

Message

From: Jo Milton [GRO]
on behalf of Jo Milton [GRO]
Sent: 24/05/2019 13:45:50
To: Zoe Brauer [GRO]
Subject: Privileged and Confidential, subject to legal professional privilege: Non-suspension Watch list and Suspension Rationale Doc
Attachments: CA Notification.xlsb; Case Details and Record of Decision Making_20190510.docx; 190524 Audit Chapters Word Docs only.zip

Afternoon Zoe,

Following up from the workshop this week, here's the things I agreed to send you.

I've attached:

1. **The Non-Suspension Watch list (the file is actually called CA Notification)**

This is the form that is used by a Contract Advisor to alert Branch Analysis of a branch they are NOT suspending, so that they can be kept on a watch list. 1st tab is for the analyst to complete and 2nd tab is for the Contracts Advisor to complete.

The Branch Analysis team say: "This form (which desperately needs improvement) and is on the list to get round to. The analyst completes a quarterly check on the branch sends their recommendation through, CA reviews and returns. Quarterly check can be brought forward if other risk/concern identified."

2. **The Suspension/Non Suspension Rationale document (the file is actually called Case Details and Record of Decision Making 20190510)**

This is filled in by the Contract Advisor to help them make the decision as to whether to suspend or not. It is most likely used when a variance is found at Audit, but could also be due to a Pmr losing their property interest, being arrested/investigated by Police, having civil proceedings brought against the Pmr, or a Pmr becoming insolvent. Once they work through the points in the document they'd send it off to their Manager and seek agreement to proceed with their decision.

3. **The Audit manual (selected parts)**

Once I started investigating the different folders (each on given a chapter number), it became apparent that some had very many associated forms, training manuals and documents and not all had a word document of that chapter. I've ignore all the extra docs and just submitted the word document that were there with a Chapter Name (Ch. 02 contains a lot of forms, Ch. 08 is the manual and instructions for filling in their audit form and Ch. 10 is how to fill in a P250). So you have:

Chapter 01 – Audit Plan Scheduling
Chapter 03 – Performing a Branch Audit (this would most likely be the main one_
Chapter 03a – Core Outreach Audits
Chapter 04 – Transfers
Chapter 05 – Closure Process without Horizon
Chapter 05 – Closure Workaid
Chapter 06 – Robbery Burglary Audits
Chapter 06 Robbery Burglary Workaid
Chapter 07 – Performing a Cash Centre Audit
Chapter 09 – Retention of Papers

Chapter 11 – Quality Assurance (They want to review this)

Just let me know if you need any of the associated docs for reference.

I'll pick up separately about the call for you, me and Rachel.

Thanks

Jo



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