	Transactions & Events	HSD Calls	Interface Interaction Logs	Call Ref for HSD Calls	Date HSD Calls Returned	Witness Statement	Events for PEAK	PEAK Ref	PEAK Ref	Audit Workstation Code	Process
580		01-Mar-24	Tennyson Road	485523	01-Oct-22	31-Oct-22	31	18126	YES	NO	NO	N/A	N/A	NO	NO	N/A	POIA55518	LPRA/ARQ02	Saved
581		01-Mar-24	Tennyson Road	485523	01-Nov-22	30-Nov-22	30	18126	YES	NO	NO	N/A	N/A	NO	NO	N/A	POIA55518	LPRA/ARQ02	Saved
582		01-Mar-24	Tennyson Road	485523	01-Dec-22	31-Dec-22	31	18126	YES	NO	NO	N/A	N/A	NO	NO	N/A	POIA55518	LPRA/ARQ02	Saved
583		01-Mar-24	Tennyson Road	485523	01-Jan-23	31-Jan-23	31	18121	YES	NO	NO	N/A	N/A	NO	NO	N/A	POIA55518	LPRA/ARQ02	Saved
584		01-Mar-24	Tennyson Road	485523	01-Feb-23	28-Feb-23	28	18040	YES	NO	NO	N/A	N/A	NO	NO	N/A	POIA55518	LPRA/ARQ02	Saved
585		01-Mar-24	Tennyson Road	485523	01-Mar-23	31-Mar-23	31	18035	YES	YES	NO	N/A	N/A	NO	NO	N/A	POIA55518	LPRA/ARQ02	Saved
586		01-Mar-24	Salisbury Road	218209	01-Oct-17	31-Oct-17	31	18011	YES	YES	NO	N/A	N/A	NO	NO	N/A	POIA55518	LPRA/ARQ02	Saved
587		01-Mar-24	Salisbury Road	218209	01-Nov-17	30-Nov-17	30	18040	YES	YES	NO	N/A	N/A	NO	NO	N/A	POIA55518	LPRA/ARQ02	Saved
588		01-Mar-24	Salisbury Road	218209	01-Dec-17	31-Dec-17	31	18012	YES	YES	NO	N/A	N/A	NO	NO	N/A	POIA55518	LPRA/ARQ02	Saved

- Enter the date the HSS ARQ request email was received in the 'Date Request Received from POL' field.
- Enter the HSS ARQ request details (Branch Name, Branch Code (FAD Code), Date Range FROM' and 'Date Range TO) from the HSS ARQ request tracker. The 'Dates Required' field in the tracker shows the required date range.
- Drag down the previous 'Number of Days of Data' value to populate this field for the new ARQ request.
- Drag down the previous 'Number of Days of Data (Running Total)' value to populate this field for the new ARQ request.
- Enter 'YES' in the 'Transactions & Events' field if both Transactions and Events have been requested.
- Enter 'YES' in the 'HSD Calls' field. All ARQ requests received from the Remediation team include 'HSD Calls' (See section 13).
- Enter 'NO' in the 'Interface Interaction Logs' field. HSS ARQs requests do not include 'Interface Interaction Logs'.
- Enter 'N/A' in the fields for 'Call Ref for HSD Calls' and 'Date HSD Calls Returned'. These are legacy fields and are no longer used.
- Enter 'NO' in the 'Witness Statement' field. **We do not provide witness statements.**
- Enter 'NO' in the 'Events for PEAK' field. We do not raise PEAKs for Events to be checked.

4 Logging on to the Audit Workstation

There are 6 Audit Workstations located in Bracknell (BRA01) and Stevenage (STE04): 4 in BRA01; and 2 in STE04. These machines are not connected to the Fujitsu corporate network but have direct lines to the IRE11 and IRE19 Audit Servers.

Access to the Audit Workstations is restricted, based upon the MSAD group to which the user belongs. Access to the Audit Workstation is via two-factor authentication: an iKey token and a PIN number is required. Insert the iKey token into a USB port on the Audit Workstation and enter the PIN number when presented with the screen.

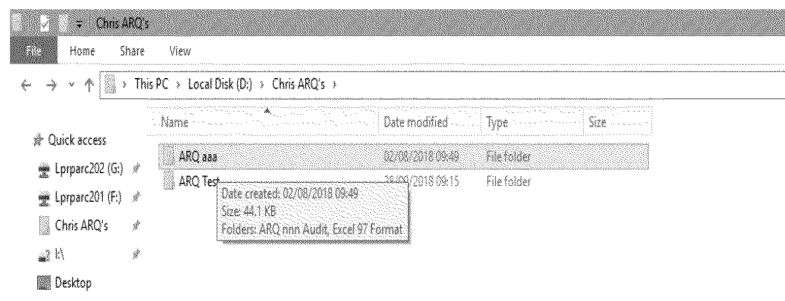
The following tasks must be completed on the Audit Workstation prior to ARQ data retrieval:

- Open Windows Explorer and navigate to the D drive. If you do not have a folder, create a folder with your name to save the ARQ data in.



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- Copy the "ARQ aaa" template folder from the D drive to your directory,
- Rename the copied folder to show the ARQ request number e.g., ARQ517 or HSS2738,
- Open this folder and open 'Readme first.rtf'. Edit the document to show the correct ARQ number, financial year (e.g., 23/24), and email address (your Fujitsu email address),
- Rename the ARQ Audit folder to reflect the ARQ request number e.g., ARQ517 Audit or HSS2738 Audit,
- Close the folder and return to the desktop.

Once the above tasks have been completed, ARQ data retrieval can begin.

5 ARQ data retrieval

Effective Thursday 14th December 2023, ARQ requests for transactions and/or events for Legacy Horizon (dates up to 31 October 2010) **MUST** be processed using the Slow ARQ method, must search across 3 months and filter for the date range in question, as below:

ARQ Request Date Range	New process (specifying the FAD in the Slow ARQ search screen)
01 January – 31 January (or part thereof)	Slow ARQ searching for the range 01 January – 31 March (full months) and then filtering for transactions and/or events for 01 January – 31 January (or part thereof)
01 February – 28/29 February (or part thereof)	Slow ARQ searching for the range 01 February – 30 April (full months) and then filtering for transactions and/or events for 01 February – 28/29 February (or part thereof)
01 March – 31 March (or part thereof)	Slow ARQ searching for the range 01 March – 31 May (full months) and then filtering for transactions and/or events for 01 March – 31 March (or part thereof)
01 April – 30 April (or part thereof)	Slow ARQ searching for the range 01 April – 30 June (full months) and then filtering for transactions and/or events for 01 April – 30 April (or part thereof)
01 May – 31 May (or part thereof)	Slow ARQ searching for the range 01 May – 31 July (full months) and then filtering for transactions and/or events for 01 May – 31 May (or part thereof)
01 June – 30 June (or part thereof)	Slow ARQ searching for the range 01 June – 31 August (full months) and then filtering for transactions and/or events for 01 June – 30 June (or part thereof)
01 July – 31 July (or part thereof)	Slow ARQ searching for the range 01 July – 30 September (full months) and then filtering for transactions and/or events for 01 July – 31 July (or part thereof)
01 August – 31 August (or part thereof)	Slow ARQ searching for the range 01 August – 31 October (full months) and then filtering for transactions and/or events for 01 August – 31 August (or part thereof)
01 September – 30 September (or part thereof)	Slow ARQ searching for the range 01 September – 30 November (full months) and then filtering for transactions and/or events for 01 September – 30 September (or part thereof)
01 October – 31 October (or part thereof)	Slow ARQ searching for the range 01 October – 31 December (full months) and then filtering for transactions and/or events for 01 October – 31 October (or part thereof)
01 November – 30	Slow ARQ searching for the range 01 November – 31 January (full months) and then filtering for transactions and/or events for 01 November – 30 November (or part thereof)



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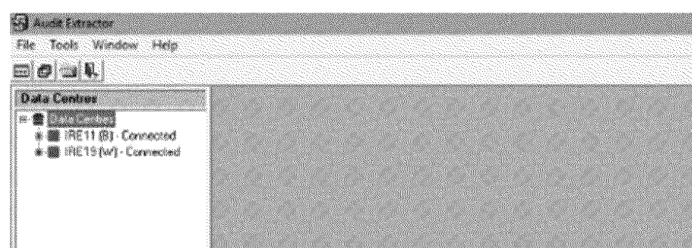
November (or part thereof)	
01 December – 31 December (or part thereof)	Slow ARQ searching for the range 01 December – 28/29 February (full months) and then filtering for transactions and/or events for 01 December – 31 December (or part thereof)

The resulting files should be collated and shared as per the existing processes. As this new process will take longer to perform (current indications are 100 minutes instead of 20 minutes per month in the date range), consideration should be made to the likely response time to POL. Any delays that would cause the SLAs documented in SVM/SDM/SD/0017 not to be met must be escalated to SecOps management for consideration for notification to POL. To start the data retrieval, open the AECClient application on the desktop.



Once started, the application performs several checks to ensure that the environment has a valid configuration, and that at least one Audit server is accessible.

Upon successful completion of the validation, the main Audit Extractor Client window is displayed:



The Data Centres section on the left displays the status of all configured Data Centres (IRE11/IRE19) and lists active ARQs under the Data Centre at which they were created. A green icon displayed to the left of the Data Centre name, and the descriptive text following the name, indicates that the Data Centre is available i.e., connected.

An ARQ can be processed as a Fast ARQ or a Slow ARQ (New ARQ). The Fast ARQ form presents fewer options than the Slow ARQ form but once started by clicking the 'Execute ARQ' button, the ARQ will proceed through the retrieving, sealing, filtering, querying and presentation steps without further user interaction. The default for processing an ARQ is to run a Fast ARQ. However, a Slow ARQ must be run if:

- The criteria for Legacy Horizon apply (see above),
- No data is returned when a Fast ARQ is run,

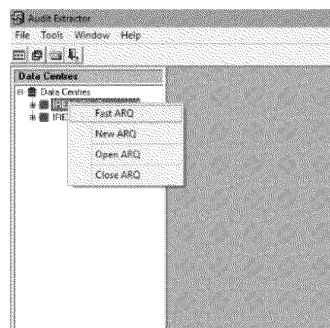
To run a Fast ARQ

- Right click on one of the Data Centres and select Fast ARQ

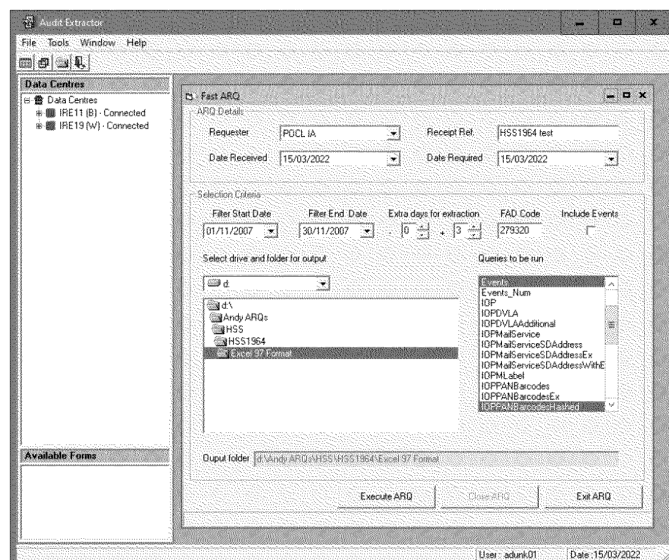


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- This will open the Fast ARQ form:



- Set the selection criteria as follows:
 - 'Requester' - Always select POCL IA,
 - 'Receipt Ref.' - ARQ Number, as per the ARQ request. This should be a single ARQ number e.g., ARQ517 or HSS2738,
 - 'Date Received' and 'Date Required' - Don't change,
 - 'Filter Start Date' and Filter End Date' - Set as per the ARQ request. If an ARQ request form received from Post Office Security is for multiple ARQs covering a number of months, the 'Filter Start Date' and Filter End Date' must be the start and end date of the month for the relevant ARQ. If an ARQ request form received from Post Office Security is for multiple ARQs covering several months, they must be processed one ARQ at a time i.e., one ARQ for one month. Note - If this is an ARQ request for transactions and events for Legacy Horizon (dates up to 31 October 2010), it MUST be processed as a Slow ARQ (see below) with the 'To Date' 3 full months from the 'From Date' (as described at the start of this section).
 - 'Extra days for extraction' - MUST always be set to +3,
 - 'FAD Code' - The Branch code, as shown on the ARQ request form or the HSS ARQ request tracker,
 - 'Include Events' - Do not tick



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- 'Select drive and folder for output' - Navigate to the D drive and select the folder created earlier (Section 4) e.g., D:/John's ARQ/ARQ 517/Excel 97 Format

All HSS ARQ requests, and the vast majority of ARQ requests received from Post Office Security, require 2 queries to be run:

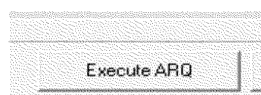
- Events - The output shows all counter events generated by the Counter Branch Application at a branch.
- IOPPANBarcodesHashed - The output shows information relating to PAN and client account references. Note that this query only provides the hashed PAN and not the encrypted PAN. If a full PAN is requested, another query, 'IOPPANBarcodes' which provides the encrypted PAN, must also be run. The PAN Management dialogue screen can then be used to decrypt the encrypted PAN (see section 14). The hashed and encrypted PANs are only available for transactions in a branch before that branch migrated to PBS. Post-PBS, only the 'truncatedPAN' is provided by the IOPPANBarcodesHashed query. The tokenized PAN, which POL would require to obtain the full PAN, can be provided by running the PBSDetails query.

These queries are part of a set of predefined queries maintained on both Audit servers. For details of these, and other predefined queries available, see DEV/GEN/MAN/0015, section 8.5.4.5.3 (Predefined Queries).

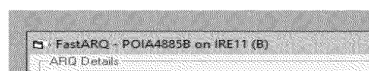
For information on which queries to run for other information requested on the ARQ form (Pouch ID, PAN Details and Address for Recorded Delivery), see below (pages 15 and 16). If other information is requested in the "Other information" section of the form, for which there isn't an existing predefined query, respond to the request email with:

"There is no current facility to respond to the request you entered into the Other box. This will need to be submitted as a feature enhancement via RTQ as it will also require changes to the contract as this is outside the definition of an ARQ."

- Select 'Events' and 'IOPPANBarcodesHashed' queries, as shown in the above screenshot. For information on queries to use for Pouch ID, PAN details, and Address for Recorded Delivery, see below (pages 16 and 17).
- Start the data retrieval by clicking on the 'Execute ARQ' button:



- Make a note of the POIA number (found on the top banner of the FastARQ form). This must be recorded in the 'POIA Ref' field in the ARQ Tracker for every processed ARQ request.



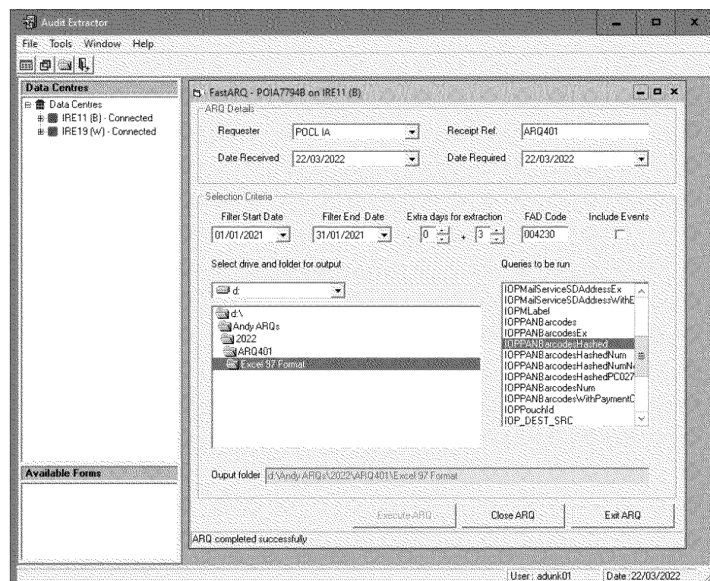
ARQ Ref	HSS Ref	Date Request Received from POL	Branch Name	FAD Code	Date Range FROM	Date Range TO	Number of Days of Data	Number of Days of Data (Running Total)	HSD Calls	Call Ref for HSD Calls	Date HSD Calls Returned	Witness Statement	Event s for PEAK	PEAK Ref	POIA Ref
710	568	14-Feb-24	Bulth Wells	239644	01-Oct-22	31-Oct-22	31	18027	NO	N/A	N/A	NO	NO	N/A	POIA9512B

When the ARQ is completed successfully, the message 'ARQ completed successfully' will be displayed in the status bar and the 'Close ARQ' and 'Exit ARQ' buttons will be enabled.



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Two Excel spreadsheets, one for Horizon and one for HNG-X, will be generated in the specified output directory on the Audit Workstation for each query run. The name for the Horizon file begins with letters 'Hz' and that for the HNG-X file begins with 'Hx'. If the queries are run for HNG-X i.e., for a date range starting after 31 October 2010, the generated spreadsheets for Horizon (Hz) will be empty (12 KB in size). However, if the queried date range spans the migration of the branch from Horizon to HNG-X, all generated Excel spreadsheets (Hz and Hx) will contain data. In addition, an XML file will be created for each query run. This file is not used and can be deleted.

Hx_Events	26/09/2018 14:41	Microsoft Excel W...	470 KB
Hx_Events	26/09/2018 14:32	XML Document	2,680 KB
Hx_IOPPANBarcodes	27/09/2018 08:18	Microsoft Excel W...	2,121 KB
Hx_IOPPANBarcodes	26/09/2018 14:32	XML Document	9,115 KB
Hz_Events	26/09/2018 14:41	Microsoft Excel W...	12 KB
Hz_Events	26/09/2018 14:31	XML Document	1 KB
Hz_IOPPANBarcodes	26/09/2018 14:41	Microsoft Excel W...	12 KB
Hz_IOPPANBarcodes	26/09/2018 14:32	XML Document	1 KB

If the query does not return any results i.e., all generated spreadsheets are 12 KB in size, re-run the ARQ on the other Data Centre using the Slow ARQ process (see 'If no data is returned' section below).

Once the requested ARQ has been processed, the ARQ Tracker ([ARQ Tracking 14-22.xlsx](#)) must be updated with the following details:

- POIA Ref
- Audit Workstation Used
- Processed By

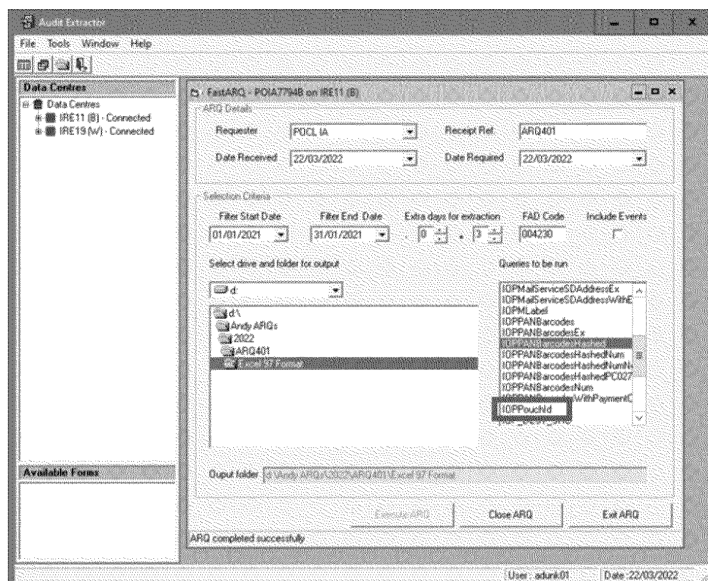
Requests for Pouch ID:

If the Pouch ID has been requested on the ARQ form, select the 'IOPPouchId' query:



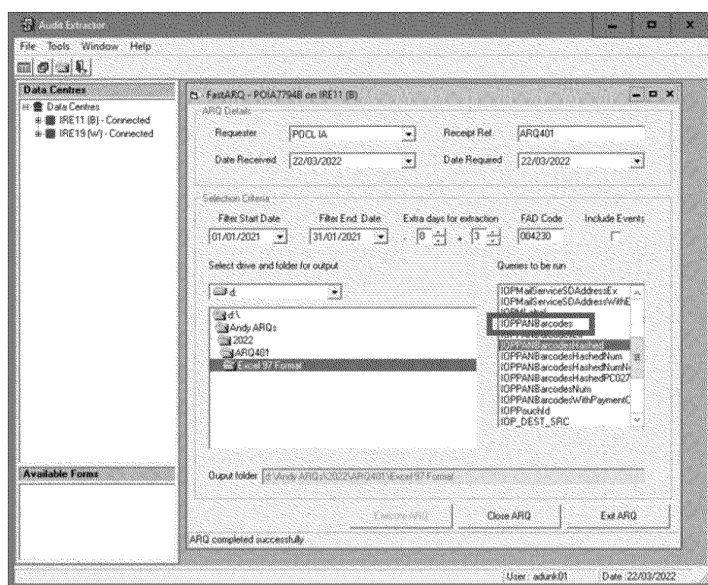
AUDIT EXTRACTION - LOCAL WORK INSTRUCTION

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Requests for PAN details (credit/debit card details)

If PAN details have been requested, select the 'IOPPANBarcodes' query. This query provides the encrypted PAN, which is required for obtaining the PAN details (see section 14):



Requests for Address for Recorded Delivery

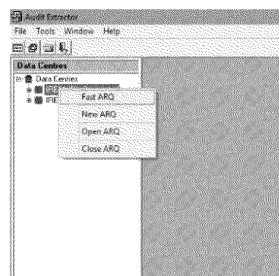
If address details for a recorded delivery has been requested, select the 'IOPMailServiceSDAddressWithExtraAddresses' query.

To run a Slow ARQ

- Right click on one of the Data Centres and select New ARQ



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- This will open the New ARQ form:

- Select POCL IA for 'Requester':

- Enter the ARQ Number, as per the ARQ request, in the 'Receipt Reference' field e.g., ARQ517 or HSS2738. OPTIONAL - Enter the branch name, branch number (FAD), and date range required in the 'Access Reason' field:



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New ARQ - IRE19 (W)

Query

Requester: POCLIA Date Received: 20/02/2024

Catalogue Entry: Date Required: 20/02/2024

Receipt Reference: HSS2719

Access Reason:

Specify Selection Criteria Save Request Close

- Click on the 'Specify Selection Criteria':

New ARQ - IRE19 (W)

Query

Requester: POCLIA Date Received: 20/02/2024

Catalogue Entry: Date Required: 20/02/2024

Receipt Reference: HSS2719

Access Reason:

Specify Selection Criteria Save Request Close

**** Your request to Create a new ARQ has been invoked. ****

- Enter the 'From Date'. This must be the start date of the requested date range.
Enter the 'To Date'. Note - If this is a Slow ARQ being run for transactions and/or events for Legacy Horizon (dates up to 31 October 2010), the 'To Date' MUST be 3 full months from the 'From Date' (as described at the start of this section). Otherwise, this must be the end date of the requested date range.
Click on 'Select' on the right-hand side:



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Specify Selection Criteria for Query - POIA8540W on IRE19 (W)

Selection Criteria for ARQ Reference POIA8540W

Dates Required
From Date: 01 December 2007 To Date: 29 February 2008

Audit Point and FAD Details

Audit Point	Audit Sub Point	FAD Code	FAD Hash
-------------	-----------------	----------	----------

< Select

PAN Details - Required Templates

Horizon Template

HNG-X Template

Select PAN Search for Files Close

- Enter the branch code in the 'Post Office FAD Code' field:

Audit Extractor - Update Audit Points or FAD Code

To add selection criteria: Select Audit Point and Sub Point or input Post Office FAD Code, then click 'Add'.

To remove selection criteria: Select criteria in list, then click 'Delete'.

New Values

Audit Point

Sub Point

Or

Post Office FAD Code
191434

Clear

Events
Include Events ☐

Add > < Delete

List of selected Audit Point Selection Criteria

Audit Point	Audit Sub Point	FAD Code	FAD Hash
-------------	-----------------	----------	----------

OK

- Click 'Add' and click 'OK':

Audit Extractor - Update Audit Points or FAD Code

To add selection criteria: Select Audit Point and Sub Point or input Post Office FAD Code, then click 'Add'.

To remove selection criteria: Select criteria in list, then click 'Delete'.

New Values

Audit Point

Sub Point

Or

Post Office FAD Code
191434

Clear

Events
Include Events ☐

Add > < Delete

List of selected Audit Point Selection Criteria

Audit Point	Audit Sub Point	FAD Code	FAD Hash
TMS	CLUSTER2W	191434	

OK

** Search Completed: 191434 has no HNG-X History for the dates requested.



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Specify Selection Criteria for Query - POIA8540W on IRE19 (W)

Selection Criteria for ARQ Reference POIA8540W

Dates Required
From Date: 01 December 2007 To Date: 29 February 2008

Audit Point and FAD Details

Audit Point	Audit Sub Point	FAD Code	FAD Hash
TMS	CLUSTER2W	191434	

< Select

PAN Details - Required Templates

Horizon Template:

HNG-X Template:

Select PAN Search for Files Close

- Click 'Search for Files' and the following message will be displayed.

Warning

Warning: the search dates span an excessive period of: 91 days.

This exceeds the 31 day limit.

This may result in too many files being returned.

Do you wish to continue?

Yes No

- Click 'Yes'. This will start the data retrieval.



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Maintain ARQ: POIA8540W on IRE19 (W)

ARQ Details | Retrieval Criteria | **Audit Tracks** | Filtering | Validation and Query | Presentation

Files Names for ARQ Reference POIA8540W

Filename	Size	Status
----------	------	--------

Files Found: 0
No of Files Selected: 0
Size of Selected Files:

Select All ☐

Selected File List Control

RESTORE Files | REPLACE Files | Confirm Seal Status | DELETE Files

Refresh View | Close

**** Retrieving filenames for selection Criteria. ****

- Retrieving the files will take some time, depending on the number of files.

Maintain ARQ: POIA8540W on IRE19 (W)

ARQ Details | Retrieval Criteria | **Audit Tracks** | Filtering | Validation and Query | Presentation

Files Names for ARQ Reference POIA8540W

Filename	Size	Status
FN01_TMS_Cluster2W_W_1_20080229_15514600_V001.arc	70282541	Displayed
FN01_TMS_Cluster2W_W_1_20080229_14370500_V001.arc	71582061	Displayed
FN01_TMS_Cluster2W_W_1_20080229_13114300_V001.arc	71187624	Displayed
FN01_TMS_Cluster2W_W_1_20080229_11502400_V001.arc	71840497	Displayed
FN01_TMS_Cluster2W_W_1_20080229_10325300_V001.arc	74487743	Displayed
FN01_TMS_Cluster2W_W_1_20080229_09122100_V001.arc	73673611	Displayed
FN01_TMS_Cluster2W_W_1_20080228_18285300_V001.arc	66758471	Displayed
FN01_TMS_Cluster2W_W_1_20080228_16170600_V001.arc	67295968	Displayed
FN01_TMS_Cluster2W_W_1_20080228_14564700_V001.arc	71777812	Displayed
FN01_TMS_Cluster2W_W_1_20080228_13295300_V001.arc	73311906	Displayed
FN01_TMS_Cluster2W_W_1_20080228_12044000_V001.arc	73107455	Displayed
FN01_TMS_Cluster2W_W_1_20080228_10403400_V001.arc	73310705	Displayed

Files Found: 543
No of Files Selected: 1
Size of Selected Files: 67.67 Mb

Select All ☐

Selected File List Control

RESTORE Files | REPLACE Files | Confirm Seal Status | DELETE Files

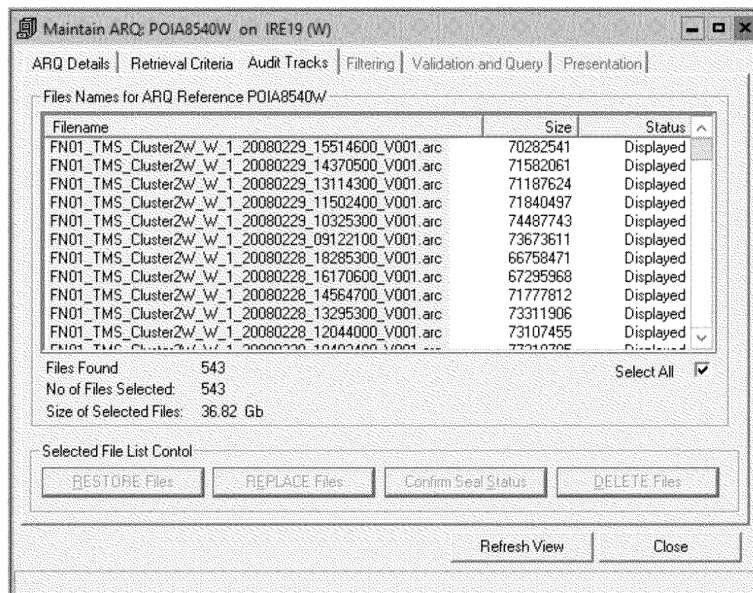
Refresh View | Close

- Click the 'Select All' tick box and click 'RESTORE Files'. Make a note of the POIA number (found on the top banner of the form). This must be recorded in the 'POIA Ref' field in the ARQ Tracker.

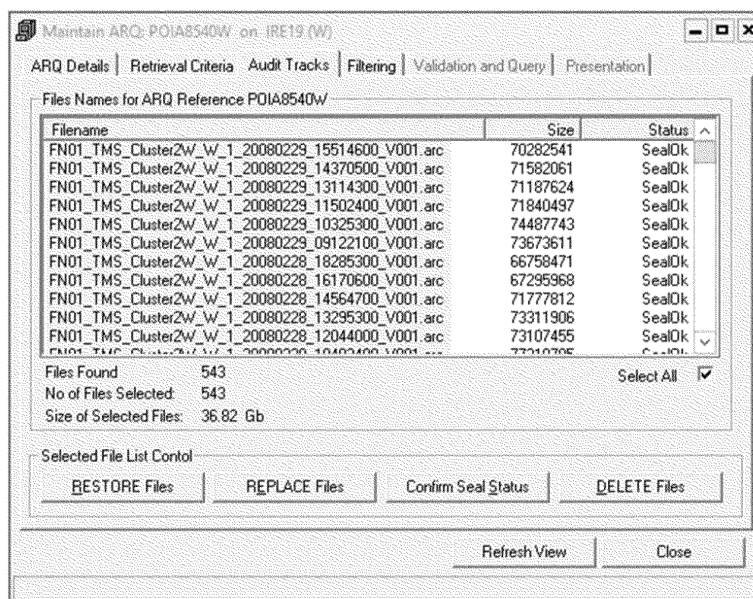


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- Once a file has been restored, the file 'Status' changes from 'Requested' to 'SealOk'. The 'Filtering' tab will be enabled once all the files have been restored:



- Select the 'Filtering' tab:



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- The 'Output Type' box will default to "ABSTRACT - Only those rows that match the selection criteria". Change the 'End Date' and enter the end date of the requested date range, as stated on the ARQ request form, or in the HSS ARQ request tracker. Click 'Apply Filter':

- Once the filtering has completed, the 'Filtering completed' message will be displayed, and the 'Validation and Query' tab will be enabled:



Maintain ARQ: POIA9525B on IRE11 (B)

ARQ Details | Retrieval Criteria | Audit Tracks | Filtering | Validation and Query | Presentation

Output Type: ABSTRACT - Only those rows that match the selection criteria

Start Date: 01/09/2008 End Date: 30/09/2008

Post Office FAD Code:

FAD List:

Filtering completed

- Select the 'Validation and Query' tab:

[illegible]

- Select 'Horizon' from the 'Data Source' drop-down list (this will be the only option). The 'Status' will change to 'Concatenation completed', and the 'Sequence Validation' will be displayed:



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Maintain ARQ: POIA9525B on IRE11 (B)

ARQ Details | Retrieval Criteria | Audit Tracks | Filtering | Validation and Query | Presentation

Data Source: Status:

Sequence Validation | Select Query | Execute Query

Node	Lowest Message	Highest Message
281410:1	1629960	1652009
281410:2	3541262	3602977
281410:3	4396508	4448638
281410:4	2304587	2316797
281410:34	294128	294366
281410:35	251077	253537
281410:54	213906	214770
281410:55	154048	157261

GAPS - NONE

DUPLICATES - NONE

Refresh View Close

- There should be no 'GAPS' i.e., 'GAPS - NONE'. If Gaps are present (see example below), seek assistance from Audit support by logging a PEAK and assigning to Audit-Dev (see section 6.1).

Maintain ARQ: OTH3469B on IRE11 (B)

ARQ Details | Retrieval Criteria | Audit Tracks | Filtering | Validation and Query | Presentation

Data Source: Status:

Sequence Validation | Select Query | Execute Query

Node	Lowest Message	Highest Message
342432:1	2708246	2708400
342432:1	2708341	2708341
342432:1	2708342	2708343
342432:1	2708342	2708342
342432:1	2708353	2708359
342432:1	2708366	2708368
342432:2	1186101	1186102
342432:3	5134436	5134441
342432:4	4939158	4939720
342432:4	4939600	4939632
342432:5	4770713	4771138
342432:5	4771138	4771138

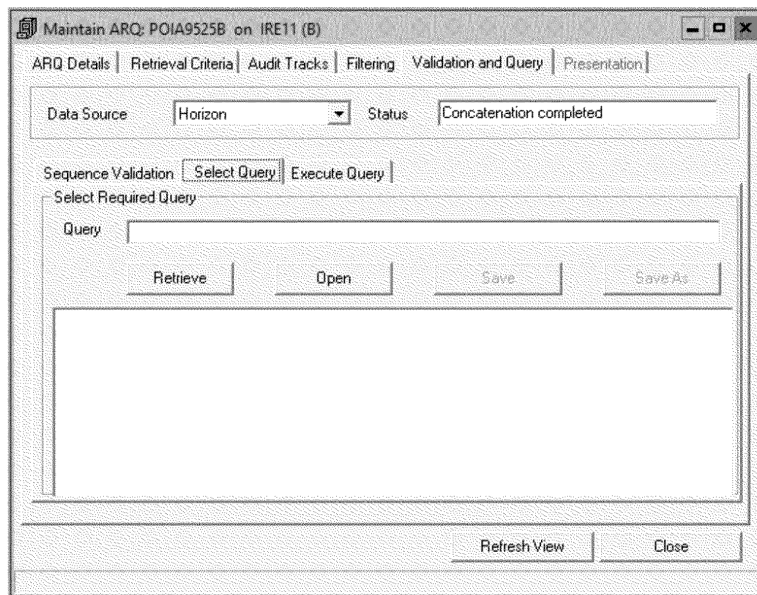
GAPS FOUND (shown in red)

DUPLICATES FOUND (shown in blue)

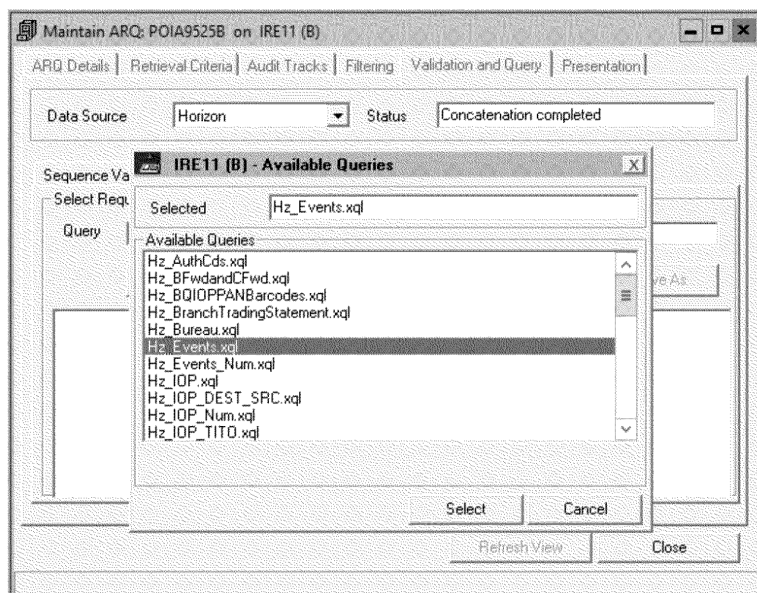
SEEK ASSISTANCE FROM AUDIT SUPPORT

Refresh View Close

- If there are no Gaps, select the 'Select Query' tab.



- Click the 'Retrieve' button under the 'Query' box. Note that the 'Data Source' selected will determine which queries can be selected. For "Horizon" Data source, queries beginning with 'Hz_' will be available:



- Select the 'Hz_Events.xql' and click 'Select'. Click 'Open' and the query detail will be displayed:



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Maintain ARQ: POIA9525B on IRE11 (B)

ARQ Details | Retrieval Criteria | Audit Tracks | Filtering | Validation and Query | Presentation

Data Source: Horizon Status: Concatenation completed

Sequence Validation | Select Query | Execute Query

Select Required Query

Query: Hz_Events.xql

Retrieve Open Save Save As

```
xquery version "1.0";
declare function local:ragdate($date as xs:string) as xs:date
{
  let $months := ("Jan","Feb","Mar","Apr","May","Jun","Jul","Aug","Sep","Oct","Nov","Dec")
  let $dates:= tokenize($date,"")
  return
  concat($dates[3], "-", replace(concat("0", index-of($months, $dates[2])), "0??"[0-9][0-9]$", "$1"), "-",
    $dates[1]) cast as xs:date
};
<Fvents>
```

Refresh View Close

- Select the 'Execute Query' tab:

Maintain ARQ: POIA9525B on IRE11 (B)

ARQ Details | Retrieval Criteria | Audit Tracks | Filtering | Validation and Query | Presentation

Data Source: Horizon Status: Concatenation completed

Sequence Validation | Select Query | Execute Query

Execute Query

Execute

```
08:31:11 Created
08:54:39 New
08:54:49 File copy started
09:04:01 Concatenating files
09:04:23 Concatenation completed
```

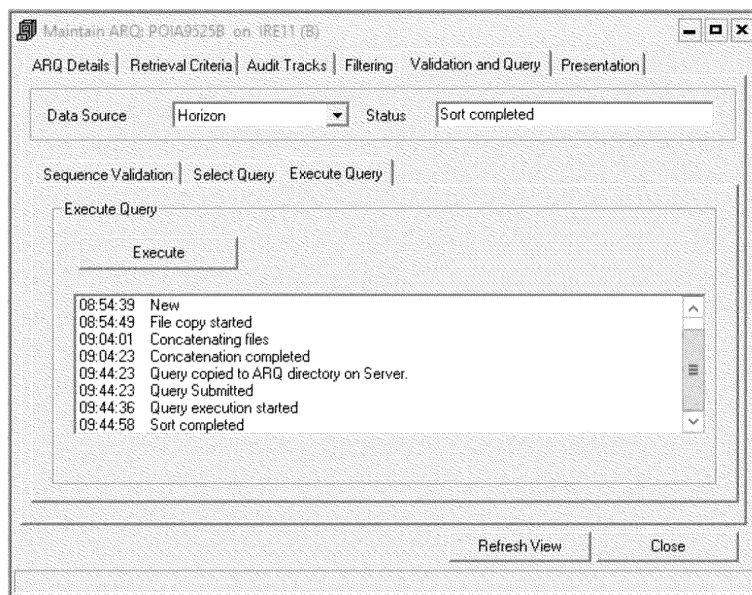
Refresh View Close

- Click 'Execute'. Once the query is executed successfully, the 'Presentation' tab will be enabled:

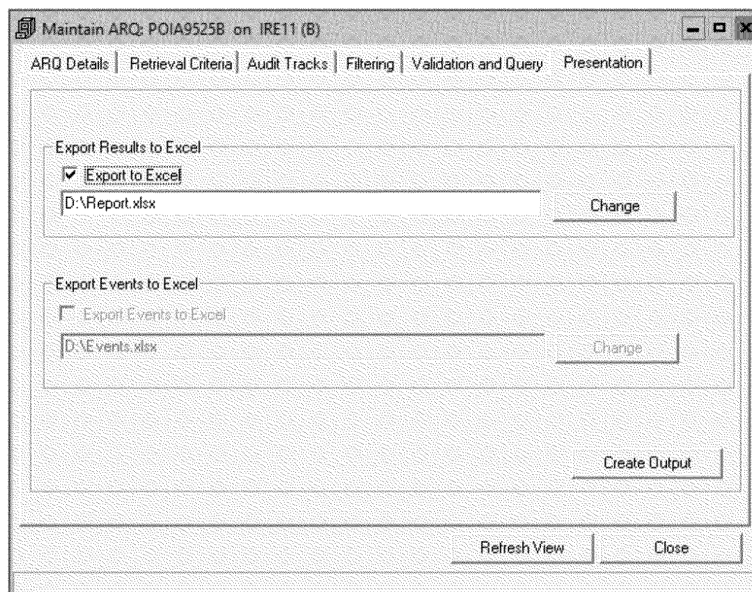


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- Select the 'Presentation' tab. Select 'Export to Excel' and click on 'Change'. Navigate to the D drive and select the folder created earlier (Section 4) e.g., D:/John's ARQ/ARQ 517/Excel 97 Format. Enter the file name ('Events' followed by the ARQ requested date range e.g., 'Events 01-30 April 2023'), and click 'Create Output'. This will generate an Excel spreadsheet and place it in the specified output directory on the Audit Workstation.

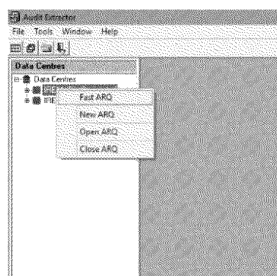


- Return to the 'Validation and Query' tab and select the 'Select Query' tab. Click the 'Retrieve' button under the 'Query' box to select Hz_IOPPANBarcodesHashed.xql and repeat the above process to generate the Excel spreadsheet for Transactions. The file name should be the ARQ requested date range e.g., 01-30 April 2023.

If no data is returned

If the query does not return any results, run a Slow ARQ as follows:

- Right click on one of the Data Centres and select New ARQ



- This will open the New ARQ form:

- Select POCL IA for 'Requester':

- Enter the ARQ Number, as per the ARQ request, in the 'Receipt Reference' field e.g., ARQ517 or HSS2738. OPTIONAL - Enter the branch name, branch number (FAD), and date range required in the 'Access Reason' field:



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- Click on the 'Specify Selection Criteria':

- Enter the 'From Date'. This must be the start date of the requested date range.
For the query end date ('To Date'), enter a date 3 days from the start date i.e., start date + 3.
The purpose of this is to determine which cluster holds the data required before the full query is run.
Click on 'Select' on the right-hand side:

The dialog box is titled 'Specify Selection Criteria for Query - POIA8540W on IRE19 (W)'. It contains the following sections:

- Selection Criteria for ARQ Reference POIA8540W**
 - Dates Required:** From Date: 01 December 2007, To Date: 04 December 2007.
 - Audit Point and FAD Details:** A table with columns: Audit Point, Audit Sub Point, FAD Code, FAD Hash. Below the table is a '< Select' button.
 - PAN Details - Required Templates:** Two text input fields: 'Horizon Template' and 'HNGX Template'.
- Buttons:** 'Select PAN', 'Search for Files', and 'Close'.

- Instead of entering the branch code in the 'Post Office FAD Code' field as before, select TMS from the 'Audit Point' drop-down list:

The dialog box is titled 'Audit Extractor - Update Audit Points or FAD Code'. It contains the following sections:

- Instructions:**
 - To add selection criteria: Select Audit Point and Sub Point or input Post Office FAD Code, then click 'Add'.
 - To remove selection criteria: Select criteria in list, then click 'Delete'.
- New Values:**
 - Audit Point:** A drop-down list with options: TESDB, TIP, TIVOLI, TMS (highlighted), TPS, TVLLT, WELSHW, YORKEL.
 - Buttons:** 'Add >', '< Delete', and 'Clear'.
- List of selected Audit Point Selection Criteria:** A table with columns: Audit Point, Audit Sub Point, FAD Code, FAD Hash.
- Events:** A checkbox labeled 'Include Events'.
- Buttons:** 'OK'.

- Select and 'Add' Cluster1, Cluster2, Cluster3 and Cluster4 Sub Points. Click 'OK'.
 - If the ARQ is being run on IRE11(B), select: Cluster1B, Cluster2B, Cluster3B and Cluster4B
 - If the ARQ is being run on IRE19(W), select: Cluster1W, Cluster2W, Cluster3W and Cluster4W



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Audit Extractor - Update Audit Points or FAD Code

To add selection criteria: Select Audit Point and Sub Point or input Post Office FAD Code, then click 'Add'.

To remove selection criteria: Select criteria in list, then click 'Delete'.

New Values

Audit Point: TMS

Sub Point: Cluster4B

Events: Include Events ☐

OK

Audit Point	Audit Sub Point	FAD Code	FAD Hash
-------------	-----------------	----------	----------

Audit Extractor - Update Audit Points or FAD Code

To add selection criteria: Select Audit Point and Sub Point or input Post Office FAD Code, then click 'Add'.

To remove selection criteria: Select criteria in list, then click 'Delete'.

New Values

Audit Point: TMS

Sub Point: Cluster4B

Or

Post Office FAD Code:

Events: Include Events ☐

OK

Audit Point	Audit Sub Point	FAD Code	FAD Hash
TMS	Cluster1B		
TMS	Cluster2B		
TMS	Cluster3B		
TMS	Cluster4B		

- Once the 'Audit Point' and 'Audit Sub Point' has been added, click 'Search for Files'.

Specify Selection Criteria for Query - POIA8540W on IRE19 (W)

Selection Criteria for ARQ Reference POIA8540W

Dates Required

From Date: 01 December 2007 To Date: 04 December 2007

Audit Point and FAD Details

Audit Point	Audit Sub Point	FAD Code	FAD Hash
TMS	Cluster1B		
TMS	Cluster2B		
TMS	Cluster3B		
TMS	Cluster4B		

< Select

PAN Details - Required Templates

Horizon Template:

HNG-X Template:

Select PAN Search for Files Close



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Maintain ARQ: POIA8540W on IRE19 (W)

ARQ Details | Retrieval Criteria | **Audit Tracks** | Filtering | Validation and Query | Presentation

Files Names for ARQ Reference POIA8540W

Filename	Size	Status
----------	------	--------

Files Found: 0
No of Files Selected: 0
Size of Selected Files:

Select All ☐

Selected File List Control

RESTORE Files | REPLACE Files | Confirm Seal Status | DELETE Files

Refresh View | Close

**** Retrieving filenames for selection Criteria. ****

- Retrieving the files will take some time, depending on the number of files.

Maintain ARQ: POIA8540W on IRE19 (W)

ARQ Details | Retrieval Criteria | **Audit Tracks** | Filtering | Validation and Query | Presentation

Files Names for ARQ Reference POIA8540W

Filename	Size	Status
FN01_TMS_Cluster2W_W_1_20080229_15514600_V001.arc	70282541	Displayed
FN01_TMS_Cluster2W_W_1_20080229_14370500_V001.arc	71582061	Displayed
FN01_TMS_Cluster2W_W_1_20080229_13114300_V001.arc	71187624	Displayed
FN01_TMS_Cluster2W_W_1_20080229_11502400_V001.arc	71840497	Displayed
FN01_TMS_Cluster2W_W_1_20080229_10325300_V001.arc	74487743	Displayed
FN01_TMS_Cluster2W_W_1_20080229_09122100_V001.arc	73673611	Displayed
FN01_TMS_Cluster2W_W_1_20080228_18285300_V001.arc	66758471	Displayed
FN01_TMS_Cluster2W_W_1_20080228_16170600_V001.arc	67295968	Displayed
FN01_TMS_Cluster2W_W_1_20080228_14564700_V001.arc	71777812	Displayed
FN01_TMS_Cluster2W_W_1_20080228_13295300_V001.arc	73311906	Displayed
FN01_TMS_Cluster2W_W_1_20080228_12044000_V001.arc	73107455	Displayed
FN01_TMS_Cluster2W_W_1_20080228_10403400_V001.arc	77310705	Displayed

Files Found: 543
No of Files Selected: 1
Size of Selected Files: 67.67 Mb

Select All ☐

Selected File List Control

RESTORE Files | REPLACE Files | Confirm Seal Status | DELETE Files

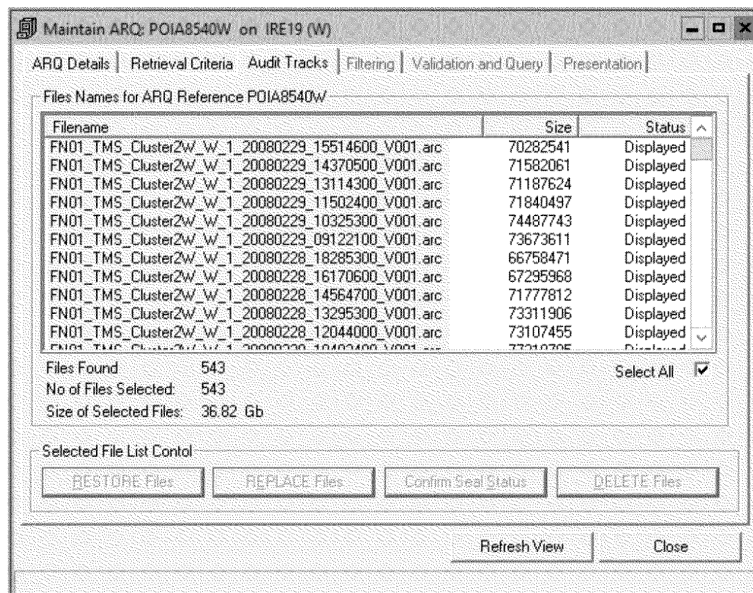
Refresh View | Close

- Click the 'Select All' tick box and click 'RESTORE Files'.

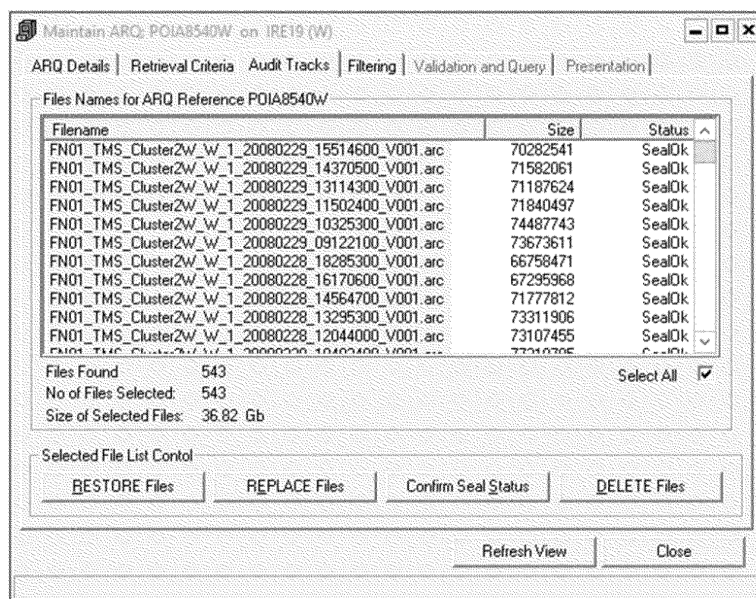


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- Once a file has been restored, the file 'Status' changes from 'Requested' to 'SealOk'. The 'Filtering' tab will be enabled once all the files have been restored:



- Select the 'Filtering' tab:



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- The 'Output Type' box will default to "ABSTRACT - Only those rows that match the selection criteria". Don't change the 'End Date'. Enter the branch code in the 'Post Office FAD Code' field and click 'Add'.
Click 'Apply Filter':

- Once the filtering has completed, the 'Filtering completed' message will be displayed, and the 'Validation and Query' tab will be enabled:



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- Open the QueryHandle log file on the relevant Audit server (\UserArea\ARQRef folder) and note which cluster contains data (file size is not 0). For example, Cluster2B files contain data, but Cluster2C files are empty.
- Re-run the Slow ARQ using only the cluster that returned data e.g., Audit Point: TMS, Audit Sub Point: Cluster2B. **NOTE** - ensure the correct start and end dates are selected for Legacy Horizon queries.

6 Preparing the files to send for checking

The data files will be in the output directory specified earlier (D:[Your Folder]\ARQxxx\Excel 97 Format)

This PC > Local Disk (D:) > Chris ARQ's > ARQ 236 > Excel 97 Format				
Name	Date modified	Type	Size	
Events	26/09/2018 14:41	Microsoft Excel W...	558 KB	
Hx_Events	26/09/2018 14:41	Microsoft Excel W...	470 KB	
Hx_Events	26/09/2018 14:32	XML Document	2,680 KB	
Hx_IOPANBarcodes	27/09/2018 08:18	Microsoft Excel W...	2,121 KB	
Hx_IOPANBarcodes	26/09/2018 14:32	XML Document	9,115 KB	
Hx_Events	26/09/2018 14:41	Microsoft Excel W...	12 KB	
Hx_Events	26/09/2018 14:31	XML Document	1 KB	
Hx_IOPANBarcodes	26/09/2018 14:41	Microsoft Excel W...	12 KB	
Hx_IOPANBarcodes	26/09/2018 14:32	XML Document	1 KB	
RejectedSysman2Events	26/09/2018 14:17	Text Document	0 KB	
RejectedSysman3Events	26/09/2018 14:31	Text Document	105,432 KB	
Sysman2Events	26/09/2018 14:17	Text Document	0 KB	
Sysman3Events	26/09/2018 14:31	Text Document	2,160 KB	

- Copy and paste "Hx_Events" and "Hx_IOPANBarcodesHashed", or "Hz_Events" and "Hz_IOPANBarcodesHashed" into ARQxxx Audit, depending on which files contain data (files containing data will be over 12KB in size). As mentioned previously, both the 'Hx' and 'Hz' files



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would contain data if the branch migrated from Horizon to HNG-X during the requested date range. In that case, both sets of files must be moved to the ARQxxx folder.

- Rename the Excel Files to reflect the date range requested:
 - "IOPPANBarcodesHashed" should be renamed with the ARQ requested date range e.g., 01-30 April 2023,
 - "Events" should be renamed as Events followed by the ARQ requested date range e.g., Events 01-30 April 2023,
- Once completed, there should be 3 files (2 Excel files and 1 'Readme first' Word document). If the branch migrated from Horizon to HNG-X during the requested date range, there will be 5 files (4 Excel files and 1 'Readme first' Word document).

ARQ 236 Audit

Share View

> This PC > My USB (E:) > ARQ 236 Audit

	Name	Date modified	Type	Size
ss	01-31 Oct 2017.xlsx	28/09/2018 10:34	Microsoft Excel W...	2,121 KB
its	Events 01-31 Oct 2017.xlsx	28/09/2018 10:34	Microsoft Excel W...	470 KB
connections	Readme first.rtf	28/09/2018 10:34	Rich Text Format	45 KB

The retrieved data must now be checked to confirm that the data matches the ARQ request, and that there are no "Gaps".

For ARQ requests received from Post Office Security, confirm the details in the ARQ Tracker match the details on the ARQ request form.

For ARQ requests received from the Remediation team, confirm the details in the ARQ Tracker match the details in the HSS ARQ request tracker attached to the request email from the Remediation team.

The following checks must be carried out:

- Open the "Readme first" file and confirm that:
 - a) The ARQ number is correct,
 - b) The financial year for the ARQ is correct e.g., 2324 for financial year 23-24
 - c) The email address is correct. This must be the Fujitsu email address of the team member who processed and is sending the files to POL.
- Open the 'Events dd-dd Month YYYY' spreadsheet (e.g., Events 01-30 April 2023) and confirm that:
 - a) In the 'Summary' tab:
 - I. The correct FAD is shown (The 'Group' row),
 - II. The 'Filter Start Date' and 'Filter End Date' match the requested ARQ's date range,
 - III. There are no 'Gaps' in the data i.e., column D shows 'NONE' under 'Gaps' (see 6.1 below)
 - b) In 'Sheet1' tab:
 - I. The 'Filter Start Date' and 'Filter End Date' match the requested ARQ's date range.
- Open the Transactions spreadsheet ('dd-dd Month YYYY' e.g., 01-30 April 2023) and confirm that:
 - c) In the 'Summary' tab:
 - I. The correct FAD is shown (The 'Group' row),
 - II. The 'Filter Start Date' and 'Filter End Date' match the requested ARQ's date range,



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- III. There are no 'Gaps' in the data i.e., column D shows 'NONE' under 'Gaps' (see 6.1 below)
- d) In 'Sheet1' tab:
- I. The 'Filter Start Date' and 'Filter End Date' match the requested ARQ's date range.

If there are other query spreadsheets in addition to the above, the above checks must be carried out on those as well.

6.1 Gaps and Duplicates

Duplicates are reported for Hx/Hz message data, although they are known to be benign. This is a consequence of the harvesting software saving the messages twice i.e., duplicates for Hx/Hz message data are true duplicate entries and are hence just additional copies of the same entries. They are not entries that have been processed more than once, it is simply that the archive store has had multiple copies written to it and the ARQ will rightly extract them all.

NOTE: Although Hx duplicates are checked for, no known duplicates exist; only Hz message data duplicates have been discovered to date.

A gap in a message sequence may indicate that a message is missing from the audit data. If any Gaps are shown in the Summary tab (column D), the following steps are to be followed:

Re-run the Fast ARQ on the other database (IRE11(B)/IRE19(W)). Also run the ARQ using the Slow ARQ process (see section 9). Regardless of whether the returned data still has Gaps, seek assistance from Audit support by logging a PEAK and assigning to Audit-Dev. Await confirmation from Audit-Dev on which data can be sent to POL (revised process implemented Mar 2024).

IMPORTANT NOTE: If the investigation by Audit-Dev determines that there is a true Gap, then this must be made VERY clear to POL when the ARQ response is sent. It will be stated on the Summary tab already, but POL's attention must be drawn to the presence of Gaps in the covering correspondence sent to POL when they are notified that the ARQ response is ready. If any true Gaps are found and the response to POL included such a warning, then this MUST be added to the ARQ tracker for awareness by POA too. Fujitsu Legal and the POA DE MUST be notified of any ARQ request responses that contain true Gaps BEFORE the response is sent to POL so that it can be further reviewed prior to sending to POL.

Duplicates and Gaps MUST be recorded in the ARQ Tracker. Select YES/NO from the dropdown list in the relevant column in the tracker. If Gaps were found and a PEAK was raised for investigation, the PEAK reference number must also be recorded, together with any other comments.

NOTE: If the Post Office wish to view the duplicates, then FLWOR queries can be executed to identify them. A PEAK (PC0309288) was raised on 20/02/2024 to add JSN to IOPPANBarcodesHashed which will allow POL to immediately identify true duplicates.

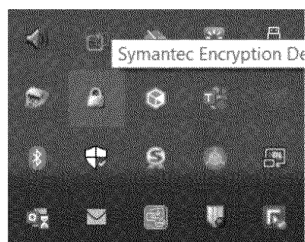
7 File Encryption for checking

The processed ARQ will now be encrypted ready for checking by another member of the SecOps team, before being sent to the relevant Post Office team. The encryption method is to create a self-extracting PGP zip file using the Symantec Encryption Desktop application.

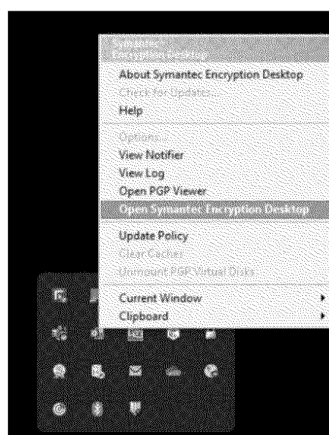
- From the taskbar, select 'Show hidden icons' and locate the padlock icon:



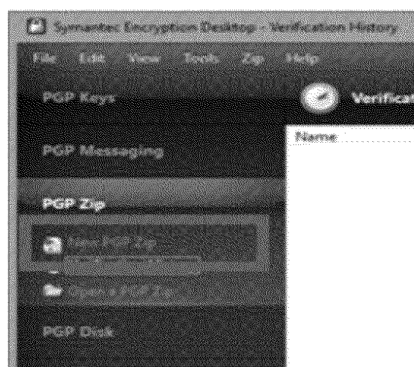
AUDIT EXTRACTION - LOCAL WORK INSTRUCTION
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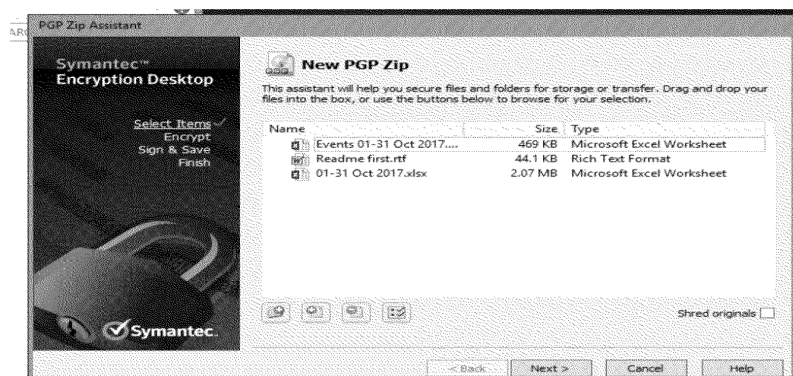
- Right click and select 'Open Symantec Encryption Desktop':



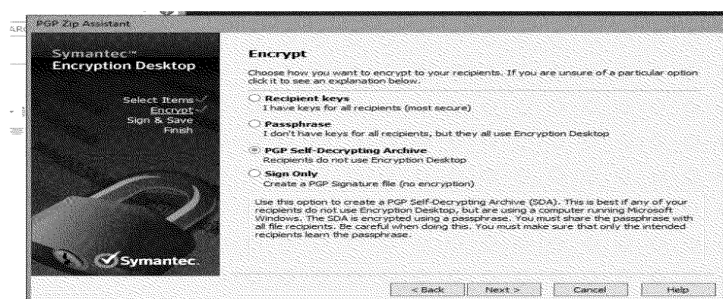
- Select 'PGP Zip' and 'New PGP Zip'



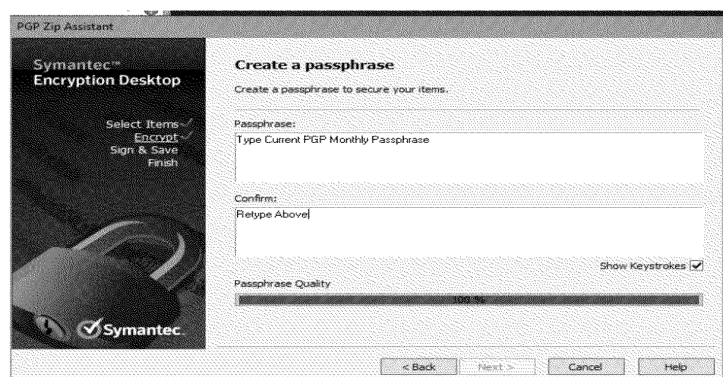
- Drag the folder for the processed ARQ containing the files into the New PGP Zip window and select 'Next':



- Select 'PGP Self-Decrypting Archive' and select 'Next':



- Enter the Passphrase (contact the ISM or OSM for the passphrase), confirm, and select 'Next':

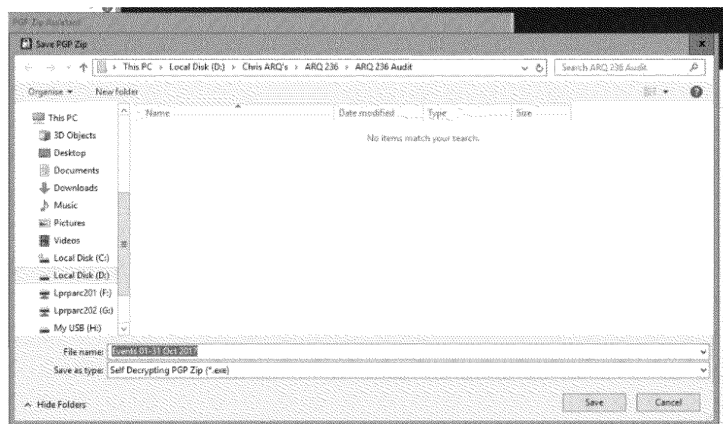


- On the next screen, browse to the ARQ folder (ARQxxx Audit created above), name the file as appropriate e.g., ARQ 001, and Save:

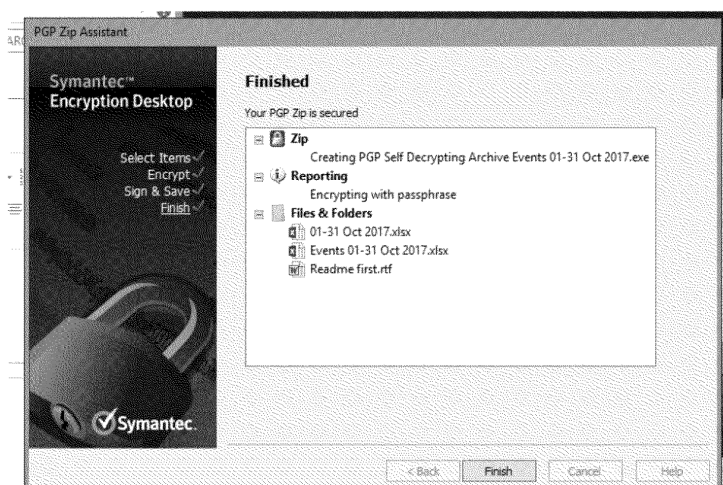


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- The file will be PGP encrypted and saved to the chosen location. Select 'Finish':



Copy the PGP encrypted ARQ data to your BitLocker encrypted USB, transfer it to your laptop, and copy it to the SecOps team member's folder on the Security Operations corporate drive who will be checking the ARQ data.

8 Checking

The retrieved ARQ data must be checked by another member of the SecOps team, prior to sending to Post Office, to confirm that the data matches the ARQ request, and that there are no "Gaps".

For ARQ requests received from Post Office Security, confirm the details in the ARQ Tracker match the details on the ARQ request form.

For ARQ requests received from the Remediation team, confirm the details in the ARQ Tracker match the details on the ARQ request form.

The following checks must be carried out:

- Open the "Readme first" file and confirm that:
 - d) The ARQ number is correct,
 - e) The financial year for the ARQ is correct e.g., 2324 for financial year 23-24

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- f) The email address is correct. This must be the Fujitsu email address of the team member who processed and is sending the files to POL.
- Open the 'Events dd-dd Month YYYY' spreadsheet (e.g., Events 01-30 April 2023) and confirm that:
 - e) In the 'Summary' tab:
 - IV. The correct FAD is shown (The 'Group' row),
 - V. The 'Filter Start Date' and 'Filter End Date' match the requested ARQ's date range,
 - VI. There are no 'Gaps' in the data i.e., column D shows 'NONE' under 'Gaps' (see 6.1 below)
 - f) In 'Sheet1' tab:
 - II. The 'Filter Start Date' and 'Filter End Date' match the requested ARQ's date range.
- Open the Transactions spreadsheet ('dd-dd Month YYYY' e.g., 01-30 April 2023) and confirm that:
 - g) In the 'Summary' tab:
 - IV. The correct FAD is shown (The 'Group' row),
 - V. The 'Filter Start Date' and 'Filter End Date' match the requested ARQ's date range,
 - VI. There are no 'Gaps' in the data i.e., column D shows 'NONE' under 'Gaps' (see 6.1 below)
 - h) In 'Sheet1' tab:
 - II. The 'Filter Start Date' and 'Filter End Date' match the requested ARQ's date range.

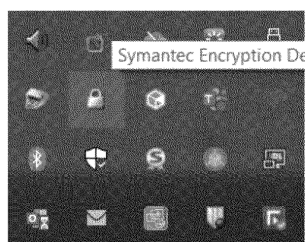
If there are other query spreadsheets in addition to the above, the above checks must be carried out on those as well.

Once the above checks have been performed (by another member of the SecOps team), and it has been confirmed that the extracted data is correct, the processed ARQ can be PGP encrypted using shared keys and sent to the relevant Post Office team via Quatrix. If any issues are found during checking, the ARQ must be returned to the originator to be processed again.

9 File Encryption for sending to Post Office

To PGP encrypt the processed ARQ for sending to the relevant Post Office team via Quatrix, follow the below steps.

- From the taskbar, select 'Show hidden icons' and locate the padlock icon:

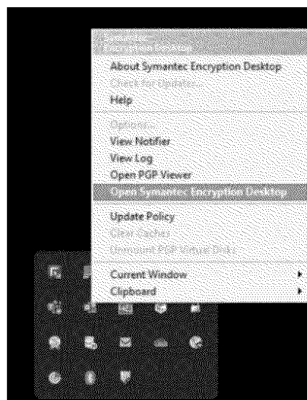


- Right click and select 'Open Symantec Encryption Desktop':

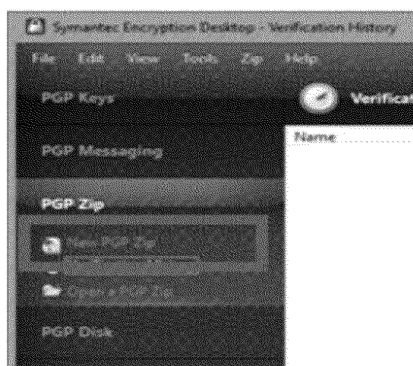


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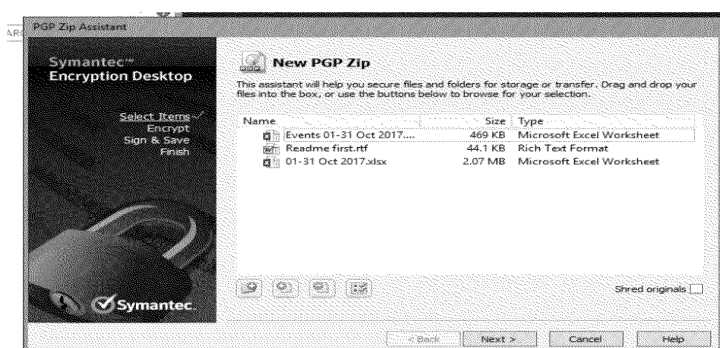
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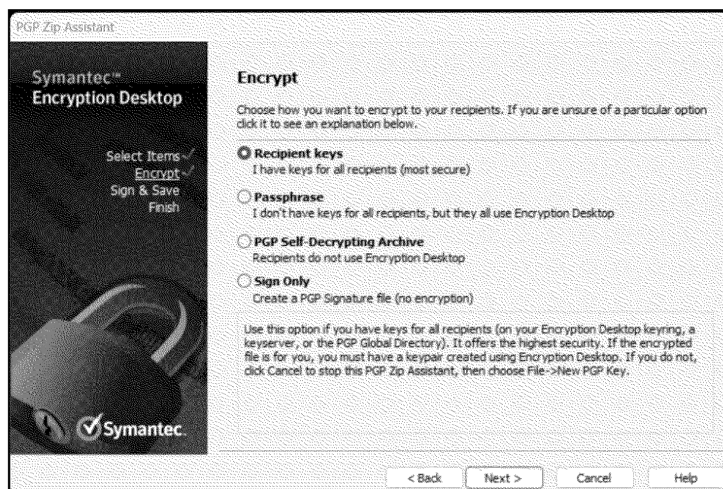
- Select 'PGP Zip' and 'New PGP Zip':



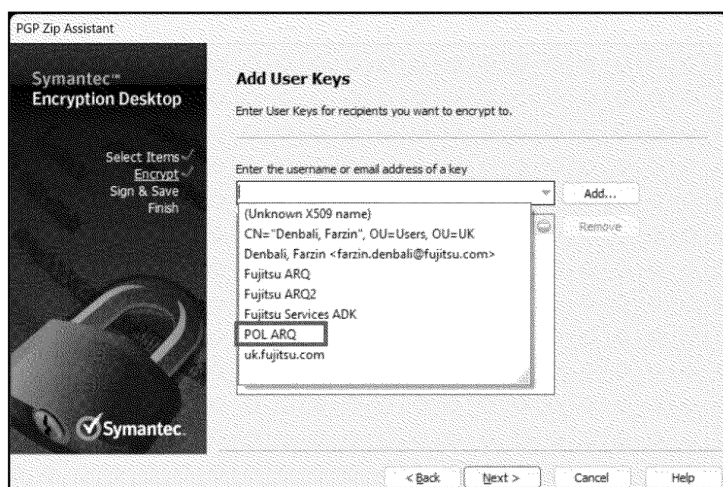
- Drag the folder for the processed ARQ containing the files into the New PGP Zip window and select 'Next':



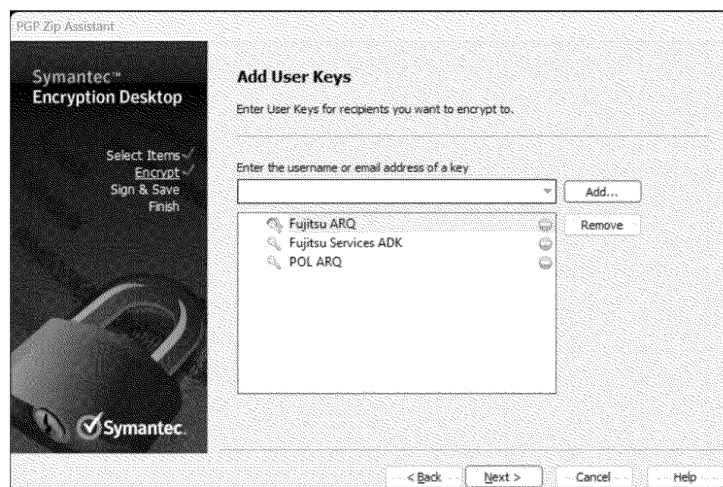
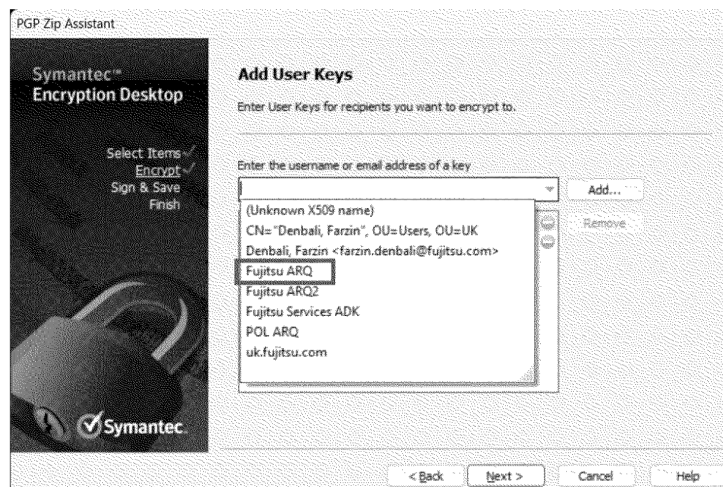
- Select 'Recipient keys' and select 'Next':



- Select 'POL ARQ' from the dropdown list and click on 'Add':



- Select 'Fujitsu ARQ' from the dropdown list and click on 'Add':



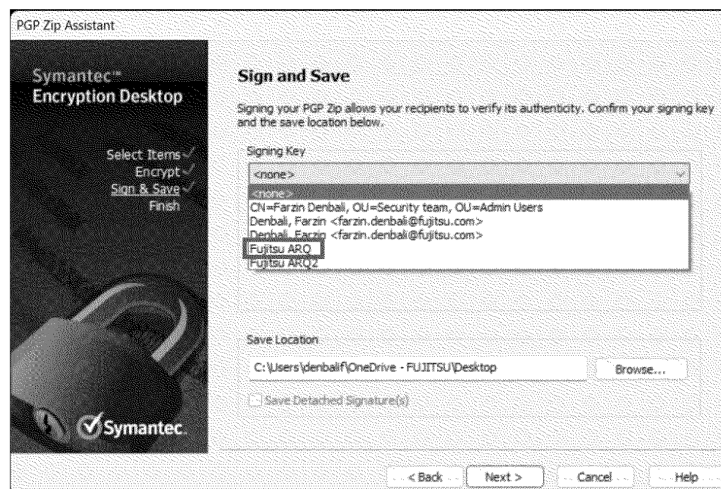
Encrypting the files with the Fujitsu key as well as POL key will allow us to decrypt the files we send to POL.

- Select 'Next' and select 'Fujitsu ARQ' from the dropdown list:



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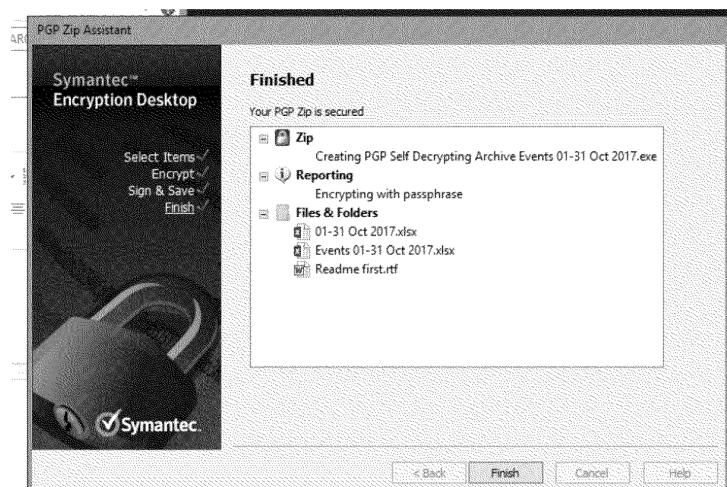
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- Enter the Passphrase for 'Fujitsu ARQ' key, browse to the ARQ folder (ARQxxx Audit created above), name the file as appropriate e.g., ARQ 001, and click 'Next':



- The file will be PGP encrypted and saved to the chosen location. Select 'Finish':

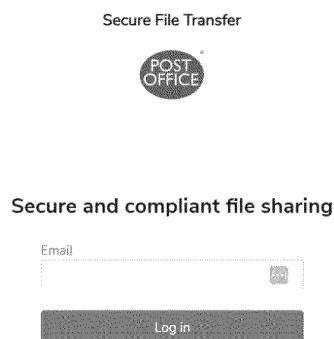


Copy the PGP encrypted ARQ data to your BitLocker encrypted USB and transfer it to your laptop.

10 Sending the PGP encrypted files to Post Office

Once the ARQ files have been PGP encrypted, they must be sent to the relevant Post Office team via Quatrix. This section describes the process for sending the encrypted files to Post Office.

- Access the Quatrix login page using the below link:
[Quatrix](#)
- Login using the Post Office provided shared account credentials
(contact the ISM or OSM for the login credentials)

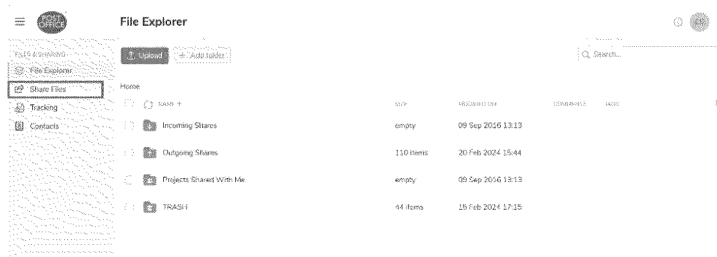


- Once logged in, click on the 'Share Files' link on the left of the screen:

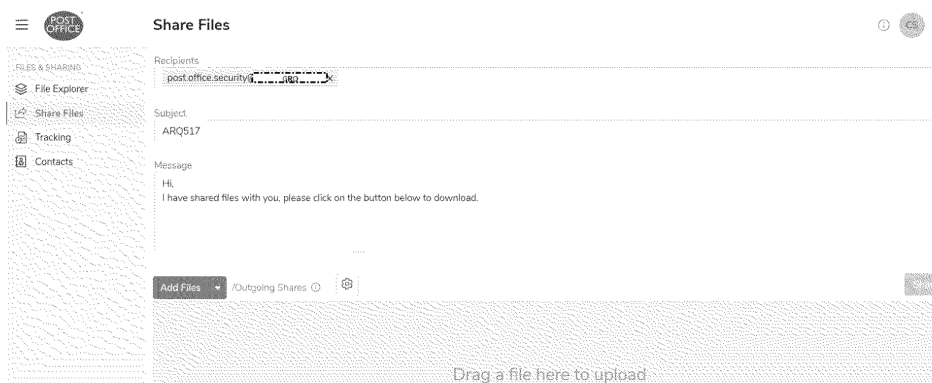


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- Enter the recipient's email address. This will be post.office.security@GRO or remediationteam@GRO (for HSS ARQs). Enter the ARQ number e.g., ARQ517 or HSS2738 as the 'Subject'. Click on 'Add Files' and navigate to the folder the PGP encrypted file was saved in (e.g., ARQ517 Audit). Alternatively, drag the file to the grey area on the screen:



- Once the recipient's email address and the Subject have been entered, and the file added, the 'Share' button on the right of the screen will be enabled. Click the 'Share' button to send the file to the recipient.

This should be followed by an email to the relevant Post Office team to inform them that the requested ARQ files have been sent. The following email templates are used:

- For Post Office Security GRO

Hi Steph,

ARQxxx has been sent via Quatrix.

This is protected by a private key.

Please confirm receipt of the above documents.

NOTE - If any Gaps are shown in the Summary tab, the following line must be added:

Please note the Summary tab indicates there are Gaps in the extracted data.

- For Remediation team GRO

Hi,



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ARQ HSSxxxx has been sent via Quatrix.

Please confirm receipt of the above documents.

This is protected by a private key. Please contact Steph Ball for the key passphrase.

If you require any further information, please let me know.

NOTE - If any Gaps are shown in the Summary tab, the following line must be added:

Please note the Summary tab indicates there are Gaps in the extracted data.

- For ARQs from Post Office Security GRO requesting Interface Interaction Logs only:

Hi Steph,

ARQxxx has been sent via Quatrix.

This is protected by a private key.

Please confirm receipt of the above documents.

Please note that the Interface Logs contain GDPR data (names and addresses).

Fujitsu has included Interface Interaction logs in this ARQ response. These are not "keystrokes" as this is not captured.

Fujitsu recommends in the strongest possible terms that the Post Office should not rely on Interface Interaction records it has received from Fujitsu in any investigation of potential fraud, theft, breach of contract or any other impropriety which is suspected to have occurred at relevant Post Office branches. Interface Interactions were created by and are used by Fujitsu for internal support purposes only and we would refer you to Simon Oldnall who has received a fuller explanation of the purpose of this content and its use.

Once the requested ARQ files have been sent to the relevant Post Office team, they have been informed by email (as above), and have acknowledged receipt of files, ensure that the ARQ Tracker ([ARQ Tracking 14-22.xlsx](#)) has been updated with the following details:

- POIA Ref
- Audit Workstation Used
- Processed By
- Checked By
- Date sent to POL
- Gaps (see section 6.1)
- PEAK reference (for Interface Interaction Logs)

A copy of the PGP file sent to Post Office must then be saved in the 'Encrypted ARQs sent to POL' folder in the Security Ops' network drive.

11 Closing the ARQ

Once an ARQ has been processed, checked, sent to the relevant Post Office team, and acknowledgement has been received, the ARQ must be closed to free space on the Archive server and the Audit Workstation.

An active ARQ may be closed in one of 5 ways:

1. Select 'Close ARQ' from the File menu.

When opened from the File menu, the Close ARQ form will be displayed with the 'Data Centre' frame at the top of the form:

Filename	Size	Status
----------	------	--------

This allows the selection of the data centre from which the ARQ is to be closed. Select the relevant data centre, select the 'Query Reference' e.g., ARQ517 or HSS2738, from the drop-down list and click 'Close Query'.

2. Click the 'Close ARQ' button in the toolbar.

When opened from the toolbar, the Close ARQ form will be displayed with the 'Data Centre' frame at the top of the form (see above). This allows the selection of the data centre from which the ARQ is to be closed. Select the relevant data centre, select the 'Query Reference' e.g., ARQ517 or HSS2738, from the drop-down list and click 'Close Query'.

3. Right click on the required data centre and select 'Close ARQ' from the drop-down menu.

When opened by right clicking a data centre, the 'Data Centre' frame is not shown in the form as the data centre will automatically be set to the one which was clicked. Select the 'Query Reference' e.g., ARQ517 or HSS2738, from the drop-down list and click 'Close Query'.

4. Right click on an ARQ in the Data Centres window and select Close from the drop-down menu.

When opened by right clicking an ARQ, the 'Data Centre' frame is not shown in the form as the data centre will automatically be set according to the data centre of the selected ARQ. In



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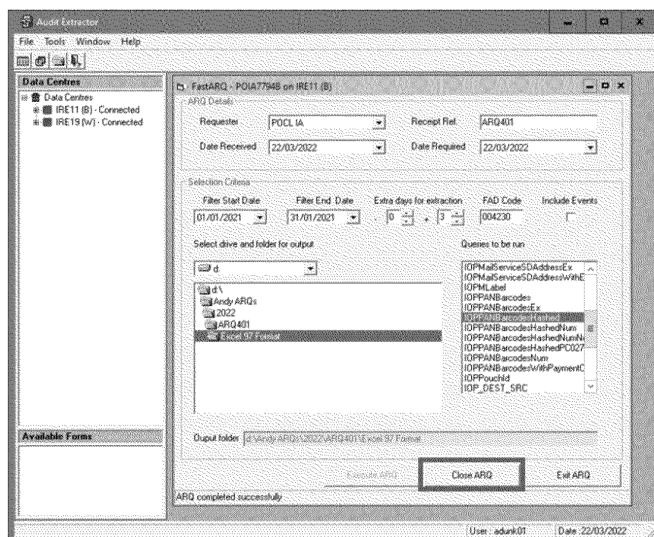
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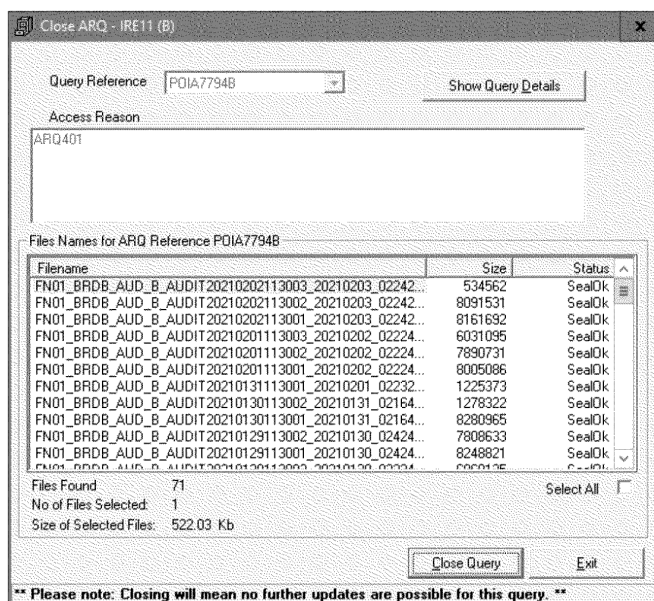
addition, the 'Query Reference' drop down list will be disabled and pre-populated with the selected query reference. Click 'Close Query'.

- Click the 'Close ARQ' button on a Fast ARQ form.

When opened by clicking the 'Close ARQ' button, the 'Data Centre' frame is not shown in the form as the data centre will automatically be set according to the data centre of the ARQ. In addition, the Query Reference drop down list will be disabled and pre-populated with the query reference of the ARQ.



- To close a Slow ARQ, right click on the ARQ in the Data Centres section on the left and select "Close ARQ".
- Confirm by clicking "Close Query":

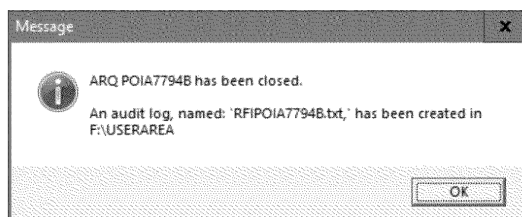


- Acknowledge the message by clicking "OK":

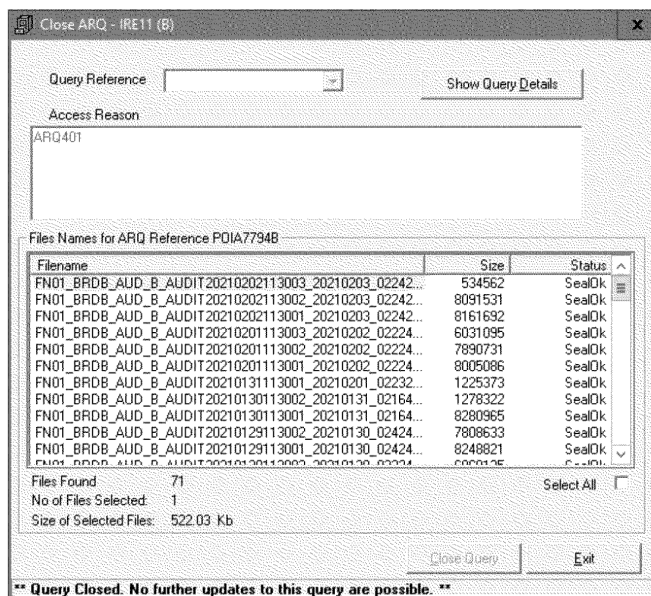


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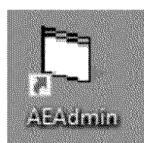
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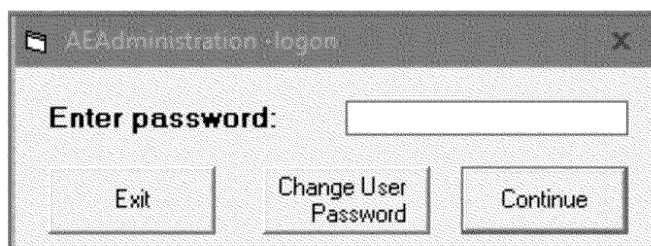
- When the Query has been closed click "Exit" to close the window.



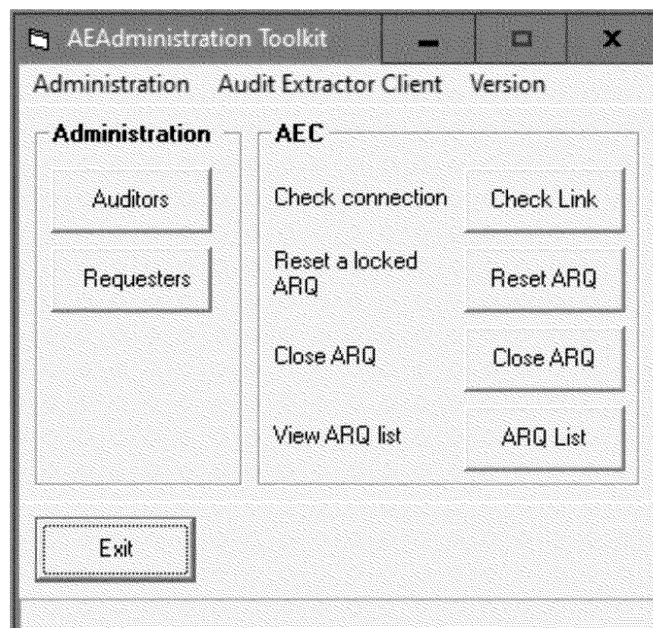
If an ARQ is locked (🔒) or requires attention (⚠️), it must be reset using the AEAdmin tool before it can be closed. To reset the ARQ, open the AEAdmin tool on the desktop.



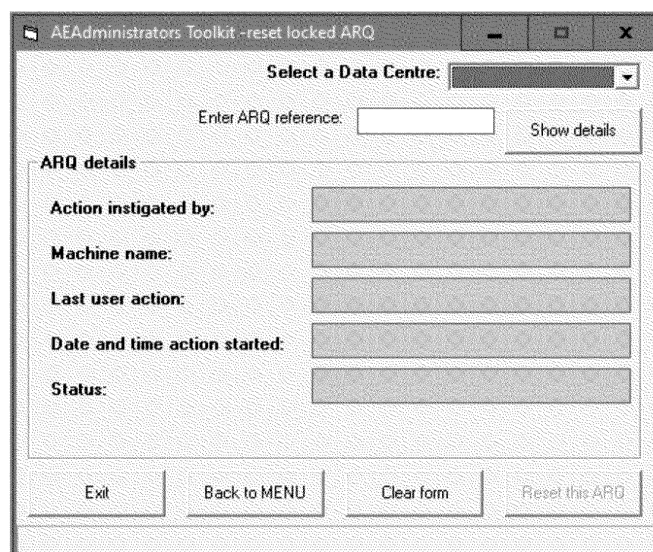
This will open the AEAdmin login screen:



Enter the password and click 'Continue' (contact the ISM or OSM for the login credentials):



Select 'Reset ARQ':



Select the relevant data centre from the drop-down list, enter the ARQ reference' e.g., ARQ517 or HSS2738, click 'Show details', and select 'Reset this ARQ'. This will reset the ARQ, and the status will change to 'Normal' (U) in the AECClient window. The ARQ can then be closed as described above.

Once the ARQ has been closed, the relevant folder (D:[Your Folder]/ARQxxx) can be deleted. Note - Ensure a copy of the PGP file sent to Post Office is saved in the 'Encrypted ARQs sent to POL' folder in the Security Ops' network drive, before the ARQ folder is deleted.

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12 Raising a PEAK for SSC to provide the Interface Interaction Logs

If an ARQ request for 'Interface Interaction Logs' is received from Post Office Security, a PEAK must be raised for the SSC team to provide the requested logs. Before raising the PEAK, save the ARQ request form attached to the ARQ request email received from the Post Office Security team. Compose an email and enter the following:

Recipient: new **GRO**

Subject: [ARQ number] [Branch name] [FAD] Request for Interface Logs
e.g., ARQ 513 Swaffham 052131 Request for Interface Logs

Body: Hi SCC,
Please can you provide the interface logs for the attached ARQ request.
Regards,

Attach the ARQ request form saved earlier. Before sending the email, ensure your email signature is just your name and contact details. Remove all other icons and links to simplify what gets sent to Peak. Sending the email will generate a PEAK assigned to SSC and you will receive an automated email from PEAK with the PEAK reference number. This must be entered in the 'PEAK Ref' field in the ARQ Tracker.

Fujitsu has explained to POL what the Interface Interaction logs are. This is important to note:

The feature to capture interface interactions within the POC log ("Interface Interactions") was created by Fujitsu for the sole purpose of helping its internal support teams. The Interface Interactions only contain the interactions that the Fujitsu development team chose to include in such diagnostic logs for internal support purposes. The logging does not include all clerk interactions and the diagnostic log content was not designed to be shared with the Post Office. The diagnostic log content is embedded within the POC log which contains log content from many other parts of the CBA and it needs to be carefully extracted from the overall content within the POC log. The POC log is only held on the local counter for a finite period of time in a flat text file that is not subject to any encryption or tamper controls. It is not backed up to Fujitsu's knowledge, and is also lost if a counter is replaced by Computacenter. The content of the Interface Interactions has not been tested to validate that it always captures all interactions as it is not a required functional part of the Horizon CBA. It is simply diagnostic log content to help Fujitsu support staff.

The Interface Interactions are therefore a manifestly inadequate formal record of the interactions a clerk may have at a counter in Post Office branches.

Furthermore, the responses sent to POL which contain Interface Interaction logs must include the following text as mentioned above:

Fujitsu has included Interface Interaction logs in this ARQ response. These are not "keystrokes" as this is not captured.

Fujitsu recommends in the strongest possible terms that the Post Office should not rely on Interface Interaction records it has received from Fujitsu in any investigation of potential fraud, theft, breach of contract or any other impropriety which is suspected to have occurred at relevant Post Office branches. Interface Interactions were created by and are used by Fujitsu for internal support purposes only and we would refer you to Simon Oldnall who has received a fuller explanation of the purpose of this content and its use.

13 Gathering HSD logs

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Access the HSD database using the following link:

[TFS Branch Search \(fujitsu.com\)](https://fujitsu.com)

Enter the Branch code (FAD) in the 'Branch Search' field.
Enter the 'Start Date'. This must be the start date of the requested date range.
Enter the 'End Date'. This must be the start date of the requested date range.

'Start Date' and 'End Date' must be the start and end date of the month for the relevant ARQ. If an ARQ request is for multiple ARQs covering several months, they must be processed one ARQ at a time i.e., one ARQ for one month.

Once the above details have been entered, click on 'Branch Search'.

- If there are no HSD calls for the specified period, a blank screen will be returned:

- If there are HSD calls for the specified period, they will be displayed on the screen:

Database	Reference	Open Date	Close Date	Category	Priority	Classification	Description	Related Ticket Type	Related Ticket Ref
Hera-RMGA-Inc	21538	2007-12-07	2007-12-07	None			pm states both ink lights are on		
Hera-RMGA-Inc	76941	2007-12-13	2007-12-13	None			pm states on node 1 screen is frozen while doing parcels		
Hera-RMGA-Inc	29251	2007-12-17	2007-12-17	None			PM states that she has a screen freeze whilst printing a receipt		
Hera-RMGA-Inc	82222	2007-12-20	2007-12-20	None			pm states that screen has frozen on printing receipt		

Matches: 4
Export TFS tickets to Zip

- Save the HSD calls by clicking on 'Export TFS tickets to Zip':

Database	Reference	Open Date	Close Date	Category	Priority	Classification	Description	Related Ticket Type	Related Ticket Ref
Hera-RMGA-Inc	21538	2007-12-07	2007-12-07	None			pm states both ink lights are on		
Hera-RMGA-Inc	76941	2007-12-13	2007-12-13	None			pm states on node 1 screen is frozen while doing parcels		
Hera-RMGA-Inc	29251	2007-12-17	2007-12-17	None			PM states that she has a screen freeze whilst printing a receipt		
Hera-RMGA-Inc	82222	2007-12-20	2007-12-20	None			pm states that screen has frozen on printing receipt		

Matches: 4
Export TFS tickets to Zip

- The file will be saved to the Downloads folder and will contain the HSD calls in html format:



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Name	Type	Compressed size
71538.html	Microsoft Edge HTML Do...	1 KB
76941.html	Microsoft Edge HTML Do...	2 KB
79251.html	Microsoft Edge HTML Do...	1 KB
82727.html	Microsoft Edge HTML Do...	1 KB

- Each file can then be saved to the relevant ARQ folder.

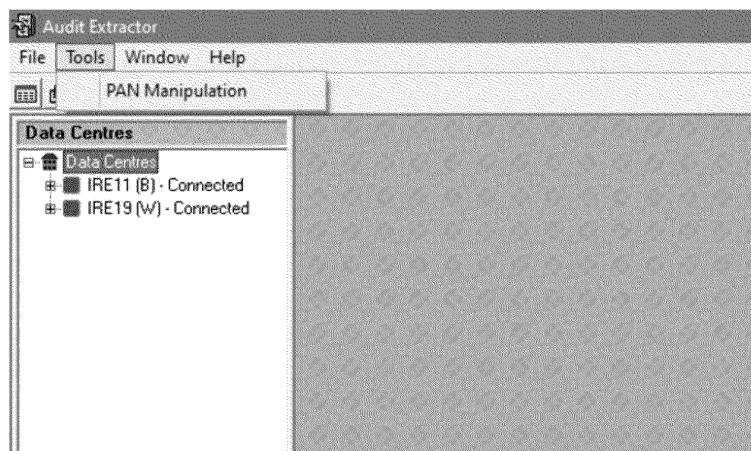
HSD calls after June 2018, must be obtained from TfS. Search for incidents by searching for the branch code:

14 PAN Decryption

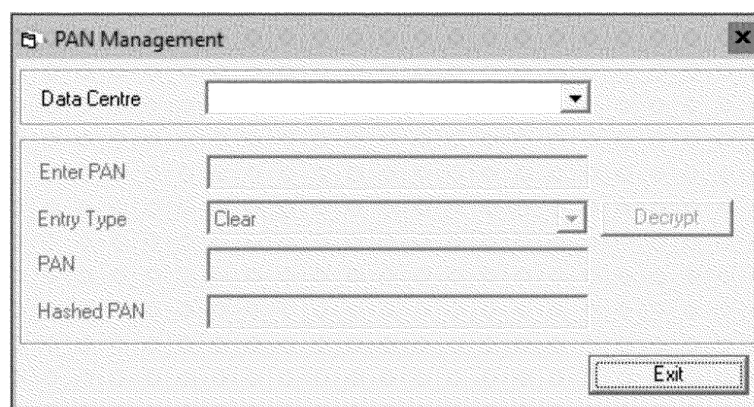
As previously stated, the IOPPANBarcodesHashed query only provides the hashed PAN. If a full PAN is requested, the 'IOPPANBarcodes' query, which provides the encrypted PAN, must also be run. The PAN Management dialogue screen can then be used to decrypt the encrypted PAN.
NOTE - The hashed and encrypted PANs are only available for transactions in a branch before that branch migrated to PBS. Post-PBS, only the 'truncatedPAN' is provided by the IOPPANBarcodesHashed query. The tokenized PAN, which POL would require to obtain the full PAN, can be provided by running the PBSDetails query.

To obtain the decrypted PAN:

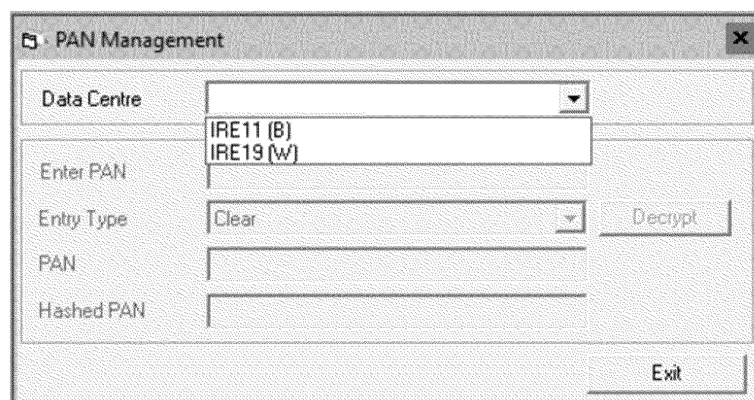
- Select 'Tools' and select 'PAN Manipulation':



- The PAN Management dialogue screen will be displayed:



- Select the relevant Data Centre:



- Select 'Encrypted' from the 'Entry Type' drop-down list:



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- Enter the Encrypted PAN (from the 'IOPPANBarcodes' query) in the 'Enter PAN' field and click 'Decrypt'. The 'PAN' and 'Hashed PAN' fields will be populated. The 'PAN' field will show the full decrypted PAN. The entry in the 'Hashed PAN' field must match the 'Hashed PAN' in the 'IOPPANBarcodes' query. Save the decrypted PAN in a text file named "Decrypted PAN" and provide the file alongside other ARQ data. The Transactions file (output from IOPPANBarcodesHashed) MUST NOT be edited to include the decrypted PAN.

NOTE - A PEAK (PC0309286) was raised on 20/02/2024 to generate a file containing the decrypted PAN. Once the solution has been provided, this file must be supplied as a separate file containing the decrypted PAN i.e., the Excel file (output from IOPPANBarcodesHashed) must not be edited to show the decrypted PAN. This document will be updated once the solution is in place.