POL00074005

Message

From: Rodric Williams GRO
on behalf of Rodric Williams GRO GRO
Sent: 27/11/2013 13:40:21
To: Parsons, Andrew GRO
Subject: FW: SR018 - and docs needed by POL on Lee Castleton's case (M001) [BD-4A.FID20472253]
Attachments: USE THIS Case Review Summary Document - M001 (RW amends 27.11.12).doc

Andy –

I attach my mark up of our response to the Castleton CQ.

Ultimately, I'm not sure that this is going to be helpful because fundamentally I don't think it provides a sufficiently comprehensive response to the CQ, which was pretty detailed (even if ultimately baseless). It certainly does not address in detail the transaction reversal process which Ron seems to be focussing on (and it doesn't mention the Sport Review, which makes me think the investigation team is not looking at these).

Taking a step back, Castleton seems to be re-litigating his High Court case (I'm going to look at the judgment over my sandwich – but a v. quick glance shows that even the £100.20 scratch card issue was considered). I appreciate that we can't just hide behind that (he'll say he didn't have the resources to take on the Big Boy), but I do think we can set out a stall where we portray him as someone who wants £5.2 million after providing inadequate services for all of 9 months.

Also, this is M001 – it's a good place to put a stake in the ground about the substance of some of these complaints.

These are musings for discussion (I don't need a written response), but I would like your take on whether I am over-egging the pudding (with the consequential cost increase).

I think we had some developments on what the Board would like these to look like, and the resource available to achieve that (esp. with criminal prosecutions). I'll be getting an update from Chris/Belinda later today which I hope to be able to relay to you.

Kind regards, Rodric

Rodric Williams I Litigation Lawyer

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From: Parsons, Andrew [mailto: GRO
Sent: 27 November 2013 09:18
To: Angela Van-Den-Bogerd
Cc: Rodric Williams
Subject: RE: SR018 - and docs needed by POL on Lee Castleton's case (M001) [BD-4A.FID20472253]

Angela

I don't like Alan being copied in. He doesn't need to see the inner workings of each investigation. This is likely to cause Alan to form views / pass judgments on the merits of each case which is not within his remit as a member of the WG. His focus needs to be on managing the Scheme at a holistic level.

As to copying in the SPMR (ie. Castleton) I can see some upside in this approach. It allows POL to interact more directly with the SPMR, which in turn may allow us to work around SS and reduce their role further. However, the risk is that the communication between POL and SS needs to be fluid and thus cannot be carefully crafted every time. Copying in the SPMR could lead to misunderstandings by the SPMR who will only see a pin-hole view of the complete investigation process.

For these reasons, my view is that we should ask Ron to stop copying in the SPMRs and Alan. If SS want a more open and less defensive dialogue with POL (which was their request in the Interim Report) then they need to respect the need for that dialogue to be private until firm conclusions are drawn.

I think this message is better coming from you but I'm happy to call Ron if you'd prefer me to do this?

Kind regards
Andy

Andrew Parsons
Senior Associate
for and on behalf of Bond Dickinson LLP

Bond Dickinson

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From: Angela Van-Den-Bogerd [mailto: GRO
Sent: 27 November 2013 08:51
To: Parsons, Andrew
Cc: Rodric Williams
Subject: FW: SR018 - and docs needed by POL on Lee Castleton's case (M001)

Hi Andy,

I'd be interested in your views on Ron's approach here ie copying the e-mail correspondence to the applicant, their advisor and Alan Bates. Shirley is investigating case M001 (a case Ron saw in the pre-mediation scheme phase) and has

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legitimately asked Ron for some information he may have in relation to the case. This interaction should in my view not be widely circulated – I'd appreciate your thoughts.

Thanks,

Angela

Angela Van Den Bogerd I Head of Partnerships

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From: Shirley Hailstones
Sent: 26 November 2013 14:44
To: Angela Van-Den-Bogerd
Subject: FW: SR018 - and docs needed by POL on Lee Castleton's case (M001)

Angela

As discussed.

Shirley

Shirley Hailstones I Case Review Manager

Guildhall, 57 Queen St, Glasgow, G1 3AT
GRO
GRO

From: Ron Warmington [mailto: GRO
Sent: 20 November 2013 13:02
To: Shirley Hailstones

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Cc: leecastleton GRO ; '2ndsight'; 'Alan Bates'; 'Emma Porter'; mediation GRO
Subject: RE: SR018 - and docs needed by POL on Lee Castleton's case (M001)

I don't think I've been given those Shirley but will take a fresh look. Lee: if you still have those, please get them to us.

Shirley: At this stage of the process, I think you should routinely copy (as I did... and have again here) the Applicant and his chosen Professional Advisor (Emma) on correspondence.

Best regards, Ron.

From: Shirley Hailstones [mailto: GRO
Sent: Wednesday, November 20, 2013 11:39 AM
To: Ron Warmington
Subject: RE: SR018 - and docs needed by POL on Lee Castleton's case (M001)

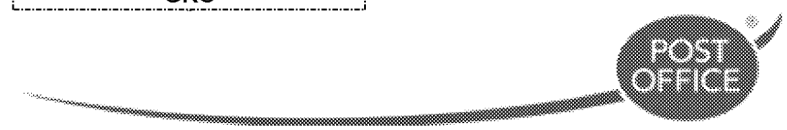
Hi Ron

Can you please provide the transaction logs applicable to the transaction.....or any more detail that you may have.

Thanks
Shirley

Shirley Hailstones I Case Review Manager

Guildhall, 57 Queen St, Glasgow, G1 3AT
GRO
GRO



From: Ron Warmington [mailto:rjw GRO]
Sent: 19 November 2013 17:28
To: Shirley Hailstones
Cc: 'lee castleton'; 'Ian Henderson'; 'Alan Bates'; 'Ron Warmington'
Subject: RE: SR018 - and docs needed by POL on Lee Castleton's case (M001)

Shirley:

First set of scanned docs (4 pages) re SR018 (the £1,256.88 13th May 2004 transaction processed (both Input AND Authorisation)* by someone with the system ID 'CPVPB77).

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* Isn't there meant to be a dual-control over journal entries (with SEPARATE Inputter and Authoriser)

Regards, Ron.

From: Ron Warmington [mailto:rjw GRO]
Sent: Tuesday, November 19, 2013 12:07 PM
To: 'Shirley Hailstones'
Cc: 'lee castleton'; 'Ian Henderson (irh GRO)'; 'Alan Bates'
Subject: SR018 - and docs needed by POL on Lee Castleton's case (M001)

Shirley:

Am looking at Lee's source docs now. Will scan and send to you those you've asked for (later today because we're still busy on the end-of-Scheme-Phase 1 late arriving Apps). In the meantime, here's Spot Review 18 that related to the £1,256.88. I'll also locate - in Lee's docs which I have here - the pages that relate to the txns that Lee claims were entered at times when neither Lee nor his staff were logged in. My thoughts turn to auto-generated reversals as a possibility here. As we've already established, Horizon allocates (to each of its own reversals) the ID of the staff member who input the transaction that it (the system) is then reversing. My position on that is that the design is incorrect and that such auto-reversals should have always had attached to them an ID naming Horizon itself, not asserting that the person who keyed the (about to be reversed) transaction - and who may not even know that his or her transaction is about to be reversed - also processed the reversal. It seems also that, in many cases, not only did the originator not know that one of his/her transactions was being reversed... but also never found out about that reversal at any later time either.

Best regards, Ron.

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