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Post Office Ltd
Security Operations Team

Compliance

Guide to the Preparation and Layout of Investigation Red Label Case Files

File construction and Appendices A, B & C

Introduction

The aim of this document is to give guidance to Security Operations Managers and Team Leaders on the current compliance standards for the preparation of red label case files and appendices A, B and C.

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Contents:

1. File Construction:

- 1.1 Urgent Today Label used.
- 1.2 File cover set out correctly.
- 1.3 POL230 paged at page one.
- 1.4 Pages numbered correctly.
- 1.5 Correct font for all reports.
- 1.6 Offender report paged.
- 1.7 Interview paged.
- 1.8 Appendices A, B and C associated.
- 1.9 Discipline report associated.

2. Appendices A, B & C:

Construction:

- 2.1 Appendices clearly marked.
- 2.2 Paper numbers completed.
- 2.3 Contents in correct appendix – Contents of A, B and C.
- 2.4 Contents numbered.

Contents:

- 2.5 Copy of working tapes associated.
- 2.6 No original exhibits.
- 2.7 POL001 correctly dealt with. (Not Scottish or if offender arrested)
- 2.8 POL003 correctly dealt with. (Not if offender arrested)
- 2.9 POL005 / POL045 correctly dealt with. (If applicable or Police search record copy enclosed)
- 2.10 Other POL forms and NPA forms correctly dealt with. (if applicable)
- 2.11 Accounting documentation correctly. (if applicable)
- 2.12 Personal Printout properly obtained.

3. Notebook:

- 3.1 Copy of notebook entry enclosed. (Photo copy or Typed)
- 3.2 Notebook details. (conversations, observations and factual details)

4. Other

- 4.1 Planned Operational Risk Assessment (PORA – POL019) – completed/copy enclosed as appropriate.
- 4.2 Stakeholder Notification completed and copy enclosed where appropriate.

1. File Construction:

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1.1 Urgent Today Label used:

The red label POL104 should be attached to the front of the file and remain there until the case is settled.

1.2 File cover set out correctly:

The green case file should set out as shown below. The "Assigned to:" columns should be completed clearly and kept up to date.

CONFIDENTIAL					
SECURITY					
Assignment Details:			POLTD/0506/000		
Post Office LTD. Crown Office Cash Loss £3,500					
Nosuch CO GRO					
FAD: 078 345					
Assigned to:	Business Unit	Date	Assigned to:	Business Unit	Date
A. Smith	POLTD.	03/09/05			
Casework Management	POLTD.	13/09/05			

1.3 POL230 paged at page one:

The POL230 (Investigation capture details form) should always be paginated at page one to the report.

1.4 Pages numbered correctly:

The file pages should be numerically indicated, by pencil, in the top right hand corner of each subsequent page.

1.5 Correct font for all reports:

All reports paginated by the investigator should be in the correct business font. (This is currently Chevin Light, font size 12).

1.6 Offender report paged:

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The offender/s report should be paginated directly following the POL230 (all in one case raise form) the first page. There should be a separate "Preamble" for each offender prior to commencing the report actual with the addressee (Currently) "**Post Office Ltd Legal & Compliance Team**"

1.7 Interview paged: (where produced)

The interviews of any offender/s should be paginated in chronological order following the "Offender Report". Any subsequent reports and interviews should be paginated in chronological order thereafter.

1.8 Appendices A, B and C associated:

The three, buff colour, appendices (Env.2007) should be associated and enclosed at the rear of the file in alphabetical order. Appendices must be attached to the file cover using a treasury tag.

1.9 Discipline report associated:

A copy of the Discipline report should be forwarded to POLTD. Casework Management (Security Team) by E-mail, this will then be associated in the casework management offender file.

2. Appendices A, B & C:

Construction:

2.1 Appendices clearly marked

The three appendices should be clearly marked A, B or C and associated in the file in alphabetical order. All three appendices should be marked clearly "In Confidence"

2.2 Paper numbers completed

The line "Paper No's" should be completed with POLTD/ followed by the case file number.

2.3 Contents in correct appendix.

All documentation should be enclosed in the correct appendix:

Appendix A

- Statements (copies)

Appendix B

- Copies of evidence.
- Tape summaries and tapes (Summaries dealt with by CWM Team)
- Copies of legal Rights and search forms (POL001 (Scottish POL003), POL005 and any police search record)
- Notebook entries.

Appendix C

- Copy Friends at Interview Forms (POL003)
- Antecedents (POL033)
- NPA forms (NPA1 – 3)
- Disclosure forms (for committal) (POL006B, POL006C, POL006D and POL006E)

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- Miscellaneous (relevant) e.g. Bank Disclosure Authority, Without Prejudice Receipt if applicable, Personnel/Staff Printouts, Accounting records, Records of Transaction Corrections, Stakeholder Notification, Failings Notification, Discipline Report - anything that forms part of the case that is not in Appendix 'B' but is mostly relevant to Criminal Law Team.

2.4 Contents numbered.

Each item listed in the contents column should be clearly numbered.

Contents:

2.5 Copy of working tapes associated.

A copy of the working tape of the interview/s should be associated in appendix B.

2.6 No original exhibits.

There should be no original exhibits or statements in any appendix.

2.7 POL001 correctly dealt with. (Not Scottish or if offender arrested)

This should be completed correctly with all relevant fields completed; the copy enclosed should be clear and readable.

2.8 POL003 correctly dealt with. (Not if offender arrested)

This should be completed correctly with all relevant fields completed; the copy enclosed should be clear and readable.

2.9 POL005 / POL045 correctly dealt with. (If applicable or Police search record copy enclosed)

These should be completed correctly with all relevant fields completed; the copies enclosed should be clear and readable.

2.10 Other POL forms and NPA forms Correctly dealt with. (If applicable)

These should be completed correctly with all relevant fields completed; the copies enclosed should be clear and readable.

2.11 Accounting documentation correctly dealt with. (If applicable)

These should be completed correctly if applicable, with all relevant fields completed; the copies enclosed should be clear and readable.

2.12 Personnel Printout properly obtained.

The copy enclosed should be clear and readable.

3. Notebook:

3.1 Copy of notebook entry enclosed.

A copy of any notebook entry made should be enclosed in appendix B.

3.2 Notebook details. (Conversations, Observations and Factual details)

Notebook entries should contain details of, date, time, location, attendance, conversations, observations and factual details.

4. Other:

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4.1 PORA completed and copy enclosed where appropriate.

This should be completed correctly with all relevant fields completed.

4.2 Stakeholder Notifications completed and actual email copy enclosed where appropriate.

This should be completed correctly with all relevant fields completed.

4.3 Organisational/Business/Procedural, Failings Notifications completed and actual email copy enclosed where appropriate

This should be completed correctly with all relevant fields completed.

4.4 Financial Evaluation Sheet (FES) correctly dealt with where applicable

These should be completed correctly with all relevant fields completed; the copies enclosed should be clear and readable.