

Training Guide

Compliance audit tool

December 2013



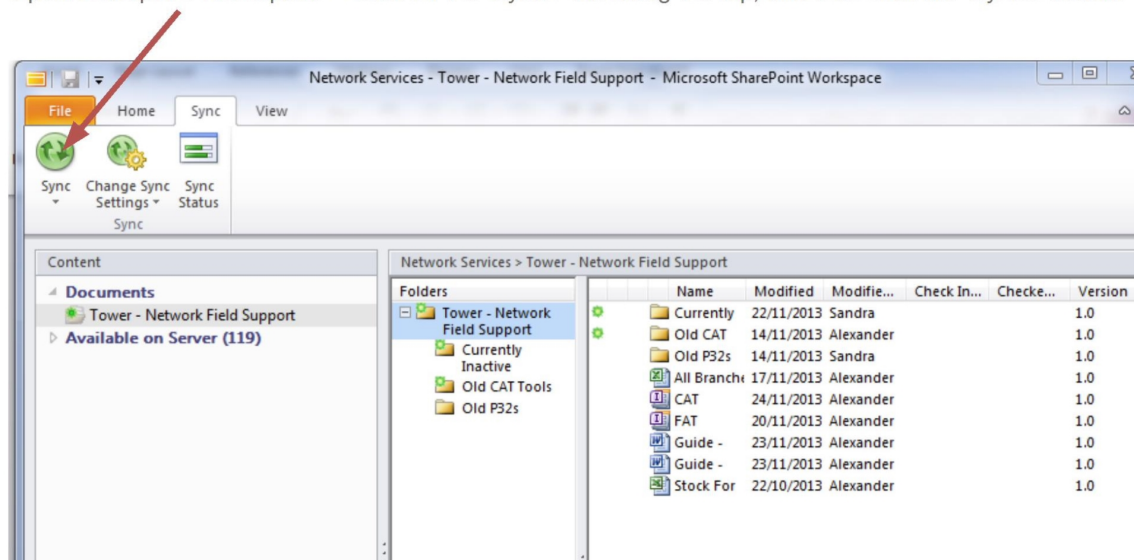
Outline of the changes

What are the different pages?

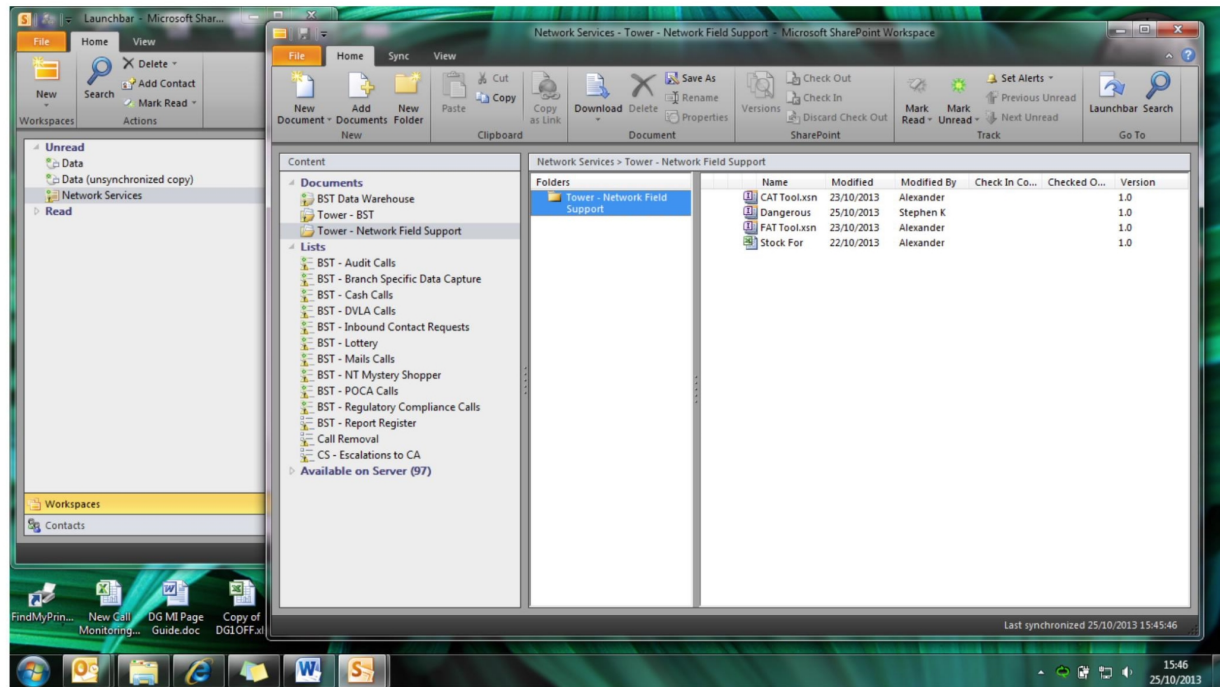
- Planning – to paste in the data from the All Branches Database, and some basic audit details
- CORE – all the core questions – there are now also some extra MI sections for 16, 24 and 25
- Procedural Security – all the security questions
- Government Services – IPS, AEI and DVLA questions – these are automatically marked N/A if the branch doesn't do them
- POCA – when POCA is not being tested all the answers are automatically marked 'Not Tested' and the page says POCA is not currently being tested
- Confirmation – for entering the email addresses of internal people to receive a copy of the report, and confirming the form is complete before submission
- Working Papers/Appendix
- Saving/Submission

Firstly you need to refresh your Workspace. Although Workspace refreshes automatically, if you are going straight into a tool there is a time delay between automatic refreshes, so it's always best to do it manually.

Open Sharepoint Workspace > Click on the 'Synch' tab along the top, and then click the 'Synch' button.



Double click on the CAT Tool and the 'All Branches Database' to open them.



1. Paste String

Retrieve Branch Data from “All Branches Database”

Either use ‘find’ or filter to find the branch you want, and copy the row.

	A	B	C	D	E	F	G	H	I	J	K	L	M
1	FAD	Location FAD Code	Location Name	Trading Sub-Stat	Branch Type	BTS Offset	Address Line 1	Address Line 2	Address Line 3	Address Line 4	Address Line 5	Postcode	Telephone No
2	001888	0018880	Ashford Carbonel PSA	Open	PRIV	A	10a Townsend Close			Ludlow	Shropshire	SY8 1UN	01584874336
3	002001	002001X	Balham	Open	Crown	D	92a Balham High Road			London	Greater London	SW12 9AF	02086738702
4	002004	0020044	Crouch End	Open	Crown	D	28 - 29 Toppfield Parade			London	Greater London	N8 9QB	02083407287
5	002006	0020060	Acton	Open	Crown	D	23/29 King Street			London	Greater London	W3 9LD	02089925487
6	002007	0020079	Abbey Wood	Open	Crown	D	90 Abbey Wood Road			London	Greater London	SE2 9NN	02083110578
7	002009	0020095	Albemarle Street	Open	Crown	D	43/44 Albemarle Street			London	Greater London	W1S 4DS	02074931880
8	002011	0020117	Eccleston Street	Open	Crown	D	6 Eccleston Street			London	Greater London	SW1W 9LS	02077300943
9	002012	0020125	Beckenham	Open	Crown	D	22 Rectory Road			Beckenham	Kent	BR3 1AA	0206585847

	A	B	C	D	E	F	G	H	I	J	K	L	M
5537	189311	1893114	Hatfield	Open	SPSO	D	3 High Street	Hatfield		Doncaster	South Yorkshire	DN	
5538	189321	1893211	Greenwich Avenue	Open	SPSO	A	86 Greenwich Avenue						
5539	189328	1893289	The Harbour	Open	SPSO	A	19 Perry Street	Amble		Morpeth	Northumberland	NE65 0AG	01665710301
5540	189329	1893297	Battle Hill	Open	SPSO	D	Mills Local Store	Unit 3 Battle Hill Drive		Battle Hill	Wallsend	Tyne and Wear	NE28 9PA
5541	189349	1893491	Thirsk	Open	MSPO	D	32 - 34 Market Place			Thirsk	North Yorkshire	YO7 1LB	01845522717
5542	189401	1894013	Castle	Open	SPSO	B	9 Chester Road			Northwich	Cheshire	CW9 1EZ	01606747314

	A	B	C	D	E	F	G	H	I	J	K	L	M
5537	189311	1893114	Hatfield	Open	SPSO	D	3 High Street	Hatfield		Doncaster	South Yorkshire	DN7 6RS	01302841844
5538	189321	1893211	Greenwich Avenue	Open	SPSO	A	86 Greenwich Avenue			Hull	East Yorkshire	HU9 4JZ	01482376309
5539	189328	1893289	The Harbour	Open	SPSO	A	19 Perry Street	Amble		Morpeth	Northumberland	NE65 0AG	01665710301
5540	189329	1893297	Battle Hill	Open	SPSO	D	Mills Local Store	Unit 3 Battle Hill Drive		Battle Hill	Wallsend	Tyne and Wear	NE28 9PA
5541	189349	1893491	Thirsk	Open	MSPO	D	32 - 34 Market Place			Thirsk	North Yorkshire	YO7 1LB	01845522717
5542	189401	1894013	Castle	Open	SPSO	B	9 Chester Road			Northwich	Cheshire	CW9 1EZ	01606747314
5543	189406	1894064	Farnworth	Open	MAIN	D	52a Brackley Street	Farnworth		Bolton	Lancashire	BL4 9EG	01204579999
5544	189407	1894072	Rosegrove	Open	SPSO	D	8 Lowerhouse Lane			Burnley	Lancashire	BB12 6HU	01282426348

Paste the row into the CAT tool

Click into the green box on the Planning page. Do this by right clicking and selecting paste, or 'Ctrl' and V. This will populate all the branch details on the planning page, automatically mark AEI/DVLA/IPS as NA if the branch doesn't do any of them, and enter the RSM/ASM/Contracts Advisor email addresses in the final confirmation screen.

Paste in All Branch Database data

1. Open the Excel file
2. Copy the branch row
3. Paste the row in the green box below (Ctrl + v)



The screenshot shows a portion of an Excel spreadsheet. A green rectangular box is highlighted, indicating the target area for pasting data. The box is located below a row of data. The data in the row above the box includes a branch name, a date, and a time. The green box is empty, ready for the user to paste the copied data.

Paste in All Branch Database data

1. Op

3. Paste the row in the green box below (Ctrl + v)

Cut

Copy

Paste Options:

Audit Det

Paste in All Branch Database data

1. Open the Excel file 2. Copy the branch row 3. Paste the row in the green box below (Ctrl + v)

189349

Branch Details – auto filled from paste string		
Branch Code 189349	Branch Address 1 32 - 34 Market Place	Branch Type MSPO
Branch Code 7 digits 1893491	Branch Address 2 	Branch Trading Group D
Branch Name Thirsk	Branch Address 3 	Segment National Multiple
Phone 01845522717	Branch Address 4 Thirsk	Partner (if applicable) Co-operative Group Ltd (TCG)
Current Agent Co-operative Group Ltd (TCG) PM	Branch Address 5 North Yorkshire	
Branch Status Open	Branch Postcode YO7 1LB	

Branch Equipment - auto filled from paste string					
Branch Terminals	Postshop Terminals	Paystations	POL Scales	PO ATM	ATM Type
4	0	1	2	N	

Branch Services - auto filled from paste string

2. Filling in the form

Planning

On the Planning page, you need to fill in the audit code, date of audit, lead auditor and other auditors present. The lead auditor and other auditor fields are connected to active directory, and as such need to be filled in when online.

Audit Details	
Audit Code Select...	Date of audit 15/11/2013
Lead Auditor Stacey L. Harper	Other Auditors Alexander Todd

Audit Details	
Audit Code 150 - Random Audit	Date of audit 15/11/2013
Lead Auditor Stacey L. Harper	Other Auditors Alexander Todd

Core

Each drop down has the four options in. Every drop down must have something selected to allow you to submit the form. Any failures are highlighted in red to easily review the end results.

Question to be asked	Answer Required	Mark
Someone who you know to be receiving benefits and is known in the area to be involved in petty crime wants to purchase £4k of US dollars and pay in cash. What would you do & why?	1.1 - Question the customer further to ascertain details of what the money is being used for and the source of the cash being used for payment.	CORE01: Pass Fail N/A Not Tested
Someone who you know to be receiving benefits and is known in the area to be	1.2 - If suspicious & able to defer transaction by 7 working days, If suspicious obtain customer's identification and as much information as possible about the transaction and then apply for	

CORE16 – there are 2 extra fields. One is to grade the failure (if there is one), as marked in the 'Answer required' box. The other is to select if the failure is due to space issues. This extra MI helps us understand where mails integrity solutions can be found and provides the level of MI we are contracted to Royal Mail to provide.

How do you ensure all mail items awaiting collection (including priority service items) are kept secure?	13.1 - They must be in a lockable container, on a leash, behind the counter or held within the secure area. All priority items must be held within the secure area. Please also fill in the severity if CORE16 is a fail: 0 - Answer incorrectly 1 - A couple of non priority items 2 - Several non priority or one unsecure bag 3 - Priority Service items or multiple unsecure bags Are there integrity issues due to space issues? Yes	CORE16: Fail 3
--	---	----------------------

CORE24 – If this is a failure you now need to enter the number of gaps for each test. You also need to fill in the Horizon names and tests missing for any staff that still haven't completed the tests after audit, which will need follow ups. The extra MI is for providing to our clients who have requested this.

Observation – were training receipts available for all branch staff for current compliance training?	20.1 Check training records for AML, Mails, Financial Services, Data Protection, Homephone/Broadband, Dangerous Goods & any other applicable training. If training records not available for every member of staff, they must re-take the test and the receipts must then be filed in branch. FSA to ensure this is completed before leaving the branch wherever possible. For Dangerous Goods this must be done while the auditors are on site, and if the staff members are not in branch the operator must remove them from handling mail until both tests have been passed. NB, It is permissible for relief SPMR's, National Multiple area managers and other transient staff to have taken the test at an alternative branch, carry their training records with them and be able to produce them if currently working in the branch. PO Local branches – for recently converted branches with new staff, check training records for the Foundation Module plus Mails, AML, Data Protection and Dangerous Goods training that has been issued since.	CORE24: Pass																								
<p>Fill in the total number of staff that were missing receipts for each test. Then enter any usernames and the tests that are still outstanding after the audit that branch standards will need to chase.</p> <table border="1"><thead><tr><th>Anti Money Laundering</th><th>Data Protection</th><th>Financial Services</th><th>Homephone & Broadband</th><th>Mails Integrity</th><th>Inland Dangerous Goods</th><th>International Dangerous Goods</th><th>AML & Information Security</th></tr></thead><tbody><tr><td>16/07/2012</td><td>07/05/2013</td><td>04/03/2013</td><td>17/09/2012</td><td>18/11/2013</td><td>08/07/2013</td><td>14/01/2013</td><td>30/09/2013</td></tr><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></tbody></table> <div><div>Horizon Username</div><div>Regulatory Compliance Test</div><div><input type="text"/></div><div>Select...</div><div><input checked="" type="checkbox"/> Add another</div></div>			Anti Money Laundering	Data Protection	Financial Services	Homephone & Broadband	Mails Integrity	Inland Dangerous Goods	International Dangerous Goods	AML & Information Security	16/07/2012	07/05/2013	04/03/2013	17/09/2012	18/11/2013	08/07/2013	14/01/2013	30/09/2013								
Anti Money Laundering	Data Protection	Financial Services	Homephone & Broadband	Mails Integrity	Inland Dangerous Goods	International Dangerous Goods	AML & Information Security																			
16/07/2012	07/05/2013	04/03/2013	17/09/2012	18/11/2013	08/07/2013	14/01/2013	30/09/2013																			

CORE25 – If this is a failure you now need to enter the names of any staff that are not registered. This is a better follow up process and again something requested by clients.

Agent only (Including WHSmiths & National Multiples)- What HR procedures must you follow when employing a new member of staff?	21.1 – Notify HR using the P250 pack for new staff employed since 1st January 2006. Contact them on 0845 6016260. When employing new staff the following should be adhered to: > Notify HR using the P250 for new staff employed since 1st January 2006. > Documents need to be sent to HR by Recorded Signed For. > The previous 5 years employment history must be requested. > 2 independent references must be obtained. <div>Please enter any staff names for Branch Standards to follow up</div> <div><input type="text"/></div> <div><input checked="" type="checkbox"/> Add another person</div>	CORE25: Pass
--	---	-----------------

Comments – The comments box is on the bottom of each test type, and stores all the comments together.

What do you do if a customer doesn't know what a parcel contains, or refuses to tell you?	By interview with Operator/Manager or random staff member working in branch: The parcel cannot be accepted if the customer can't confirm the contents. Without knowing the contents, you can't tell if the parcel has dangerous or restricted goods inside, so cannot be sure whether the item is illegal to send (prohibited), or must be controlled in a certain way (restricted)	CORE35: <input type="text"/>
<div>Comments:</div> <div><input type="text"/></div>		

Procedural Security/Government Services

The procedural security questions remain unchanged, and have the four standard options in the drop down. There is also a button for quickly marking the whole section as compliant.

Government Services:

The sections are marked as N/A if the branch doesn't do them (Passports, AEI and DVLA). There are quick buttons to mark all Government Services as Not Tested or N/A. There is no button for marking all as passes, this is in case the automatic N/As are overridden by accident.

Core
Procedural Security
Government
POCA


Mark as not tested
Mark as not applicable

Question to be asked	Answer Required	Mark
Are under copies (p5035s) accurately completed and retained as appropriate? I.e. total value/volume, branch code, date, week number, initials, date stamp & the correct charges applied	Check 2 weeks under copies to ensure that they are fully completed, correct fees applied and retained as per guidelines.	IPS001: N/A
What would you do if a customer presented incorrect documentation, or the form contained errors?	Accept the application checking fee only. Complete a Passport Application Receipt P4921 with all relevant transactions details including the reason for rejecting the application. Advise the customer that the Passport Application Receipt P4921 must be resubmitted within one calendar month if they wish to have any subsequent passport application checked without paying an additional checking fee.	IPS002: N/A
Describe what you would do with passports that are accepted after the cut off time?	Applications are stored in the safe prior to despatch the following day.	IPS003: N/A
Describe what you would do when you receive a new supply of MVL discs.	A full physical check with any variance reported to the NBSC on the same day. Discs quantity & serial numbers recorded on Horizon on line.	DVLA01: *
What would you do if MVL discs were lost or stolen?	Report to the NBSC & record on Horizon on line.	DVLA02: *

POCA

Each question has the standard four options.

When POCA is not being tested the page will look like the image below. There will be a banner advising it's not currently tested, and all answers are automatically marked as Not Tested.

FSA > Audit Log > POCA


Planning
Print Papers
Appendix
Final Confirmation

Core
Procedural Security
Government

Mark as fully compliant
Mark as not tested

POCA IS NOT CURRENTLY BEING TESTED

Question to be asked	Answer Required	Mark
When opening a POca account, what would you check for on the application form (P6629)?	Forms must: Be completed in CAPITAL LETTERS in black ink Section 1 Pre-populated section of application is correct and corresponds with ID presented. Contain customers DOB & NI number Contain the correct name address Section 2 is completed and all three parts of the customers Security information is completed. Check that ID has been documented on E0IF (P6363) Section 5 completed/Crossed (NB: where there are no application forms on hand, show branch staff your copy of the application & go through requirements)	POCA40: Not Tested
When opening a POca account, what would you check for on the application form (P6629)?	Section 3 is completed (NB: if Section 3 is applicable then Section 4 must be completed) Section 7 signed by customer "Office Use" section contains A. Branch code B. Date stamp and clerk initials. C. Date. D. Date stamp date corresponds with hand written date.	POCA41: Not Tested

Confirmation

This is the final screen. The RSM/ASM/Contracts Advisor email addresses are automatically populated. Any other internal email addresses that need to see the Compliance Audit must be typed or pasted into the 'Other' box. NOTE: These email boxes will not be made active until Friday 29th November.

There is also a reminder to check you have entered everything correctly as no further checks will be made to the data before being sent out to the branch.

FSA > [Audit Log](#) > [Confirmation](#)



Planning	Print Papers	Appendix	Final Confirmation
Core	Procedural Security	Government	POCA

Who needs to know?

RGM/CSCSM/RSM/ASM/Contract Advisor email addresses come from the paste string, please enter any other email addresses that need to know about this audit.

Branch RSM/RGM nicola.metalfe@GRO	Branch ASM/CSCSM martin.voyer@GRO	Branch Contracts Advisor alan.lusher@GRO
Other email alerts needed (separate with :)		

Confirmation

Once you submit this compliance audit, Branch Standards team will post out the documents to the branch in the next 2 working days.
Please check back through each of the areas covered to make sure you have filled in everything correctly - there will be no further checks so it is essential you have logged everything correctly.

Are you happy everything is filled in correctly, with the correct failures marked?

Select...
Select...
Yes
No

You do not need to log your name, this will be captured automatically on submit.
If you are not happy with what is showing in the file, then please email branchstandardsdataanalysis@GRO

GRO

Working Papers/ Appendix

After clicking onto the Working Papers page, go File>Print or 'Ctrl' and P to print.

The Appendix page is there purely for reference. You do not need to print it or fill anything in.

Saving/Submission

You can go File>Save As to save the form to your computer at any time. It does not matter what you name the file.

You can then reopen the file by double clicking on it, just like you would a Word document.

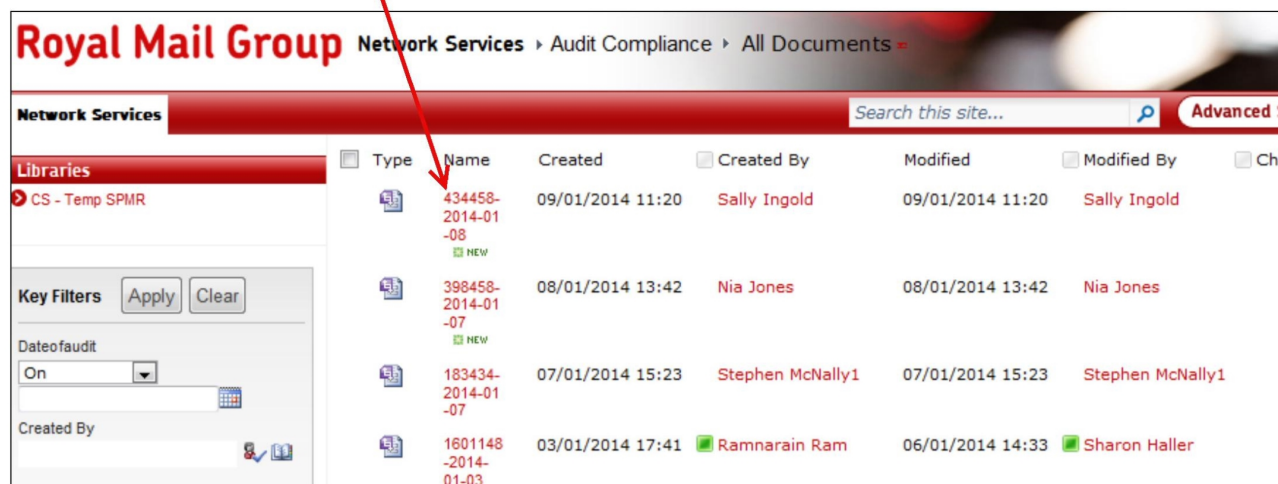
Submission

The audit is not submitted to the main database until you click the 'Submit' button in the top left corner of the form. You must be online to be able to do this; otherwise you will get a message saying it has been unsuccessful. The audit is automatically named in the database in this format: [FAD]-[Date of audit].

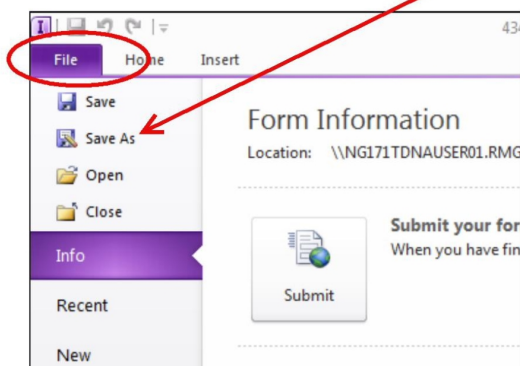
Saving the File to Your Laptop

Once you have Submitted the CAT Tool you will need to save a copy to your laptop, so that you can include it in the zip file which is emailed to the P32 File.

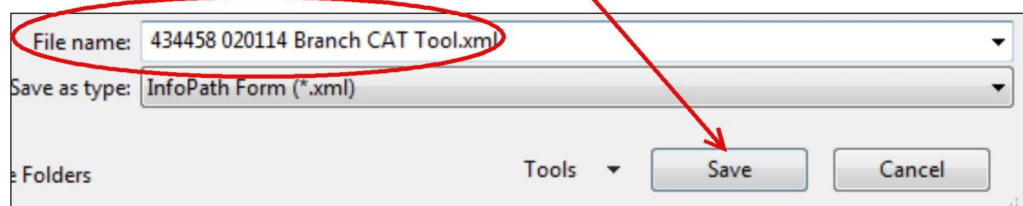
Go to the Audit Compliance SharePoint site and locate your entry
Double Click on the file name (red text) to open it



Once the file is open Click on **File** and **Save As**



Locate where you want to save it on your laptop.
Change the **File Name** to the correct format and click **Save**.



Please save the completed CAT Tool as:
Branch Code space DATE space BRANCH NAME space CATTOOL
E.g. 123456 030809 Anytown CATTOOL and send to a compressed zip folder and email to P32 file copying in your Field Team Leader.