

**POST OFFICE LIMITED**

**COMPLIANCE FRAMEWORK**



**INDEX**

1.           [HYPERLINK \l "P1"]  
          [HYPERLINK \l "P1"]
  
2.           [HYPERLINK \l "P4"]                               [HYPERLINK \l "P4"]
  
- 3a.                       [ HYPERLINK \l "P5" ]                       [  
HYPERLINK \l "P5" ]
  
- 3b.           [ HYPERLINK \l "P6" ]                               [  
HYPERLINK \l "P6" ]
  
- 3c.           [ HYPERLINK \l "P7" ]           [HYPERLINK \l  
"P7"]
  
- 3d.           [ HYPERLINK \l "P8" ]                               [  
HYPERLINK \l "P8" ]
  
4.           [ HYPERLINK \l "P9" ]  
          [HYPERLINK \l "P9"]
  
5.           [ HYPERLINK \l "P10" ]                               [ HYPERLINK  
\l "P10" ]
  
6.           [HYPERLINK \l "P11"]  
          [ HYPERLINK \l "P11" ]
  
  
- APPENDIX [ HYPERLINK \l "P12" ]                               [  
HYPERLINK \l "P12" ]

## 1. Introduction

[HYPERLINK \l "P3"]

Compliance with Post Office Limited's legislative and regulatory obligations is vital and something that everyone must do wherever they work in this Business. In an environment of greater transparency, mobilised customer scrutiny and

increasingly proactive regulators, any failure to comply with our legal and regulatory requirements could have a significant impact, both in terms of financial implications and reputational damage.

The Post Office is enormously proud of the trust our customers have in our brand and in order to retain that trust, we must adhere to robust policies and procedures that demonstrate our commitment to fulfill the following obligations:

- Conduct its business with integrity
- Operate with due skill, care and diligence
- Observe proper standards
- Be transparent in all business dealings
- Treat our customers fairly
- Provide adequate protection to customers
- Deal with all regulators in an open and honest way

It is therefore important that we all understand the implications of these legislative and regulatory obligations as we go about our day-to-day work. Everybody has a duty to comply with these as they apply to their job or area of responsibility.

This document has been designed as a source of reference for all the areas of legislation and regulation that Post Office Limited is governed by, especially those relating to our higher profile regulators such as Ofcom, Postcomm, Financial Services Authority (FSA) and Her Majesty's Revenue & Customs (HMRC). The primary purpose of this document is to clearly state the allocation of ownership between Post Office Limited's directors and each of the regulatory and legislative obligations that Post Office Limited is subject to.

For further information on any of the sections in this document, or on how we manage compliance within the Post Office, please contact Keith Woollard in the first instance on

GRO or GRO.



Alan Cook  
Managing Director

## **2. Compliance Framework Controls & Responsibilities** [\[HYPERLINK \1 "P3"\]](#)

The Compliance Framework lays out all areas of the Post Office's legislative and regulatory responsibilities.

It is important that each identified owner is aware of their responsibilities for ensuring appropriate controls are in place (as detailed below), to ensure that compliance with Post Office's legislative and regulatory requirements is possible:-

### **Integrity and ethics**

- Post Office brand is not compromised including the People's Post Office advertising campaign
- Fairer, Easier, Better principles are fully deployed and supported throughout Post Office

### **Management philosophy and attitude:**

- Monitoring systems are in place to assess compliance and remedial actions are taken where necessary
- Legal Services are used for advice on non-compliance
- Implications of new or emerging legislation and regulation are identified, evaluated and responded to in a timely manner.

### **Organisational structure:**

- All relevant managers and non-managers are kept informed of changes to compliance requirements

### **Authority and responsibility:**

- Legal Services are fully consulted in the development of new products, business processes and projects
- Business change process is fully utilised as a tool to drive and manage compliance
- Suppliers and clients understand their role in meeting legislative and regulatory requirements.

### **HR and competence of personnel:**

- Employees understand their role in meeting legislative and regulatory requirements
- There is sufficient resource to manage and monitor compliance requirements.

### **Operating policies and procedures:**

- Operating procedures are designed to meet the requirements of legislation and regulation together with the appropriate Post Office Ltd or Group policies
- Supporting policies in place (Royal Mail Group & Post Office Ltd) are accessible, communicated and applied across all areas of the Business.



### 3a. Map of Accountabilities - How we sell products & services (by Director)

[HYPERLINK \l "P3"]

ET Responsibility	Regulator	Legislative / Regulatory Area	Sub Area (if applicable)	Supporting statutes / regulations	RM Group Policy	Post Office Limited Policy
Peter Corbett Finance Director	[ HYPERLINK "http://www.ofcom.org.uk/" ]  [ HYPERLINK "http://www.hmrc.gov.uk/mlr/" ]  [ HYPERLINK "http://www.fsa.gov.uk/" ]	Product Sales		Financial Services & Markets Act Proceeds of Crime Act Consumer Credit Act VAT Act Communications Act	R1 Regulation F22 Taxation S2 Criminal Investigation & Prosecution Policy	Money Laundering Policy
Paula Vennells Network Director	[ HYPERLINK "http://www.postcomm.gov.uk/" ]	[ HYPERLINK "ftp://ftp.royalmail.com/Downloads/public/ctf/rmg/Royal_Mail_Licence_25_May_2006.pdf" ]	Relating to Mails Integrity	[ HYPERLINK "ftp://ftp.royalmail.com/Downloads/public/ctf/rmg/Royal_Mail_Licence_25_May_2006.pdf" ] Mails Integrity - Postcomm Postal Services Act	G19 Management of the relationship with Postcomm [ HYPERLINK "http://iplatform-sp.intranet.point/sites/Compliance-library/Published Documents/Shared Documents/4447_RM_Comp_bk_A5_6.pdf" ] [ HYPERLINK "http://www.royalmailgroup.com/portal/rmg/jump1?catId=23200529&mediaId=23200532" ]	[ HYPERLINK "http://iplatform.intranet.point/rmg/policies/Information/Policy+and+Guidelines/Mails+Integrity+Policy+Documents.htm" ]

			Relating to protection of 3 <sup>rd</sup> party interests	[ HYPERLINK "ftp://ftp.royalmail.com/Downloads/public/ctf/rmg/Royal_Mail_Licence_25_May__2006.pdf" ]	[HYPERLINK "http://iplatform.intranet.point/rmg/Services/Compliance/Condition+10/"]  [ HYPERLINK "http://iplatform.intranet.point/rmg/Services/Compliance/" ]	
	[ HYPERLINK "http://www.competition-commission.org.uk/" ]	Competition	Promotion of Competition	Enterprise Act (Subpostmaster Relationships)	[ HYPERLINK "http://iplatform.intranet.point/rmg/Services/Compliance/" ]	[ HYPERLINK "http://iplatform.intranet.point/rmg/pol/Information/Policyelines+and+Guidelines+Restrictions+Policy.htm" ]
Gary Hockey Morley Marketing Director	[ HYPERLINK "http://www.postcomm.gov.uk/" ]	[ HYPERLINK "ftp://ftp.royalmail.com/Downloads/public/ctf/rmg/Royal_Mail_Licence_25_May__2006.pdf" ]	Relating to Access	[ HYPERLINK "ftp://ftp.royalmail.com/Downloads/public/ctf/rmg/Royal_Mail_Licence_25_May__2006.pdf" ]	[ HYPERLINK "http://iplatform.intranet.point/rmg/Services/Compliance/Policies/" ]	
	[ HYPERLINK "http://www.competition-commission.org.uk/" ]	Competition	Promotion of Competition	Competition Act / Law (Post Office Limited Products)	G2 Benchmarking & Exchanging information with outside organisations G4 Competition Law Compliance	
		Intellectual Property		Copyrights & Related Rights Databases Act Trademarks Act	IP1 Intellectual Property G29 Observing copyright when using external sources of information	

ET Responsibility	Regulator	Legislative / Regulatory Area	Sub Area (if applicable)	Supporting statutes / regulations	RM Group Policy	Post Office Limited Policy
Gary Hockey Morley Marketing Director	[ HYPERLINK "http://www.tradingstandards.gov.uk/" ]  [ HYPERLINK "http://www.oft.gov.uk/" ]	Product Sales	Fairness in Trading	Unfair Contract Terms Act (client and customer contracts) Unfair Terms in Consumer Contract Regulations Disability Discrimination Act (products) Sale and Supply of Goods Act Supply of Goods (implied terms) Act Trade Description Act Consumer Protection Act Control of Misleading Advertisements Act	G4 Competition Law Compliance (including G4a & G4b) G5 Conflicts of Interest G16 Insider Dealing G18 Mergers & Associations G21 Corporate Governance of Subsidiary, Associate & Joint Venture Companies (including G21a & G21b) G23 Creation of new subsidiaries & Joint Venture Companies  [ HYPERLINK "http://iplatform.intranet.point/rmg/Services/Compliance/Cartel+News+Story.htm" ]	

**3b. Map of Accountabilities – How we operate (by Director)**

[HYPERLINK \l "P3"]

ET Responsibility	Regulator	Legislative / Regulatory Area	Sub Area (if applicable)	Supporting statutes / regulations	RM Group Policy	Post Office Limited Policy
Debbie Moore HR Director		Data & Information		[ HYPERLINK "http://iplatform.intranet.point/rmg/pol/Information/Policies+and+Guidelines/Freedom+of+Information+Act.htm" ] Document Retention Act Computer Misuse Act Official Secrets Act Welsh Language Act Public Interest Disclosure Act	G30 Freedom of Information G6 Document Retention (including G6a & G6b) G12 Welsh Language P6 Use of Information & Information Systems G7 Employee Disclosure (Whistleblowing)	[ HYPERLINK "http://iplatform.intranet.point/rmg/Services/HR+Help/Post+Office+Ltd/Policy/Employee_Disclosure_Policy.htm" ] [ HYPERLINK "http://iplatform.intranet.point/rmg/pol/Information/Policies+and+Guidelines/Welsh+Languages+Guidelines.htm" ]

	[ HYPERLINK "http://ww w.hse.gov. uk/index.h tm" ]	Health & Safety	Procedural aspects	Health & Safety at Work Act Employers Liability Act Offices, shops & Premises Act RIDDOR regulations Occupiers Liability Act H&S Information for Employees regulations Working Time Directive Six Pack Regulations <ul style="list-style-type: none"> <li>Management of H&amp;S at work</li> <li>Display Screen Equipment</li> <li>Provision &amp; use of work related equipment</li> <li>Workplace health, safety &amp; welfare</li> <li>Personal protective equipment at work</li> <li>Manual handling</li> </ul>	P4 Health & Safety	[ HYPERLINK "https://ww w.postoffic eintranet.c o.uk/teams/ usemanual.a sp" ]  [ HYPERLINK "http://ipl atform.intr anet.point/ rmg/pol/Inf ormation/Po licies+and+ Guidelines/ Hostage+Pol icy.htm" ]
			Premises aspects	Fire Precautions Act H&S First Aid regulations Electricity at Work regulations Control of Substances hazardous to health regulations Control of Asbestos at work regulations Health Act 2006 Disability Discrimination Act (access to premises) Noise at Work regulations	P4 Health & Safety F8 Fire Safety G14 Disabled Customers	[ HYPERLINK "https://ww w.postoffic eintranet.c o.uk/teams/ usemanual.a sp" ]  [ HYPERLINK "http://ipl atform.intr anet.point/ rmg/pol/Inf ormation/Po licies+and+ Guidelines/ Suspect+pac kages+intro .htm" ]

ET Responsibility	Regulator	Legislative / Regulatory Area	Sub Area (if applicable)	Supporting statutes / regulations	RM Group Policy	Post Office Limited Policy
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Debbie Moore HR Director		Employment	Terms & Conditions	Unfair Contract Terms Act (employment contracts) Fixed Term Workers Directive Employment Act	G3 Code of Business Standards	[ HYPERLINK "http://ipl atform.intr anet.point/ rmg/Service s/HR+Help/P ost+Office+ Ltd/Policy/ Recruitment _Policy.htm " ] [ HYPERLINK "http://ipl atform.intr anet.point/ rmg/Service s/HR+Help/P ost+Office+ Ltd/Policy/ Flexible_Wo rking_Polic y.htm" ]
			Relations	Employment Relations Act Trade Union & Labour Relations Act TUPE Regulations		[ HYPERLINK "http://ipl atform.intr anet.point/ rmg/Service s/HR+Help/P ost+Office+ Ltd/Industr ial_Relatio ns.htm" ]

			Discrimination	<p>Equality Act</p> <p>Race Relations Act</p> <p>[ HYPERLINK "http://iplatform.intranet.point/rmg/pol/Information/Policies+and+Guidelines/Disability+Discrimination+Act.htm" ]</p> <p>Human Rights Act</p> <p>Protection from Harassment Act</p> <p>Sex Discrimination Act</p> <p>Equal Pay Act</p> <p>Employment Equality (Age) Regulations</p> <p>National Minimum Wage Act 1998 (National Minimum Wage Regulations 1999)</p>	P5 Equal Opportunities - Diversity & Inclusion Valuing Diversity Policy v1.1	[ HYPERLINK "http://iplatform.intranet.point/rmg/Services/HR+Help/Post+Office+Ltd/Policy/Harassment_and_Bullying_Policy.htm" ]
Gary Hockey Morley Marketing Director		Data & Information	Client Contracts	Public Records Act	CS9 Acceptable Partnerships with Trusted Third Parties	
Mike Young Operations Director		Data & Information	Purchasing Contracts	Public Records Act	F6 Liability in Purchasing Contracts	
		Data & Information		Information Security	<p>S1 Information Security</p> <p>S10 Clear Desk Policy</p> <p>S16 Third Party Access Policy</p> <p>T3 Royal Mail Anti Virus</p>	<p>[ HYPERLINK "http://iplatform.intranet.point/rmg/pol/Information/Policies+and+Guidelines/Clear+Desk+policy.htm" ]</p> <p>[ HYPERLINK "http://iplatform.intranet.point/rmg/pol/Information/Policies+and+Guidelines/Information+Security+Policy.htm" ]</p>



		Employment		Private Security Act		
		Procurement		Public Procurement Regulations Unfair Contract Terms Act (re: procurement contracts) VAT Act (purchasing) Sale & Supply of Goods Act (re: purchasing) Public Records Act (re: purchasing)	F1 Authority to Requisition, Procure & Pay F2 Procurement Policy [ HYPERLINK "http://iplatform.in tranet.point/rmg/Ser vices/How2Buy/3Buy" ]	
<b>ET Responsibility</b>	<b>Regulator</b>	<b>Legislative / Regulatory Area</b>	<b>Sub Area (if applicable)</b>	<b>Supporting statutes / regulations</b>	<b>RM Group Policy</b>	<b>Post Office Limited Policy</b>
David Glynn Sales Director		Data & Information	Sales & Direct Channels	Data Protection Act	G13 Data Protection Act T15 Intranet Exploitation	[ HYPERLINK "http://ipl atform.intr anet.point/ rmg/Service s/HR+Help/P ost+Office+ Ltd/Policy/ Data_Protec tion_Act.ht m" ]
Royal Mail Company Secretary's Office		Other		Highways Act Environment Protection Act	G17 Royal Mail Environmental Policy [ HYPERLINK "http://iplatform.in tranet.point/rmg/Ser vices/CSR+Environmen t/CSR+Environment.ht m" ]	
			Property related legislation (Managed at Group Level)	Town & Country Planning Act Property Act Land Registration Act Landlord & Tenants Act Occupiers Liability Act		
			Vehicle related legislation (Managed at Group Level)	Road Safety Act Goods Vehicle (licensing of operators) Act		



			Managed at Group Level	Pensions Act Occupational Pensions Regulations Companies Act Income & Corporation Taxes Act Employers Liability (compulsory insurance) Act	F21 Pensions Policy (Finance)	
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**3c. Map of Accountabilities - How we sell products & services (by legislative & regulatory area)** [HYPERLINK \1 "P3"]

Legislative / Regulatory Area	Regulator	Responsibility	Sub Area (if applicable)	Supporting statutes / regulations	RM Group Policy	Post Office Limited Policy
Product Sales	[ HYPERLINK "http://www.ofcom.org.uk/" ]  [ HYPERLINK	Peter Corbett Finance Director		Financial Services & Markets Act Proceeds of Crime Act Consumer Credit Act VAT Act Communications Act	R1 Regulation F22 Taxation S2 Criminal Investigation & Prosecution Policy	Money Laundering Policy

	<a href="http://www.hmrc.gov.uk/mlr/">"http://www.hmrc.gov.uk/mlr/"</a> ]  [ HYPERLINK <a href="http://www.fsa.gov.uk/">"http://www.fsa.gov.uk/"</a> ]  [ HYPERLINK <a href="http://www.tradingstandards.gov.uk/">"http://www.tradingstandards.gov.uk/"</a> ]  [ HYPERLINK <a href="http://www.offt.gov.uk/">"http://www.offt.gov.uk/"</a> ]	Gary Hockey Morley Marketing Director	Fairness in Trading	Unfair Contract Terms Act (client and customer contracts) Unfair Terms in Consumer Contract Regulations Disability Discrimination Act (products) Sale and Supply of Goods Act Supply of Goods (implied terms) Act Trade Description Act Consumer Protection Act Control of Misleading Advertisements Act	G4 Competition Law Compliance (including G4a & G4b) G5 Conflicts of Interest G16 Insider Dealing G18 Mergers & Associations G21 Corporate Governance of Subsidiary, Associate & Joint Venture Companies (including G21a & G21b) G23 Creation of new subsidiaries & Joint Venture Companies  [ HYPERLINK <a href="http://iplatform.intranet.point/rmg/Services/Compliance/Car tel+News+Story.htm">"http://iplatform.intranet.point/rmg/Services/Compliance/Car tel+News+Story.htm"</a> ]	
Competition	[ HYPERLINK <a href="http://www.competition-commission.org.uk/">"http://www.competition-commission.org.uk/"</a> ]	Paula Vennells Network Director	Promotion of Competition	Enterprise Act (Subpostmaster Relationships)	[ HYPERLINK <a href="http://iplatform.intranet.point/rmg/Services/Compliance/">"http://iplatform.intranet.point/rmg/Services/Compliance/"</a> ]	[ HYPERLINK <a href="http://iplatform.intranet.point/rmg/pol/Information/Policies+and+Guidelines/Restrictions+Policy.htm">"http://iplatform.intranet.point/rmg/pol/Information/Policies+and+Guidelines/Restrictions+Policy.htm"</a> ]
		Gary Hockey Morley Marketing Director		Competition Act / Law (Post Office Limited Products)	G2 Benchmarking & Exchanging information with outside organisations G4 Competition Law Compliance	

Intellectual Property		Gary Hockey Morley Marketing Director		Copyrights & Related Rights Databases Act Trademarks Act	IP1 Intellectual Property G29 Observing copyright when using external sources of information	
Legislative / Regulatory Area	Regulator	Responsibility	Sub Area (if applicable)	Supporting statutes / regulations	RM Group Policy	Post Office Limited Policy
[ HYPERLINK "ftp://ftp.royalmail.com/Downloads/public/ctf/rmg/Royal_Mail_Licence_25_May__2006.pdf" ]	[ HYPERLINK "http://www.postcomm.gov.uk/" ]	Paula Vennells Network Director	Relating to Mails Integrity	[ HYPERLINK "ftp://ftp.royalmail.com/Downloads/public/ctf/rmg/Royal_Mail_Licence_25_May__2006.pdf" ] Mails Integrity - Postcomm Postal Services Act	G19 Management of the relationship with Postcomm [ HYPERLINK "http://iplatform-sp.intranet.point/sites/Compliance-library/Published Documents/Shared Documents/4447_RM_Comp_bk_A5_6.pdf" ] [ HYPERLINK "http://www.royalmailgroup.com/portal/rmg/jump1?catId=23200529&mediaId=23200532" ]	[ HYPERLINK "http://iplatform.intranet.point/rmg/pol/Information/Policies+and+Guidelines/Mails+Integrity+Policy+Documents.htm" ]
			Relating to protection of 3 <sup>rd</sup> party interests	[ HYPERLINK "ftp://ftp.royalmail.com/Downloads/public/ctf/rmg/Royal_Mail_Licence_25_May__2006.pdf" ]	[HYPERLINK "http://iplatform.intranet.point/rmg/Services/Compliance/Condition+10/"]  [ HYPERLINK "http://iplatform.intranet.point/rmg/Services/Compliance/" ]	
		Gary Hockey Morley Marketing Director	Relating to Access	[ HYPERLINK "ftp://ftp.royalmail.com/Downloads/public/ctf/rmg/Royal_Mail_Licence_25_May__2006.pdf" ]	[ HYPERLINK "http://iplatform.intranet.point/rmg/Services/Compliance/Policies/" ]	

3d. Map of Accountabilities - How we operate (by legislative & regulatory area)  
[HYPERLINK \1 "P3"]

Legislative / Regulatory Area	Regulator	ET Responsibili ty	Sub Area (if applicable)	Supporting statutes / regulations	RM Group Policy	Post Office Limited Policy
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Health & Safety	[ HYPERLINK "http://www.hse.gov.uk/index.htm" ]	Debbie Moore HR Director	Procedural aspects	Health & Safety at Work Act Employers Liability Act Offices, shops & Premises Act RIDDOR regulations Occupiers Liability Act H&S Information for Employees regulations Working Time Directive Six Pack Regulations <ul style="list-style-type: none"> <li>Management of H&amp;S at work</li> <li>Display Screen Equipment</li> <li>Provision &amp; use of work related equipment</li> <li>Workplace health, safety &amp; welfare</li> <li>Personal protective equipment at work</li> <li>Manual handling</li> </ul>	P4 Health & Safety	[ HYPERLINK "https://www.postofficeintranet.co.uk/teams/usemanual.asp" ]  [ HYPERLINK "http://iplatform.intranet.point/rmg/pol/Information/Policies+and+Guidelines/Hostage+Policy.htm" ]
			Premises aspects	Fire Precautions Act H&S First Aid regulations Electricity at Work regulations Control of Substances hazardous to health regulations Control of Asbestos at work regulations Health Act 2006 Disability Discrimination Act (access to premises) Noise at Work regulations	P4 Health & Safety F8 Fire Safety G14 Disabled Customers	[ HYPERLINK "https://www.postofficeintranet.co.uk/teams/usemanual.asp" ]  [ HYPERLINK "http://iplatform.intranet.point/rmg/pol/Information/Policies+and+Guidelines/Suspect+packages+intro.htm" ]

Data & Information				[ HYPERLINK "http://iplatform.intranet.point/rmg/pol/Information/Policies+and+Guidelines/Freedom+of+Information+Act.htm" ] Document Retention Act Computer Misuse Act Official Secrets Act Welsh Language Act Public Interest Disclosure Act	G30 Freedom of Information G6 Document Retention (including G6a & G6b) G12 Welsh Language P6 Use of Information & Information Systems G7 Employee Disclosure (Whistleblowing)	[ HYPERLINK "http://iplatform.intranet.point/rmg/Services/HR+Help/Post+Office+Ltd/Policy/Employee_Disclosure_Policy.htm" ] [ HYPERLINK "http://iplatform.intranet.point/rmg/pol/Information/Policies+and+Guidelines/Welsh+Language+Guidelines.htm" ]
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Legislative / Regulatory Area	Regulator	ET Responsibility	Sub Area (if applicable)	Supporting statutes / regulations	RM Group Policy	Post Office Limited Policy
Data & Information		Gary Hockey Morley Marketing Director	Client Contracts	Public Records Act	CS9 Acceptable Partnerships with Trusted Third Parties	
		David Glynn Sales Director	Sales & Direct Channels	Data Protection Act	G13 Data Protection Act T15 Intranet Exploitation	[ HYPERLINK "http://iplatform.intranet.point/rmg/Services/HR+Help/Post+Office+Ltd/Policy/Data_Protection_Act.htm" ]
		Mike Young Operations	Purchasing Contracts	Public Records Act	F6 Liability in Purchasing Contracts	

		Director		Information Security	S1 Information Security S10 Clear Desk Policy S16 Third Party Access Policy T3 Royal Mail Anti Virus	[ HYPERLINK "http://iplatform.intranet.point/rmg/pol/Information/Policies+and+Guidelines/Clear+Desk+policy.htm" ] [ HYPERLINK "http://iplatform.intranet.point/rmg/pol/Information/Policies+and+Guidelines/Information+Security+Policy.htm" ]
				Private Security Act		
				Public Procurement Regulations Unfair Contract Terms Act (re: procurement contracts) VAT Act (purchasing) Sale & Supply of Goods Act (re: purchasing) Public Records Act (re: purchasing)	F1 Authority to Requisition, Procure & Pay F2 Procurement Policy [ HYPERLINK "http://iplatform.intranet.point/rmg/Services/How2Buy/3Buy" ]	



Employment		Debbie Moore HR Director	Terms & Conditions	Unfair Contract Terms Act (employment contracts) Fixed Term Workers Directive Employment Act	G3 Code of Business Standards	[ HYPERLINK "http://ipl atform.intr anet.point/ rmg/Service s/HR+Help/P ost+Office+ Ltd/Policy/ Recruitment _Policy.htm " ] [ HYPERLINK "http://ipl atform.intr anet.point/ rmg/Service s/HR+Help/P ost+Office+ Ltd/Policy/ Flexible_Wo rking_Polic y.htm" ]
			Relations	Employment Relations Act Trade Union & Labour Relations Act TUPE Regulations		[ HYPERLINK "http://ipl atform.intr anet.point/ rmg/Service s/HR+Help/P ost+Office+ Ltd/Industr ial_Relatio ns.htm" ]



			Discrimination	Equality Act Race Relations Act [ HYPERLINK "http://iplatform.intranet.point/rmg/pol/Information/Policies+and+Guidelines/Disability+Discrimination+Act.htm" ] Human Rights Act Protection from Harassment Act Sex Discrimination Act Equal Pay Act Employment Equality (Age) Regulations National Minimum Wage Act 1998 (National Minimum Wage Regulations 1999)	P5 Equal Opportunities - Diversity & Inclusion Valuing Diversity Policy v1.1	[ HYPERLINK "http://iplatform.intranet.point/rmg/Services/HR+Help/Post+Office+Ltd/Policy/Harassment_and_Bullying_Policy.htm" ]
Legislative / Regulatory Area	Regulator	ET Responsibility	Sub Area (if applicable)	Supporting statutes / regulations	RM Group Policy	Post Office Limited Policy
Other (Managed at Group Level)		Royal Mail Company Secretary's Office		Highways Act Environment Protection Act	G17 Royal Mail Environmental Policy [ HYPERLINK "http://iplatform.intranet.point/rmg/Services/CSR+Environment/CSR+Environment.htm" ]	
			Property related legislation (Managed at Group Level)	Town & Country Planning Act Property Act Land Registration Act Landlord & Tenants Act Occupiers Liability Act		
			Vehicle related legislation (Managed at Group Level)	Road Safety Act Goods Vehicle (licensing of operators) Act		
			Managed at Group Level	Pensions Act Occupational Pensions Regulations Companies Act Income & Corporation Taxes Act Employers Liability (compulsory insurance) Act	F21 Pensions Policy (Finance)	

Note 1: This list should not be taken as definitive or exhaustive, and will need to be reviewed on an annual basis to moderate any changes to legislative and regulatory requirements.

Note 2: The Royal Mail Group Policies can be located using the following link - [ HYPERLINK  
"http://domino.point/POLICYLI.nsf/pgFrameTickerNone?openpage&docid=BB982DF613AEF68D802571CA00299D6  
E" ]

#### 4. Assurance

[HYPERLINK \1 "P3"]

This compliance framework forms part of the Post Office's Governance processes.

The Board and other stakeholders will gain assurance in respect of the extent of compliance across the business and the appropriateness of controls through: -

- Periodic self assessment activities performed by identified owners
- Independent validation work, performed by Royal Mail Internal Audit & Risk Management (IARM). IARM manage the validation of critical business processes across the Royal Mail Group and Post Office's identified critical business processes include a key sub process of Regulation and Legislation.
- Activities performed by the Compliance Team (as set out in the Annual Assurance Plan)
- Monitoring by the Risk & Compliance Committee (a sub committee of the Board) as set out in the terms of reference for the committee

The self-assessment and independent validation processes referred to will be signed off by the Managing Director and reported to the Corporate Risk Management Committee. This will enable the Post Office to provide its statutory declaration on risk and control in its annual report

#### 5. Disciplinary Statement

[HYPERLINK \1 "P3"]

Compliance with legal and regulatory requirements is not optional and disciplinary measures will be applied in cases of wilful, persistent or negligent non-compliance. The Royal Mail Group Employee Disclosure (Whistleblowing) Policy (G7) and Post Office Limited Employee Disclosure Policy that allows for anyone in the Business to raise any suspected non-compliance without fear of detriment or reprisal

#### 6. Contact

[HYPERLINK \1 "P3"]

Initial contact or any questions regarding the content of the Compliance Framework should be directed to Keith Woollard (Head of Compliance).

     
  
 Keith.woollard@

## Appendix - Scope of framework

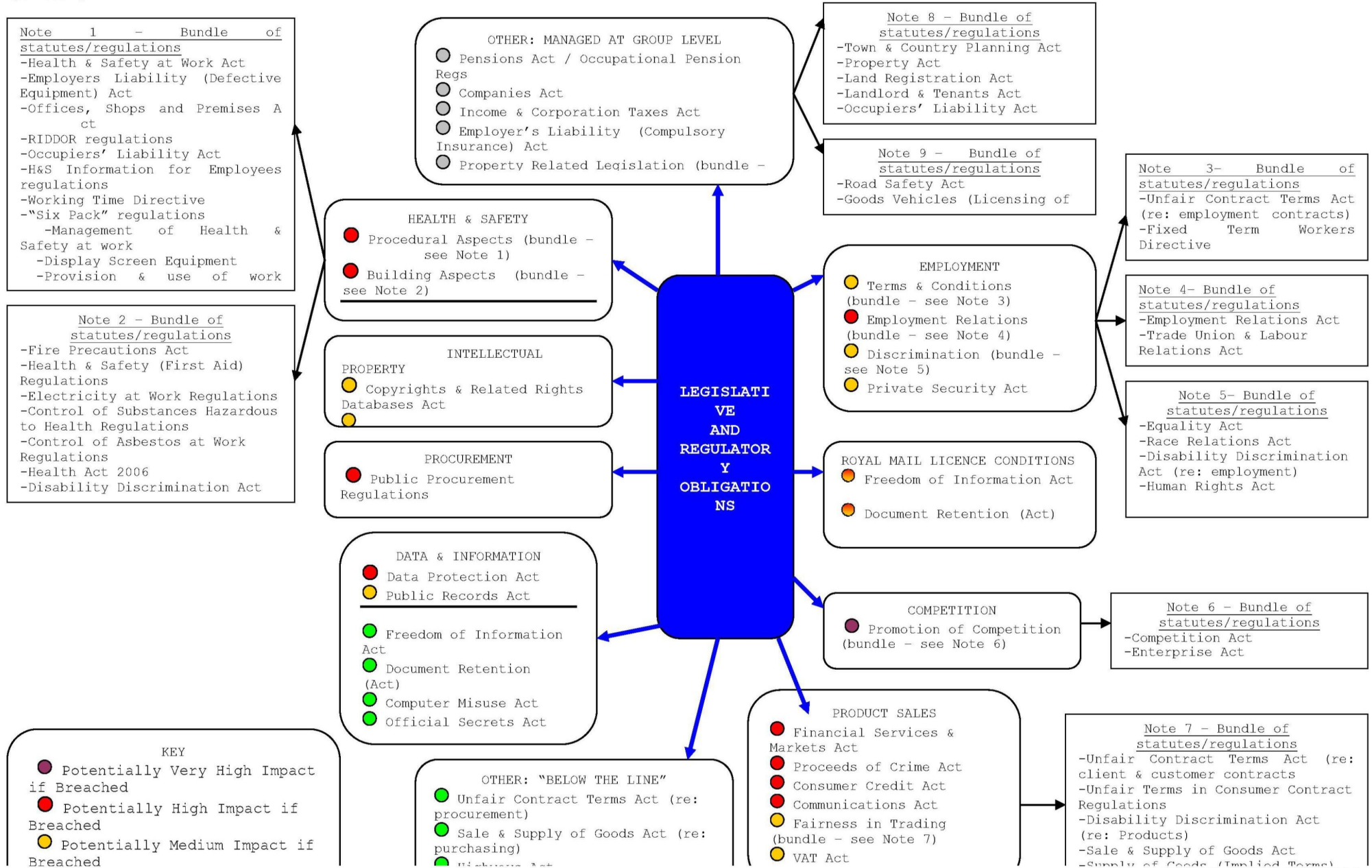
[HYPERLINK]

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## Appendix - Scope of framework

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**Document Control**

Version 1	18/03/2009	Rob Bolton	Final version produced following input from Risk & Assurance Manager, Head of Compliance & Communications
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