

Training Guide

Compliance audit tool

Sept 2015



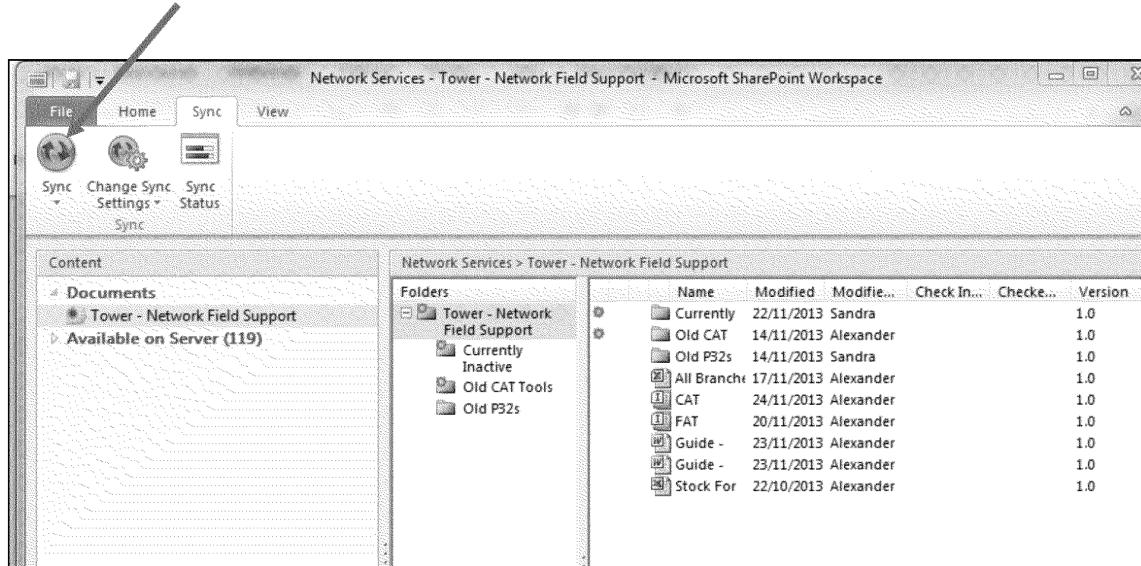
Outline of the changes

What are the different pages?

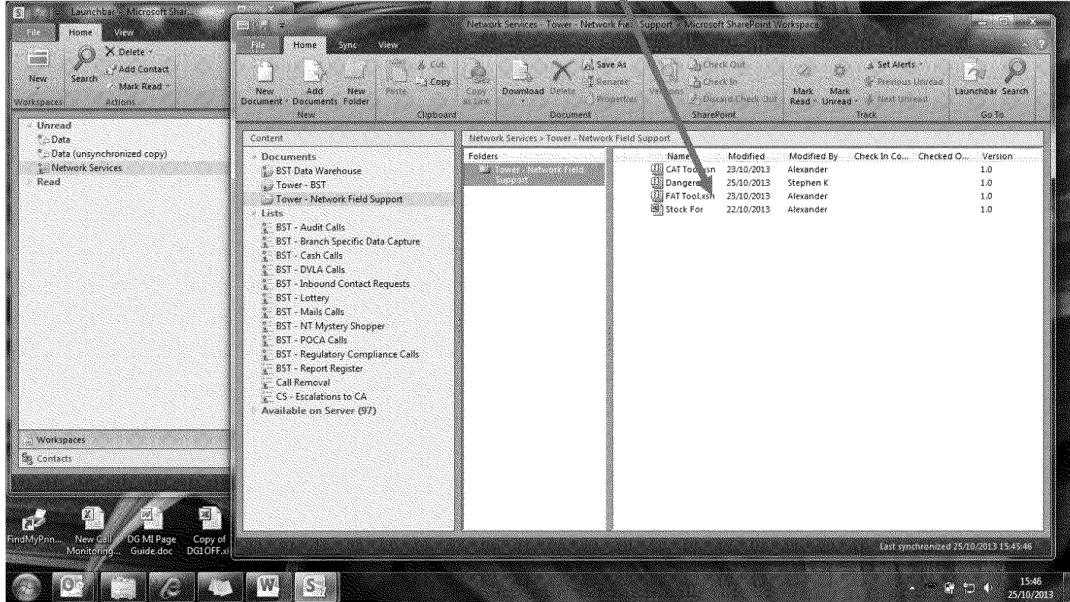
- Printing the Working Papers - All Branches
- Planning – to paste in the data from the All Branches Database, and some basic audit details
- CORE – all the core questions – there are now also some extra MI sections for 16, 24 and 25
- Procedural Security – all the security questions
- Government Services – IPS, AEI and DVLA questions – these are automatically marked N/A if the branch doesn't do them
- POCA – these questions can be marked as fully compliant or not 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
- 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 'Sync' tab along the top, and then click the 'Sync' button.



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



Working papers

You can print the working papers by clicking on 'Click this button to print CAT Working Papers'

Branch Code	116116	Branch Name	Date of Audit	24/06/2015	
Type the Branch Code here then press "Enter" to update the sheet. (Alternately, type the office name or part of it in the right hand box then press "Enter", select the office from the list & click "OK"). Also enter the date of audit, as this will then add/remove any questions applicable to that date.					
Office Selected: Wakes Colne The branch postcode is CO6 2DF - click here to view it in Google maps					
Any items to the right have been excluded from the CAT working papers. Select to include > <input type="button" value="AEI"/> <input type="button" value=""/> <input type="button" value="IPS"/> <input type="button" value=""/>					
<input type="button" value="Copy Office Data to Clipboard"/> <input type="button" value="Print the Office details"/> <input type="button" value="View the Office details"/> <input type="button" value="View the Compliance Aid"/> <input type="button" value="Print CAT Working Papers"/>					

Branch Code	Location Name	Trading Sub Status	Branch Type	BTS Offset	Address Line 1	Address Line 2	Address Line 3	Address Line 4	Address Line 5	Postcode	Telephone
116116	Wakes	Open	SPSO	D	Colchester	Wakes Colne			Colchester	Essex	CO6 2DF 017872

1. Paste String

Retrieve Branch Data from "All Branches Database"

Type in the Branch Code and press Enter, the details of the branch will be displayed.

Branch Code	116116	Branch Name	Date of Audit	24/06/2015
<p>Type the Branch Code here then press "Enter" to update the sheet. (Alternately, type the office name or part of it in the right hand box then press "Enter", select the office from the list & click "OK"). Also enter the date of audit, as this will then add/remove any questions applicable to that date.</p> <p>Office Selected: Wakes Colne</p> <p>The branch postcode is CO6 2DF - click here to view it in Google maps</p> <p>Any items to the right have been excluded from the CAT working papers. Select to include ></p> <p>AEI IPS</p>				
<p>Copy Office Data to Clipboard</p> <p>Print the Office details</p> <p>View the Office details</p> <p>View the Compliance Aid</p> <p>Print CAT Working Papers</p>				

Branch Code	Location Name	Trading Sub Status	Branch Type	BTS Offset	Address Line 1	Address Line 2	Address Line 3	Address Line 4	Postcode	Telephone
1161164	Wakes	Open	SPSO	D	Colchester	Wakes Colne			Colchester	Essex

Select 'Copy Office Data to Clipboard'

Paste the row into the CAT tool

Click into the green box on the Planning page. Do this by using keys 'Ctrl' and V.

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

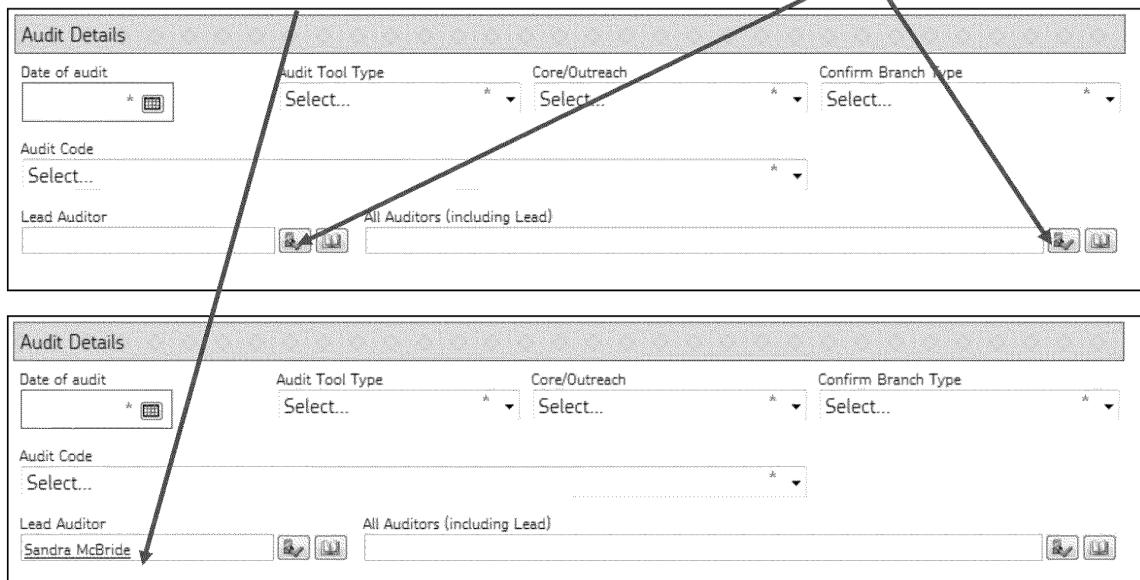
This will populate all the branch details on the planning page, automatically mark AEI/DVLA/IPS as NA if the branch doesn't do any of them, and enter the RSM/ASM/Contracts Advisor email addresses in the final confirmation screen.

Branch Details - auto filled from paste string					
Branch Code	Branch Address 1	Branch Type			
189349	32 - 34 Market Place	MSPO			
Branch Code 7 digits	Branch Address 2	Branch Trading Group			
1893491		D			
Branch Name	Branch Address 3	Segment			
Thirsk		National Multiple			
Phone	Branch Address 4	Partner (if applicable)			
GRO	Thirsk	Co-operative Group Ltd (TCG)			
Current Agent	Branch Address 5				
Co-operative Group Ltd (TCG) PM	North Yorkshire				
Branch Status	Branch Postcode				
Open	Y07 1LB				
Branch Equipment - auto filled from paste string					
Branch Terminals	Postshop Terminals	Poststations	POL Scales	P0 ATM	ATM Type
4	0	1	2	N	
Branch Services - auto filled from paste string					
DVLA	Bureau	Camelot Number	Asylum Seeker	AEI	Passports
Y	BdeC On Demand	464700		0	Y

2. Filling in the form

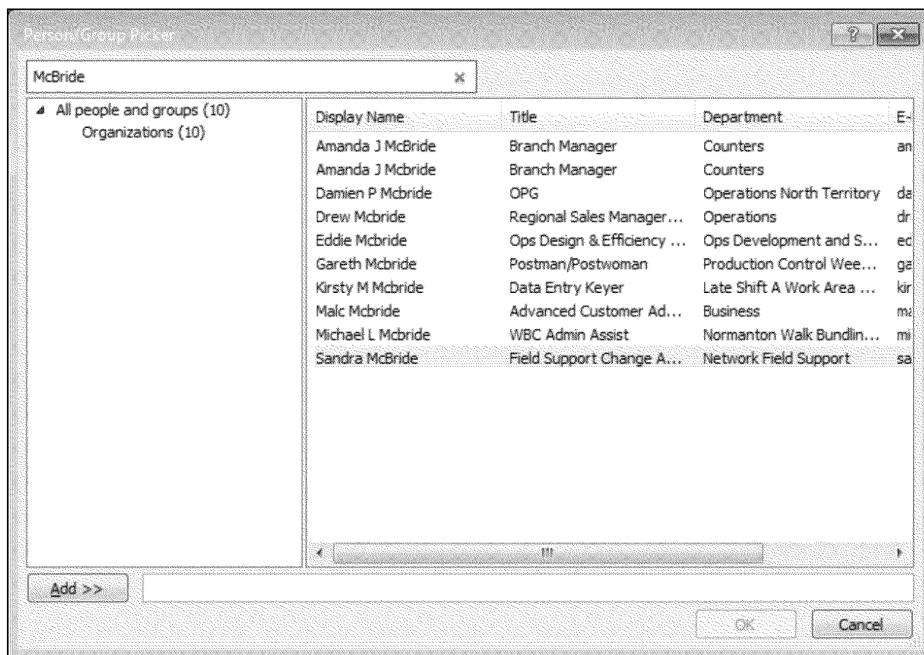
Planning

On the Planning page, you need to fill in the Audit Code, Date of audit, lead auditor and other auditors present. Note: The lead auditor and other auditor fields are connected to an active directory, and as such need to be filled in when online. Make sure you use the correct email name and include any initials. Click on the 'Check Name' icon to check your entry is correct – it will show a line under the name if it is correct.



The form consists of several fields: Date of audit (calendar icon), Audit Tool Type (dropdown with 'Select...' placeholder), Core/Outreach (dropdown with 'Select...' placeholder), Confirm Branch Type (dropdown with 'Select...' placeholder), Audit Code (dropdown with 'Select...' placeholder), and Lead Auditor (dropdown with 'All Auditors (including Lead)' placeholder and three icons: magnifying glass, pencil, clipboard). In the second screenshot, 'Sandra McBride' is selected in the Lead Auditor dropdown, and the three icons are visible.

You can also search for a name by clicking on the 'Add People from the address Book' icon. Type in the surname of the person and press Enter, this will show all people with that surname.



Select the person you require and click on **Add** then **OK**.

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: * 3
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CORE24 – If this is a failure you now need to enter the number of gaps for each test.

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: *																								
<p>Fill in the total number of staff that were missing receipts for each test. Then enter any usernames that still have any tests outstanding after the audit that branch standards will need to chase (you only need to enter each username once, no matter how many tests they have outstanding).</p> <table border="1"> <thead> <tr> <th>Data Protection</th> <th>Financial Services</th> <th>Homephone & Broadband</th> <th>Mails Compliance</th> <th>Inland Dangerous Goods</th> <th>International Dangerous Goods</th> <th>AML & Information Security</th> <th>DVLA</th> </tr> </thead> <tbody> <tr> <td>15/04/2013</td> <td>03/01/2014</td> <td>11/04/14</td> <td>28/10/2013</td> <td>17/06/2013</td> <td>02/01/2013</td> <td>09/08/2013</td> <td>07/02/2014</td> </tr> <tr> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> <td></td> </tr> </tbody> </table> <p>Horizon Username</p> <p><input checked="" type="checkbox"/> Add another username</p>			Data Protection	Financial Services	Homephone & Broadband	Mails Compliance	Inland Dangerous Goods	International Dangerous Goods	AML & Information Security	DVLA	15/04/2013	03/01/2014	11/04/14	28/10/2013	17/06/2013	02/01/2013	09/08/2013	07/02/2014								
Data Protection	Financial Services	Homephone & Broadband	Mails Compliance	Inland Dangerous Goods	International Dangerous Goods	AML & Information Security	DVLA																			
15/04/2013	03/01/2014	11/04/14	28/10/2013	17/06/2013	02/01/2013	09/08/2013	07/02/2014																			

You also need to fill in the Horizon names and tests missing for any staff that still haven't completed the tests after the audit, which will need follow ups. The extra MI is for provided to our clients who have requested this.

Comments

The comments box is on the bottom of each test type, and stores all the comments together, so they will all show together. If any tests are marked N/A or Not Tested then the details need to be included in the comments box. This also applies if a branch does not transact Government Services.

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:
Comments:		

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). These can be overwritten if it turns out that the branch does do them.

CORE	PROCEDURAL SECURITY	GOVERNMENT SERVICES	POCA
IPS			
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 (N/A for PO Locals)	Check 2 weeks under copies to ensure that they are fully completed, correct fees applied and retained as per guidelines.	IPS001:	
What would you do if a customer presented incorrect documentation, or the form contained errors? (N/A for PO Locals)	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:	

POCA

Each question has the standard four options. There are also buttons for quickly marking the whole section as compliant or not tested.

		<input type="button" value="Mark as fully compliant"/>	<input type="button" value="Mark as not tested"/>	
If a test is answered N/A or N/T record the test number and the reason why in the Comments box at the bottom of the page				
Question to be asked	Answer Required			Mark
When opening a POca account, what would you check for on the application form (P6629)? (N/A for PO Locals)	Ensure that Original Identification has not been retained by the branch to despatch with application.			POCA42: <input type="text"/>
When opening a POca account, what would you check for on the application form (P6629)? (N/A for PO Locals)	Make a visual check on corresponding Acceptable Evidence of Identity form (P6363) to ensure branch has taken Identification in support of application.			POCA43: <input type="text"/>
If Horizon on line is down and you have offered A. Try another position B. Try a BOI ATM if the branch have one. C. Try another PO	Make sure the branch staff know the emergency payment process: Obtain the customer's card Advise you can make an emergency payment of up to £20 per day but only if you are authorised to do so by obtaining authorisation from the banking team Complete the manual fraud checks on the card including a visual check of the customers signature Ask the customer how much they'd like to withdraw			POCA48: <input type="text"/>

Report

The RSM/ASM/Contracts Advisor email addresses are automatically populated but can be changed if necessary.

Please ensure that the Contract Advisor's full email address is entered and if it is missing you will need to type it in.

Any other internal email addresses that need to see the Compliance Audit must be typed or pasted into the 'Other' box. Make sure you enter the full email address. **You can only enter Post Office Ltd email addresses.**
Once the tool has been completed click on the button to email the report.

CAT > Report



Branch RSM/RGM
Branch ASM/CSCSM
Branch Contracts Advisor

Field Team Leader

Other email alerts needed (separate with ;)

Compliance Audit Report

The above branch has been audited, below are any conformance gaps found during the audit. The follow up questions and answers are also shown.
Branch Standards will post or email (depending on their preference) out a copy of the actions to the branch, and then telephone the branch within the next 2-3 weeks to ensure the actions have been carried out.

Further Comments

You can make further comments in the 'Comments' box at the bottom of the report.

This does not appear as a box unless you hover your mouse over it, see below (you will see your previous comments from the tests if you have made any). Click in the box that appears and type in any further comments you wish to add to the report.

Compliance Audit Report

The above branch has been audited, below are any conformance gaps found during the audit. The follow up questions and answers are also shown.

Branch Standards will post or email (depending on their preference) out a copy of the actions to the branch, and then telephone the branch within the next 2-3 weeks to ensure the actions have been carried out.

Code: CORE19
Area: Mails
Non Conformance: Scales not tested weekly.
Impact: Customers inconvenienced should an item be accepted and sent underpaid/overpaid.
Action Required: Staff to make sure that scales are tested weekly.
Question: How often do you test your scales? And where do you record this information?
Response: Weekly, anywhere as long as there is a record
Reference: Help > Help Home > F2 Postal Services > F2 General Information > F6 Q - S > F15 Scales > F5 Checking and Testing.
Help Link: [Postal Services - Scales - Checking and Testing](#)

Failed CORE19 - This is a test CAT

Confirmation

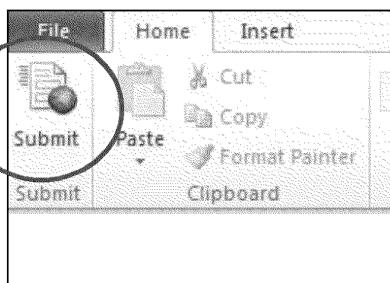
This is the final screen. Type in the postmaster's name and answer if a FAT was completed with this audit.

CORE	PROCEDURAL SECURITY	GOVERNMENT SERVICES	POCA
<p>Please enter the Agent/Operators letter name (e.g. Mr Smith, Mrs Jones), this will be used on the reports sent to the branch.</p> <input type="text"/> *			
<p>Was a FAT completed?</p> <input type="text"/> *			
<p>Confirmation</p> <p>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.</p> <p>Are you happy everything is filled in correctly, with the correct failures marked? <input type="text"/> Select... *</p> <p>You do not need to log your name, this will be captured automatically on submission. If you are not happy with what is showing in the file, then please email branchstandardsdataanalyst@postoffice.co.uk</p>			

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.

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: [Branch Code]-[Date of audit].



Saving

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 to update it by double clicking on it, just like you would a Word document.