

Filed on behalf of the:	Claimant
Witness:	H Rose
Statement:	1
Exhibits:	"HR2"
Date made:	04/10/06

IN THE HIGH COURT OF JUSTICE
QUEENS BENCH DIVISION

Claim No. HQ05X02706

BETWEEN:

POST OFFICE LIMITED

Claimant

- and -

LEE CASTLETON

Defendant

EXHIBIT "HR2"

This is the Exhibit marked "HR2" referred to in the Second Witness Statement of Helen
Rose dated *9th* October 2006.

STOCK ON HAND

Branch: NGVine Drive Code: 213377 Date: 23/03/04

DESCRIPTION	No	No	No	TOTAL	DESCRIPTION	No	No	No	TOTAL
00 1600 100 2nd Class	159	400		559	Swiftpack ROW (C4)				
00 1600 165 1st Class	285	600		2385	Swiftpack Euro (C4)				
	1p	66			Swiftpack WW (C5)				
	2p	200			Swiftpack WW (DL)				
00 7 114	4p	111			Swiftair (Sml)				
200 20 140	5p	47	200		Swiftair (Med)				
200 35 170	8p	227			Swiftair (Lge)				
00 39 198	10p				Swiftair (Europe)				
200 40 180	20p				Swiftair (Worldwide)				
200 43 186	33p				International Reply Coupons	7			
	34p	122			Airpack - Euro (obsolete)				
	1 + 6 Euro	107	50	164	Airpack - WW (obsolete)				
	41p				Airpack ROW (C3)				
	1 + 6 42p	44	25	76	Airpack Euro (C3)				
	1 + 6 47p	179	50	236	Airpack ROW (C4)				
	50p	84			Airpack Euro (C4)				
	1 + 6 68p	146	50	203	1st Class self adhesive (200)				
	£1.00	131			2nd Class self adhesive (200)				
	£1.50	69			1st Class self adhesive (100)	17			
	£2	32			2nd Class self adhesive (100)	11			
	£3	51							
	£5	21							
	19p				Stamp Vending £1.00p				
	27p				Books Vending £2.00p				
	37p				Self adhesive 6 x 2nd				
Christmas Stamps 53p					6 x 1st				
Christmas Stamps £1.12					Stamp 12 x 2nd	22			
Miscellaneous postage					books 12 x 1st				
Aerogrammes (Singles)	8				4 x Europe rate up to 40g				
Aero Discount Packs					4 x Rest of World rate up to 40g				
Pict Aerogramme Packs					6 x Euro (25)	25	13		
Xmas Air Letters					6 x 42p(25)				
Pict Air Letters (Singles)					6 x 58p(25)				
Air Cards - Singles x £1.04					Stamp 2nd x 10				
Air Cards singles x £1.35					Books 1st x 10				
Air Cards - Packs					Other 2nd x 4				
Special delivery Small	3				1st x 4				
Special delivery Large	5				4 x Euro (25)				
Special Delivery X Large					Greetings books				
Special Delivery 9:00am					Christmas Books 24 x 2nd				
Int Sign Euro					Christmas Books 12 x 1st				
Int Sign World					4 x 40p				
Air Sure Pack £6.99					4 x 65p				
Swift Air Pack £5.50					Miscellaneous stamp books				

DESCRIPTION	No	No	No	TOTAL	DESCRIPTION	No	No	No	TOTAL
Game Licences	Red				Postal Orders	50p	10		
	Green					£1	22		
	Blue					£2	3		
	Occasional					£3	7		
	Dealer					£4	10		
	Keeper					£5	3		
Philatelic	FDC's	62				£6	5		
Items	PCD's	39				£7	10		
	2+3	1				£8	1		
	2+5	2	2+2	2+6	14	£9	2		
	1+42	14				£10	8		
	2+30	7				£15	6		
	190 Miscellaneous	94	1			£20			
Discount	10 x 1st (50)				Coronation Postal Orders				
Stamp	10 x 2nd (50)				Commemorative Coins				
Books	4 x 1st (50)				Vehicle Licence Stamps		12	30	
	4 x 2nd (50)				TV Licence Stamps		92		
	4 x Euro (25)				Water Authority Stamps				
	4 x 40p (25)				British Gas Stamps £5				
	4 x 65p (25)				SEE Electricity stamps				
Self Adhesive	6 x 1st				Southern Electric S.S. £5				
Self Adhesive	6 x 2nd				Norweb Electricity S.S.				
Self Adhesive	12 x 1st				Swalec Electricity S.S.				
Self Adhesive	12 x 2nd				lobox ringtone vouchers				
	4 x Europe rate up to 40g				Littlewoods Scratchcards		19		
4 x Rest of World rate up to 40g					T-Mobile Pre-pay £20				
	6 X Euro (25)				T-Mobile Pre-pay £10				
	6 x 42p				Vodafone pay as you talk £5				
	6 x 68p				Vodafone pay as you talk £10				
Christmas	24 x 2nd				Vodafone pay as you talk £15				
Christmas	12 x 1st				Vodafone pay as you talk £25				
misc. discount stamp books					Virgin Pre Pay £10				
Home					Virgin Pre Pay £20				
Help					£5 PO Phonocard				
Stamps					£10 PO Phonocard		9		
					£20 PO Phonocard		8		
					£10 Int. PO Phonocard		20		
					O2 Pre Pay £10				
					O2 Pre Pay £20				
ON HAND AT COUNTER					BT Global £10				
Gas Tokens					BT Global £20				
Vehicle Licences					National Lottery Instant £1				
Milk Tokens	64				National Lottery Instant £2				
Electricity Tokens £1					National Lottery Instant £3				
Electricity Tokens £5	1150	33			National Lottery Instant £5				
Electricity Tokens £10									
Electricity Tokens £15									

I, HELEN ROBERTS, certify that the stock on hand at audit was counted by myself and was accurately recorded on this form for the
 audit leader to input to the computer
 Stock V21 - 6 Oct 03
 Certified By: GRO
 P32 (V20)

Marine Drive
15:15:56 23/03/2004

FMD 2133377

Page 1
CAP 50

Suspense Account - Office Copy

WARNING - Check the C/Fwd column for negative values. If present refer to the
Horizon User Guide for instructions on how to proceed

SU	Date	Product	Volume	Value	B/Fwd	C/Fwd
RD Cheques A						
TOTAL			0	0.00	0.00	0.00
RD Cheques B						
TOTAL			0	0.00	0.00	0.00
RD Cheques C						
TOTAL			0	0.00	0.00	0.00
Vouchers						
TOTAL			0	0.00	0.00	0.00
Shortages in Rems etc						
TOTAL			0	0.00	0.00	0.00
Burglary etc losses						
TOTAL			0	0.00	0.00	0.00
POL Cheques						
TOTAL			0	0.00	0.00	0.00
Migration UP						
TOTAL			0	0.00	0.00	0.00
Cash Shortages A						
AA		13/03/04 Loss A redeemed	1	11,351.79*		
TOTAL			1	11,351.79*	11,351.79	0.00
Cash Shortages B						
TOTAL			0	0.00	0.00	0.00
Cash Shortages C						
TOTAL			0	0.00	0.00	0.00
Cash Shortages D						
TOTAL			0	0.00	0.00	0.00
Prepurchases						
TOTAL			0	0.00	0.00	0.00
Cash Surpluses not yet adjusted A						
TOTAL			0	0.00	0.00	0.00
Cash Surpluses not yet adjusted B						

Machine Drive
15:35:56 23/03/2004

FAD 2135377

Page 5
CAP 5.

Suspense Account - Office Copy

WARNING - Check the C/Fwd column for negative values. If present refer to the
Horizon User Guide for instructions on how to proceed

SU	Date	Product	Volume	Value	B/Fwd	C/Fwd
TOTAL			0	0.00	0.00	0.00
Surpluses in Rems etc						
TOTAL			0	0.00	0.00	0.00
Migration UR						
TOTAL			0	0.00	0.00	0.00

*** END OF REPORT ***

SECURITY & AUDIT - CASH SUMMARY

BRANCH NAME Marine Drive CODE 213377 DATE 23.03.04

£100	£50	£20	£10	£5	£1 note	£2 coin	£1 coin
	200	28000	15000	3000		25	75
		1780	1040	370		400	260
						500	1500
							500
							20
	200	29780	16040	3370		968	2355

50p	20p	10p	5p	2p	1p	Unusable	Lottery	Euro
32	7 20	80	80	1 20	50	20	195	
250	80	6 60	3 10	18	1 30	120	330	
30	250	30	100		18	200	380	
		100	100		20	200	80	
			5		20	5		
312	337 20	137 40	208 90	19 20	59 80	345	955	

	£	P	Cheques on hand	Services	Unclaimed Payments	Rem Vouchers
£ 100			31.41	GAS		
£ 50						
£ 20						
£ 10						
£ 5						
£1 note						
£2 coin						
£1 coin						
50p						
20p						
10p						
5p						
2p						
1p						
scots/muts						
Lottery						
Euro						
	54132	50				

I hereby certify that I have counted the cash detailed above and can state that these figures are correct :-

Signed _____ Date _____

SUMMARY OF VOUCHERS ON HAND - NOT DESPATCHED

RECEIPTS	£	PAYMENTS	£
Giro Deposits		Other Giro Outpayments	
Giro Other		NS & I Withdrawals	
Giro Fees		Family Tax Credit	
NS & I Deposits		P&A Bulk	
BT Receipts		P&A Loose	
Quantum		T.V. Fees Refunded	
Rod Licences		Postal Orders Paid	
Temp First Licences		Travel Insurance Refunds	
Electricity Recharge		Instants Deactivated	
MVL Renewals		National Lottery Prizes	
DVLA Premium Service		Littlewoods Prizes	
Travel Insurance		MOD Payments	
Local Schemes		Cheques to PC	
Automated Products		Automated Products	
Personal Banking		I M O Paid	
Cheque Lottery Prizes		COBC	
National Lottery Sales		Debit Cards	
Instant Activations		Benefit Encashments	
Moneygram Send		Moneygram Receive	
Bureau - Commission		Bureau - Revalue	
Bureau - Revaluation		BDC - T Chqs to First Rate	
Bureau - Travellers Chqs		P.O.F.E.S Change	
Pre Order Foreign Exchange		Co-op Cheques Encashed	
Redirections - Business		MVLSS Redeemed	
- Social		TVLSS Redeemed	
T.V. Licence Fees		WASS Redeemed	
CARRS Parcels		GAS Redeemed	
UKPS Fees		Electricity SS Redeemed	
UKPS Charges		UKPS Fee Refund	
Sunrise Franking Machine		UKPS Charge Refund	
Sunrise Other		I R C Redeemed	
Loan To PO		Promotional Vouchers	
Postage Labels		ATM Withdrawal	
		Green Giros	

P&A	Green Giros	Miscellaneous	Rems In	Rems Out

42 50 MARINE DRIVE X - 16.4.04
NO PREVIOUS AUDIT

213337	MARINE DRIVE SPSC	48	55723.67	59232.85	-3509.18
213337	MARINE DRIVE SPSC	46	40961.99	49205.09	-8243.10
213337	MARINE DRIVE SPSC	45	66096.17	72826.18	-6730.01
213337	MARINE DRIVE	44	62200.63	68954.72	-6754.09
213337	MARINE DRIVE SPSC	43	67432.05	71663.02	-4230.97
213337	MARINE DRIVE SPSC	48	55723.67	59232.85	-3509.18
213337	MARINE DRIVE SPSC	46	40961.99	49205.09	-8243.10
213337	MARINE DRIVE SPSC	45	66096.17	72826.18	-6730.01
213337	MARINE DRIVE	44	62200.63	68954.72	-6754.09
213337	MARINE DRIVE SPSC	43	67432.05	71663.02	-4230.97

Suspense

wk 47 8243.10
wk 48 8243.10
wk 49 11752.78
wk 50 11752.78
wk 51 11752.78

213337 2503 17/09/2003

1042 862.32 0.00 CHQ TO
PROCESSI
NG CTR 12/02/2004

WK 48

213337 MARINE DRIVE
MARINE DRIVE 2503 17/09/2003

1049 0.00 65.00 PRIZE
PAYMENT
S 16/01/2004

WK 43

213337 MARINE DRIVE 2503 17/09/2003

0030 534.00 0.00 LOTTERY
GAME 16/01/2004

WK 43

213337 MARINE DRIVE 3403 19/11/2003

0081 360.00 0.00 INSTANT
WIN
ACTIVATE 16/01/2004

WK 43

213337 Marine Drive 46 H13041710 WEEK 46 £8243.10 LOSS UNAUTHORISED
ACCUMULATED LOSS OVER LAST 4
WEEKS. HARDSHIP APPLIED FOR

213337 Marine Drive 44 H13005643 WK44 £6754.09 LOSS
UNAUTHORISED UNIDENTIFIED

417

43

4230.97

213337	MARINE DRIVE	NRACR	05	75	717151 717225 23/02/2004
213337	MARINE DRIVE	NRAS	05	5	5029926 5029930 23/02/2004
213337	MARINE DRIVE	NRACR	04	25	7788701 7788725 22/08/2003
213337	MARINE DRIVE	NRACR		75	6114201 6114275 17/02/2003
213337	MARINE DRIVE	NRAS		5	4030536 4030540 17/02/2003

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Security Feedback Form A – Version 6

To help us improve the way we audit branches, it would be appreciated if you could spare the time to complete this questionnaire. Completed questionnaires are not seen by inspectors and individual responses are treated confidentially.

It would help us in our improvements if you signed this sheet and included your branch FAD code, but if you prefer not to, please send it back anonymously.

Consider the statements below and:

- Place an X in the box against the statement that best describes your views.
- Where an unsatisfactory mark has been given, please comment on the issue in the box provided.

1. The purpose of the visit and the approach to be used were clearly communicated to me at the start of the audit.

Very satisfied	☐	Comments
Quite satisfied	☐	
Neither satisfied nor dissatisfied	☐	
Dissatisfied	☐	
Not at all satisfied	☐	

2. I was kept sufficiently informed of progress during the course of the audit.

Very satisfied	☐	Comments
Quite satisfied	☐	
Neither satisfied nor dissatisfied	☐	
Dissatisfied	☐	
Not at all satisfied	☐	

3. The office was not closed longer than necessary for the inspectors to count cash and essential stock items.

Very satisfied	☐	Comments
Quite satisfied	☐	
Neither satisfied nor dissatisfied	☐	
Dissatisfied	☐	
Not at all satisfied	☐	

4. I was approached for information in a manner, which minimised inconvenience to me and my customers.

Very satisfied	☐	Comments
Quite satisfied	☐	
Neither satisfied nor dissatisfied	☐	
Dissatisfied	☐	
Not at all satisfied	☐	

5. The approach taken by the inspectors was courteous, constructive and positive.

Very satisfied	☐	Comments
Quite satisfied	☐	
Neither satisfied nor dissatisfied	☐	
Dissatisfied	☐	
Not at all satisfied	☐	

6. All stock and records were returned to me in a neat and tidy manner.

Very satisfied	☐	Comments
Quite satisfied	☐	
Neither satisfied nor dissatisfied	☐	
Dissatisfied	☐	
Not at all satisfied	☐	

7. The inspectors showed adequate knowledge and understanding of the areas audited.

Very satisfied	☐	Comments
Quite satisfied	☐	
Neither satisfied nor dissatisfied	☐	
Dissatisfied	☐	
Not at all satisfied	☐	

8. The audit findings were clearly communicated and I was given the opportunity to discuss the audit findings at the close of the audit meeting.

Very satisfied	☐	Comments
Quite satisfied	☐	
Neither satisfied nor dissatisfied	☐	
Dissatisfied	☐	
Not at all satisfied	☐	

9. Overall how satisfied are you with the Audit & Inspections Team?

Very satisfied	☐	Comments
Quite satisfied	☐	
Neither satisfied nor dissatisfied	☐	
Dissatisfied	☐	
Not at all satisfied	☐	

We would appreciate you making any additional or general comments in this box

Signed..... Branch..... FAD

Thank you for taking the time to complete this questionnaire, please return it to:

Information Support
Audit & Inspections
Cash Logistics & Security
Post Office Ltd
3 Infirmary Street
Leeds LS1 1AJ

COMPLIANCE AUDIT TESTS

INDEX

Number	Test
1	Horizon System Controls
2	Cash Account
3	Stock Management
4	Cash Management (flexible planning branches)
4a	Cash Management (non flexible planning branches)
5	Royal Mail
6	Franking Machines
7	Stamp Vending Machines
8	Alliance & Leicester Commercial Banking
9	National Savings
10	National Lottery
11	Money Laundering
12	Littlewoods Scratchcards
13	Bureau De Change
14	Foreign Exchange Service
15	Moneygram
16	Travel Insurance - On Demand
17	Department of Work & Pensions
18	Motor Vehicle Licences
19	Environmental Agency Rod Fishing Licences
20	UK Passport Agency
21	Utility Schemes
22	Local Transport Schemes
23	Card Account
24	On Line Banking
25	Debit Card
26	Self - Fill ATMs

COMPLIANCE AUDIT TESTS - ALL BRANCHES

Location: *Marne Drive*Prepared by (print) : *C Taylor*Prepared by (signature) : **GRO**Date: *23-3-04*Recommendations
Noted On Report

Date:

Lead Inspector

Signature:

Test Number, version & name: *1 Horizon V28*Control objective : *1*Population Size: *3* Sample Size: *1* % Weeks: *To*

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

Conclusion to CO Pmmc + Pn to be held Separately

Recommendations for CO Pn to be held Separately from Pmmc

Control objective : *2*Population Size: *1* Sample Size: *1* % Weeks: *To*

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

Conclusion to CO users to be disabled when on leave

Recommendations for CO Disable users

Control objective : 3Population Size... 2 Sample Size... 2% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
Comments																	

Conclusion to CO	<u>Controls in place</u>																

commendations for CO	<u>None</u>																

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
Comments																	

Conclusion to CO																	

Recommendations for CO																	

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

Conclusion to CO

Recommendations for CO

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

Conclusion to CO

Recommendations for CO

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

Conclusion to CO

Recommendations for CO

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

Conclusion to CO

Recommendations for CO

POST OFFICE LIMITED
SUB OFFICE - PROCEDURAL SECURITY INSPECTION



BRANCH NAME MARINE DRIVE FAD CODE 213337
 SUBPOSTMASTERS NAME LEE CASTLETON RLM/AM CATH OGELSBY
 RESIDENTIAL (YES/NO) NO RISK SCORE
 DATE OF INSPECTION 23-3-04 INSPECTED BY C. TAYLOR

1. OPENING /CLOSING, INCLUDING LUNCHTIME (Pages 7-9 Counter Attack)

1.1 Opening/Initial Entry Procedures

How does the subpostmaster get to the premises?

	Yes	No	ACTION POINTS
Varied Route	☐	☐	
Parking Pattern	☐	☐	
Check for strangers/observers	☐	☐	
Check for signs of forced entry	☒	☐	
Check alarm box for tampering	☒	☐	
Is entry off a well lit thoroughfare at the front of the branch?	☐	☐	

How does the subpostmaster enter the premises? (Pages 8/9 Counter Attack).

	Yes	No	ACTION POINTS
Two Person Entry	☐	☒	
Meet at predetermined point away from the branch	☐	☐	
One searches, one as lookout	☐	☐	
Return to entry door and exit to give the all clear	☐	☐	
Non return procedure	☐	☐	

	Yes	No	ACTION POINTS
Single person entry	☐	☒	
Pre arranged telephone call with password	☐	☐	
Co-operation with another trader/friend	☐	☐	

	Yes	No	ACTION POINTS
Residential	☒	☐	
Check telephone before entry	☒	☐	
Lights on before entry	☒	☐	

How is initial entry gained?

Through rear door

1.2 Opening for Business (Page 11 Counter Attack)

What are the preparations for opening?

Correct use of Safe Time Overlock	Yes	☒	No	☐
Counter Cash and Stock (60 - 90 minutes supply)	Yes	☒	No	☐
Secure safe prior to opening	Yes	☒	No	☐
Are procedures for the security of staff prior to opening adequate?	Yes	☒	No	☐
Use of electric door bolt	Yes	☐	No	☐

ACTION POINTS

N/A

1.3 Closing Procedures, Lunch and Evening (Pages 21-23 Counter Attack)**What does the subpostmaster do when the branch is closed?**

Secure Cash, Stock and Date Stamp in safe.	Yes	☒	No	☐
Set Alarms/Time Overlock, etc.	Yes	☒	No	☐
Is supplementary equipment used (Time Delay/ Time Delay Compartment / Time Overlock?	Yes	☒	No	☐
Is the ETOL set button pressed?		☐		☐
Check private business/customer area clear	Yes	☐	No	☐
Confirm entire premises clear before exiting	Yes	☒	No	☐
Check shop door/windows/skylights shut and locked	Yes	☒	No	☐
Set private alarm where available	Yes	☒	No	☐
Confirm access is clear	Yes	☒	No	☐
Is cash and stock checked and secured first on balancing day?	Yes	☒	No	☐

ACTION POINTS

N/A
Shop open after PO

2. CASH AND STOCK (Pages 13-14 Counter Attack)

Is ONCH in excess of target/requirements/safe limit?	Yes	☒	No	☐
Is the safe kept locked when not in use with the key removed?	Yes	☒	No	☐
Is bulk cash and stock secured out of sight during business hours?	Yes	☒	No	☐
Are parcel hatch and counter access door secured at all times?	Yes	☒	No	☐

ACTION POINTS

3. REMITTANCE ACCEPTANCE & COLLECTION, GIRO BUSINESS DEPOSIT ACCEPTANCE (Page 17 Counter Attack)**How does the subpostmaster receive remittances and Giro Business Deposits?****Accepted/transferred via:**

Cash Transfer Unit	☐	Parcel Hatch	☐	Parcel Transfer Unit	☐
Parcel Siphon	☐	2 Door Siphon	☐	Counter Access Door	☒

Door

Given priority treatment
Is secure area accessed by
depositors?
Are deposits secured in the safe as
soon as practicable?
Are outward "Cash & Stock"
remittances kept in the safe until arrival
of collection officer?
Is the identity of Cash in Transit
Collection Officer established before
handing over a remittance?
Are deposits received outside business
hours (including lunch time closure)?

Yes	No
☒	☐
☐	☒
☒	☐
☐	☒
☒	☐
☐	☒

ACTION POINTS

* NO but counter access
door open to Cashco

* outward rem's are
kept out

4. MAIL DELIVERY AND ACCEPTANCE (Page 18 Counter Attack)

How does the subpostmaster receive mail?

Do Royal Mail/Carriers have access to
secure area?
Is identity of personnel
checked/verified?
Is mail delivered outside business
hours (including lunch time closure)?

Yes	No
☐	☒
☒	☐
☐	☒

ACTION POINTS

* Royal mail do not have
access but counter
access door open rather
than mail transferred
through Parcel hatch

5. PARCEL/PACKET ACCEPTANCE (Page 13 Counter Attack)

How does the subpostmaster accept Parcels/Packets?

Is parcel hatch open only when and as
far as necessary?
Is parcel hatch closed immediately
after use?
Is parcel hatch used as a general
purpose serving position
Are parcels/packets accepted via
counter access door

Yes	No
☒	☐
☒	☐
☐	☒
☐	☒

ACTION POINTS

6. ADMITTANCE OF VISITORS (Page 19 Counter Attack)

How does the subpostmaster deal with visitors?

Are all visits pre-arranged (including
ROMEC engineers, Safe Company
staff)?
Is evidence of identity sought and
verified?
Is a written record of visitors
maintained?

Yes	No
☐	☒
☒	☐
☐	☒

ACTION POINTS

* Visitor book to
be maintained

Are visitors left unattended in the secure area?
Is the subpostmaster aware of the procedures for admittance of auditors?

Yes ☐ No ☒
Yes ☒ No ☐

7. KEY MANAGEMENT (Pages 29-31 Counter Attack)

Where does the subpostmaster keep keys during business hours?

CUSTODY OF KEYS	Numbers of keys (or N/A)	Holder of working set	Holder of reserve set	Notes
1. Safe(s)	2	1	1	On its own concealed in secure area. Spare at home (As per Counter Attack).
2. PO alarm "C"				In possession or kept in lockable drawer during day. Keep spare in the safe.
3. PO alarm "B"				Keep both in the safe. (If time overlock fitted, one in safe, other kept secured).
4. Counter access door	3	2	1	In possession or kept in lockable drawer during day.
5. Interface				Keep both in the safe. (If time overlock fitted, one in safe, other kept secured).

ACTION POINTS

Have the keys been separated as per standard PO instructions?
Are the operational/reserve keys rotated six monthly?
Are all official keys removed from the premises when unoccupied?
Are keys kept under secure conditions at place of residence?

Yes ☐ No ☒
Yes ☐ No ☒
Yes ☒ No ☐
Yes ☒ No ☐

* keys separated at time of audit
* Rotate safe keys
Sub-postmaster Stuart
17-7-03

8. USE OF POL ALARMS (Page 33 Counter Attack)

ACTION POINTS

Are all alarms tested on a weekly basis and written test record maintained?
Is the subpostmaster aware of the fault reporting procedure?
Are Europlex PIN numbers changed periodically and after Romec engineer attendance (frequency of changes noted)?
Are local police advised of changes of key holder?
Are all staff aware of POL guidelines on use of alarms?

Yes ☐ No ☒
Yes ☒ No ☐
Yes ☐ No ☒
Yes ☐ No ☒
Yes ☐ No ☒

* No record maintained
* Pin number to be changed periodically
* Subpostmaster has not been away but was unaware of change to key holder

Subpostmaster unaware of use of alarms

9. STAFFING

ACTION POINTS

Is the branch staffed by dedicated staff?
Do staff remain within the secure area

Yes ☒ No ☐
Yes ☒ No ☐

at all times?

If 'NO' is security compromised?

Is secure area always staffed?

Yes

No

No

10. CCTV CAMERAS

Is camera signage exhibited in a prominent position at entrance?

Yes

No

Are CCTV tapes, numbered, kept in secure cabinet, used in correct order?

Yes

No

Is Camera Surveillance booklet held, and been read by all staff?

Yes

No

Are daily checks made at the start of each day?

Yes

No

Is a log book maintained, with daily record and incidents recorded?

Yes

No

ACTION POINTS**11. 35 MM CAMERAS**

Is camera signage exhibited in a prominent position at entrance?

Yes

No

Are Camera Surveillance booklet and Operating Instructions held, and been read by all staff?

Yes

No

Is a log book maintained, with daily tests and incidents recorded?

Yes

No

Are daily checks made at the start of each day?

Yes

No

Is a replacement film held?

Yes

No

ACTION POINTS**12. SMOKE & DYE PACKS**

Are packs kept with working cash and secured in safe overnight?

Yes

No

If NO is there a specific written agreement on site.

Yes

No

Are packs checked for ticking and is the start transmitter at exit showing a green light at the start of each day?

Yes

No

It is confirmed that packs are NOT taken outside of secure area.

Yes

No

ACTION POINTS**13. LOTTERY (Page 49 Counter Attack)**

Is cash in private till limited to £250?

Yes

✓

No

Is cash transferred to safe at end of day?

Yes

No

✓

Is the display of activated Lottery Instants kept to a minimum?

Yes

✓

No

ACTION POINTS

It has been up until the last week

14. COUNTER ATTACK BOOKLET ✓ ~~Security~~ Security counts on site

Can a copy be produced?

Yes

☒

No

☒

ACTION POINTS

No Security Counts

Have the contents been read and understood by the subpostmaster and staff? ~~Security counts~~

Yes

☒

No

☐

15. HOSTAGE POLICY (Page 46-47 Counter Attack)

ACTION POINTS

Are the subpostmaster and staff aware of the POL Hostage Policy?

Yes

☐

No

☒NOT aware of
hostage policy

Do they understand that the Freephone telephone number must only be used for the purpose it is intended?

Yes

☐

No

☐

Is the key fob, with Freephone number, attached to the premises or safe keys?

Yes

☐

No

☐

Are Freephone number labels stuck to telephones at residence and in the office?

Yes

☐

No

☒Labels to be stuck
at home and in
office

16. MONEY LAUNDERING

ACTION POINTS

Is there is a money laundering pack available?

Yes

☐

No

☒No money laundering
pack

Are the subpostmaster and staff aware of the regulations and the money laundering Helpline telephone number?

Yes

☒

No

☐

17. CRIME STOPPERS

ACTION POINTS

Is the Crime Stoppers poster displayed?

Yes

☒

No

☐

18. REPORTING OF INCIDENTS (Pages 41-44 Counter Attack)

ACTION POINTS

Are the subpostmaster and staff aware that all incidents, including fraud, failed attempts and vandalism should be reported?

Yes

☒

No

☐

Are they aware that any media enquiries must be referred to the public relations team via the Helpline?

Yes

☒

No

☐

19. PERSONAL SECURITY AT HOME (Pages 25-27 Counter Attack)

ACTION POINTS

Are staff aware of current POL guidelines on safeguarding themselves out of business hours and at home?

Yes

☒

No

☐

Are arrangements for dealing with visitors at home satisfactory?
Is the identity/validity of a call to attend the office out of hours verified?
Does the Subpostmaster attend the office alone if called out?
Are Police advised and requested to attend?

Yes	☒	No	☐
Yes	☐	No	☐
Yes	☒	No	☐
Yes	☐	No	☒

On Site
Subpostmaster would attend come down
On his own
Police would not be requested to attend

20. PERSONAL GUIDE TO SECURITY

Can a copy be produced?
Has its contents been read understood (including assistants)?

Yes	☐	No	☐
Yes	☐	No	☐

ACTION POINTS

Any security weaknesses not covered in the previous sections/ continuation.

APPENDIX A

OPEN PLAN OFFICES

Are the levels of cash, stock and motor vehicle licences held at open plan positions kept to a minimum? (A maximum of £500 (amount currently under review) of cash must be at risk at each open plan position, including the amount available from the TCD).

Yes	☐	No	☐
-----	--------------------------	----	--------------------------

ACTION POINTS

--

Is either cash kept in the Teller Cash Dispenser (TCD) and/or the isolation unit?	Yes		No		
Do transfers of TCD cassettes and storage bins and/or isolation units take place under secure conditions outside opening hours?	Yes		No		
Are TCD cassettes and storage bins and/or isolation unit keys, including time delay keys, held in the secure area at all times?	Yes		No		
Are PIN codes confidential to each user?	Yes		No		
Is the time delay lock fitted to the TCD set during business hours?	Yes		No		
Is the pedestal unit transferred to the secure area when not in use?	Yes		No		
Is all cash, stock and motor vehicle licenses kept in a locked drawer until required and secured in the safe(s) overnight?	Yes		No		
Are stamp portfolios and date stamps held on retaining chains and transferred to the secure area when not in use?	Yes		No		
Are parcels and packets kept in locked accommodation?	Yes		No		

COMPLIANCE AUDIT TESTS - ALL BRANCHES

Location: Marine DrivePrepared by (print): HOLLINGWOODPrepared by (signature): GRODate: 23-3-04Recommendations
Noted On Report

Date:

Lead Inspector

Signature:

Test Number, version & name: AML v28Control objective : 1Population Size...2... Sample Size...50% Weeks...1 To...52

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

Conclusion to CO MERO not knowRecommendations for CO Marie PerryControl objective : 2Population Size...2... Sample Size...50% Weeks...1 To...52

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

Conclusion to CO CIPRecommendations for CO None

Control objective : 3

Population Size... 2 Sample Size... 100 % Weeks... To S2..

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	X/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
Comments																	

Conclusion to CO	No P4690 on hand

commendations for CO	Order P4690

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
Comments																	

Conclusion to CO

Recommendations for CO

Control objective :

Version one prepared by Paul Holland

435

25

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

Conclusion to CO

Recommendations for CO

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

Conclusion to CO

Recommendations for CO

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
Comments																	

Conclusion to CO

Recommendations for CO

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
Comments																	

Conclusion to CO

Recommendations for CO

COMPLIANCE AUDIT TESTS - ALL BRANCHES

Location: Marine Drive
Prepared by (print): C TAYLOR
Prepared by (signature): GRO
Date: 23.3.04

Recommendations Noted On Report	
Date:	
Lead Inspector Signature:	

Test Number, version & name: Debit Cards 25 v28

Control objective : 1

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

Conclusion to CO Repeval on hand Controls in place

Recommendations for CO None

Control objective : 2

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments None on hand

Conclusion to CO Controls in place

Recommendations for CO None

Control objective : 3

Population Size.....0..... Sample Size.....100....% Weeks.....To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
Comments																	

Conclusion to CO	none on hand																

commendations for CO	aware of procedures																

Control objective :

Population Size..... Sample Size.....% Weeks.....To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
Comments																	

Conclusion to CO																	

Recommendations for CO																	

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

Conclusion to CO

Recommendations for CO

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

Conclusion to CO

Recommendations for CO

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

Conclusion to CO

Recommendations for CO

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

Conclusion to CO

Recommendations for CO

COMPLIANCE AUDIT TESTS - ALL BRANCHES

Location: Marine Drive
Prepared by (print): C TAYLOR
Prepared by (signature): **GRO**
Date: 23-3-04

Recommendations Noted On Report	
Date:	
Lead Inspector Signature:	

Test Number, version & name: On line banking 24 v28

Control objective : |

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
Comments None on hand Aware of procedures																	
Conclusion to CO P1091 + P4677 on site																	
Recommendations for CO P6217 Customer incident + description forms not on site																	

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
Comments																	
Conclusion to CO																	
Recommendations for CO																	

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
Comments																	

Conclusion to CO

commendations for CO

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
Comments																	

Conclusion to CO

Recommendations for CO

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

Conclusion to CO

Recommendations for CO

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

Conclusion to CO

Recommendations for CO

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

Conclusion to CO

Recommendations for CO

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

Conclusion to CO

Recommendations for CO

COMPLIANCE AUDIT TESTS - ALL BRANCHES

Location: Marine DrivePrepared by (print): HELEN HOLLANDPrepared by (signature): GRODate: 23/3/04Recommendations
Noted On Report

Date:

Lead Inspector

Signature:

Test Number, version & name: E TOP UP . V28 27Control objective : 1Population Size..... Sample Size..... 100% Weeks S1 To S2

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

Conclusion to CO

CIP

Recommendations for CO

NONEControl objective : 2Population Size..... Sample Size..... 100% Weeks S1 To S2

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

Conclusion to CO

CIP

Recommendations for CO

NONE

Control objective : 3

Population Size.....2..... Sample Size.....100%..... Weeks..... To 52.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
Comments																	

Conclusion to CO	CIP

Recommendations for CO	NONE

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
Comments																	

Conclusion to CO	

Recommendations for CO	

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

Conclusion to CO

Recommendations for CO

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

Conclusion to CO

Recommendations for CO

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
Comments																	

Conclusion to CO

Recommendations for CO

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
Comments																	

Conclusion to CO

Recommendations for CO

COMPLIANCE AUDIT TESTS - ALL BRANCHES

Location: Marine Drive

Prepared by (print): AIGEN HOLLAND

Prepared by (signature) **GRO**

Date: 23.3.04

Recommendations
Noted On Report

Date:

Lead Inspector

Signature:

Test Number, version & name: CASH ACCOUNT. V28 02

Control objective : 1

Population Size: 8 Sample Size: 100 % Weeks: 44 To: 51

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	X/N	Y/N	X/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

NA NA

Conclusion to CO - WK 51 not signed or DIS

- problems in the office since WK 43
not adjusting losses

Recommendations for CO

- losses + gain to be adjusted weekly
- CIA to be signed + OS on completion

Control objective : 2

Population Size: 5 Sample Size: 100 % Weeks: 47 To: 51

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	X/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

Conclusion to CO amount in suspense account authorised from
horizon but Run aware.

Recommendations for CO Ensure only amounts authorised are
held in suspense

Control objective : 3

Population Size.....10..... Sample Size.....100% Weeks 50 To 51

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
Comments																	

Conclusion to CO	CIP

commendations for CO	NONE

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
Comments																	

Conclusion to CO	

Recommendations for CO	

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

Conclusion to CO

Recommendations for CO

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

Conclusion to CO

Recommendations for CO

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

Conclusion to CO

Recommendations for CO

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

Conclusion to CO

Recommendations for CO

COMPLIANCE AUDIT TESTS - ALL BRANCHES

Location: SHARNE DRIVEPrepared by (print) : C. TAYLOR

Prepared by (signature) :

Date: 23-3-04**GRO**Recommendations
Noted On Report

Date:

Lead Inspector

Signature:

Test Number, version & name: Card Account at PO 23 v28

Control objective : 1

Population Size 0 Sample Size 100% Weeks To

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

Conclusion to CO Controls in placeRecommendations for CO None

Control objective :

Population Size 8 Sample Size 0 % Weeks To

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

None on handConclusion to CO Controls in placeRecommendations for CO None

Control objective : 3

Population Size..... Sample Size.....% Weeks.....To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
Comments None on hand aware of procedure																	

Conclusion to CO	Controls in place

Recommendations for CO	None

Control objective : 4

Population Size..... Sample Size.....% Weeks.....To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
Comments																	

Conclusion to CO	Controls in place

Recommendations for CO	None

Control objective :

5
Population Size.....0..... Sample Size.....% Weeks 48 To 52..

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
Comments None on hand																	

Conclusion to CO

Recommendations for CO

Control objective : 6

Population Size.....0..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
Comments none on hand																	

Inclusion to CO Subpostmaster aware of procedures

Recommendations for CO Controls in place

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
Comments																	

Conclusion to CO

Recommendations for CO

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
Comments																	

Conclusion to CO

Recommendations for CO

POST-AUDIT ACTIVITY

<i>For completion by the Lead Inspector</i>	Date	Initial	Remarks
Closing meeting performed	23.03.04	HH	
P&A books returned		HH	NA
Any additional report sent - via email	25.03.04	HH	
Serial numbers verified on site		HH	NA
Rems checked on site via Post Audit Activity		HH	NA
Cheques to processing centre verified on site		HH	NA
Travellers Cheques serial numbers verified on site		HH	NA
MVL serial numbers verified on site		HH	NA
Cash Usage sheet completed	23.03.04	HH	
Unused documents deleted	23.03.04	HH	r&b
Summary form completed	23.03.04	HH	
File e-mailed to P32 File	25.03.04	HH	
Audit papers filed	25.03.04	HH	

<i>For completion by Typist</i>	Date	Initial	Remarks
Report despatched to auditee			

<i>For completion by Post Audit Support</i>	Date	Initial	Remarks
Rems checked (SAPADS)			
Verify cheques to processing centre to Mainframe	13-Apr-04	dh	
Serial numbers checked			
DVLA sheet sent (if complete)	n/a		
Stock rem's checked			
Error notice report checked	n/a		

	Yes	No
Travellers Cheque serial numbers checked on site	☐	☐
MVLs checked on site	☐	☐

Rem pouch numbers

<i>For completion by Planning team</i>	Date	Initial	Remarks
PAF discrepancy follow up activity completed			

Rams

BRANCH	Marine Drive	CODE	213337
PREPARED BY	Heleen Hollingworth		
	WK 52		WK 52
	23.03.04		23.03.04
CASH REMITTANCES		OUTWARD	
INWARD			
THU	30240.00	THU	
FRI		FRI	
SAT		SAT	
MON		MON	
TUE		TUE	
WED		WED	
Cheque figure		Cheque figure	
Foreign currency		Foreign currency	
TOTAL	30240.00	TOTAL	

STOCK REMITTANCES RECEIVED	Subsequent to & up to audit	STOCK REMITTANCES RETURNED	Subsequent to & up to audit	Pouch numbers of any rams prepared for despatch prior to audit.
Game Licences		Game Licences		
Philatelic items		Philatelic items		
1st Class stamps		1st Class stamps		
2nd Class stamps		2nd Class stamps		
Postage - Other	368.00	Postage - Other		
Books - Vending		Books - Vending		
Books - Other		Books - Other		
1st Class self adhesive		1st Class self adhesive		
2nd Class self adhesive		2nd Class self adhesive		
Discount Waste Stamps		Discount Waste Stamps		
BT phone cards		BT phone cards		
30		30		
50		50		
100		100		
Home Help/Care Stamps		Home Help/Care Stamps		
Postal Orders - Face Value		Postal Orders - Face Value		
PO Fees		PO Fees		
Band 1		Band 1		
Band 2		Band 2		
Band 3		Band 3		
Band 4		Band 4		
Band 5		Band 5		
Band 6		Band 6		
London Boroughs Schemes		London Boroughs Schemes		
Commemorative Coins		Commemorative Coins		
Vehicle Licence Stamps		Vehicle Licence Stamps		
TV Licence Stamps		TV Licence Stamps		
Water Authority stamps		Water Authority stamps		
British Gas Stamps		British Gas Stamps		
SEE Board Electricity Stamps		SEE Board Electricity Stamps		
Nonweb Electricity Stamps		Nonweb Electricity Stamps		
Swalec Electricity Stamps		Swalec Electricity Stamps		
Jobox ringtone vouchers		Jobox ringtone vouchers		
Smart Card £20		Smart Card £20		
Littlewoods Lotto		Littlewoods Lotto		
Orange £10		Orange £10		
Orange £15		Orange £15		
MTV TOGO £4.99		MTV TOGO £4.99		
MTV TOGO £9.99		MTV TOGO £9.99		
T-Mobile "UP2U" £20		T-Mobile "UP2U" £20		
T-Mobile "UP2U" £10		T-Mobile "UP2U" £10		
Vodafone Prepay £10		Vodafone Prepay £10		
Vodafone Prepay £15		Vodafone Prepay £15		
Vodafone Prepay £25		Vodafone Prepay £25		
Virgin Pre Pay £5		Virgin Pre Pay £5		
Virgin Pre Pay £10		Virgin Pre Pay £10		
Virgin Pre Pay £20		Virgin Pre Pay £20		
£5 PO Phonecard		£5 PO Phonecard		
£10 PO Phonecard		£10 PO Phonecard		
£20 PO Phonecard		£20 PO Phonecard		
£10 Int. PO Phonecard		£10 Int. PO Phonecard		
O2 Prepay £10		O2 Prepay £10		
O2 Prepay £20		O2 Prepay £20		
BT Global £10		BT Global £10		
BT Global £20		BT Global £20		
Moneygram Phonecards £2		Moneygram Phonecards £2		
National Lottery Instant		National Lottery Instant		
TOTAL	368.00	TOTAL		

Daily

BRANCH Marine Drive CODE 213337 PREPARED BY Helen Hollingsworth			
RECEIPTS		Despatched	On Hand
GROBANK DEPOSITS			
THURS			
FRI			
SAT			
MON			
TUES	32081.64		
WED			
GROBANK FEES			
THURS			
FRI			
SAT			
MON			
TUES	14.50		
WED			
CARRS - PARCELS			
NS & I DEPOSITS			
THURS			
FRI			
SAT			
MON			
TUES	1770.36		
WED			
VEHICLE LICENCE RENEWALS			
THURS			
FRI			
SAT			
MON			
TUES			
WED			
UKPS FEES			
UKPS CHARGES			
BUSINESS - Redirections			
SOCIAL - Redirections			
National Lottery ON LINE SALES			
THURS			
FRI			
SAT			
SUN			
MON			
TUES	1737.50		
WED			
INSTANT ACTIVATIONS			
THURS			
FRI			
SAT			
SUN			
MON			
TUES			
WED			
MONEYGRAM - SEND			
TV LICENCE FEES			
THURS			
FRI			
SAT			
MON			
TUES			
WED			
TRAVEL INSURANCE			
SUNRISE - FRANKING MACHINE			
SUNRISE - OTHER			
ROD LICENCE FEES			
THURS			
FRI			
SAT			
MON			
TUES			
WED			
Bureau De Change - Commission			
Bureau De Change - Revaluation			
Bureau De Change - Trav. cheques			
PB CASH DEPOSITS			
THURS			
FRI			
SAT			
MON			
TUES	1116.00		
WED			
AUTOMATED PRODUCTS			
THURS			
FRI			
SAT			
MON	4912.41		
TUES	70.00		
WED			
POSTAGE LABELS			
DEBIT CARD REFUNDS			
THURS			
FRI			
SAT			
MON			
TUES			
WED			
LOCAL SCHEMES			
CHEQUES PRIOR PAYMENTS (Bal Entry)			
THURS			
FRI			
SAT			
SUN			
MON	5015.00		
TUES			
WED			
PRE ORDER FOREIGN EXCHANGE			
THURS			
FRI			
SAT			
MON			
TUES			
WED			
LOAN TO P.O.			
E TOP UP			
			340.00
PAYMENTS		Despatched	On Hand
GROBANK WITHDRAWALS			
THURS			
FRI			
SAT			
MON			
TUES	494.89		
WED			
INLAND REVENUE			
NS & I WDLS			1024.15
THURS			
FRI			
SAT			
MON			
TUES	1249.10		
WED			
PENSION & ALLOWANCES			
THURS			
FRI			
SAT			
MON			
TUES			36405.32
WED			
POSTAL ORDERS PAID			
			15.49
VEHICLE STAMPS REDEEMED			
TVLS STAMPS REDEEMED			
WASS STAMPS REDEEMED			
TELEPHONE STAMPS REDEEMED			
DEE ELECTRIC REDEEMED			
SWALEC ELECTRIC REDEEMED			
3TH WEST ELEC. REDEEMED			
PRESCRIPTION REFUNDS			
MONEYGRAM RECEIVE			
All National Lottery Prizes			
THURS			
FRI			
SAT			
SUN			
MON			
TUES			5722.80
WED			
LITTLEWOODS PRIZES			
GREEN VIOLET GIROCHEQUES			
THURS			
FRI			
SAT			
MON			
TUES			3270.64
WED			
Bureau De Change - Revaluation			
			1.61
B D C - Trav. cheques to First Rate			
PERSONAL BANKING CHEQUE ENCASHMENT			
THURS			
FRI			
SAT			
MON			
TUES	170.00		
WED			
NB CASH WITHDRAWALS WITH PR			
THURS			
FRI			
SAT			
MON			
TUES	4700.17		
WED			
DEBIT CARDS			
			19.02
TV REFUNDS			
TRAVEL INSURANCE REFUNDS			
MOO PAYMENTS			
CHEQUES TO PROCESSING CENTRE			
THURS			
FRI			
SAT			
MON			
TUES	7519.25		
WED			
International Money Order Paid			
FOREIGN EXCHANGE SERVICE - Change			
THURS			
FRI			
SAT			
MON			
TUES			
WED			
UKPS Fee Refund			
UKPS Charge Refund			
Vouchers sent to TP			
Promotional Vouchers			
ATM WITHDRAWALS			
E TOP UP REFUND			
			0.56

P32
(V29)

ATTACHED DOCUMENTS

AUDIT LEADER:

Helen Hollingworth

BRANCH NAME:

Marine Drive

Cash Usage Spreadsheet



Cash Usage Sheet

[illegible]

50p	20p	10p	5p	2p	1p	Unusable	Lottery		EURO
32.00	7.20	0.80	0.80	1.20	0.50	20.00	955.00		
250.00	80.00	6.60	3.10	18.00	1.30	120.00			
30.00	250.00	30.00	100.00		18.00	200.00			
		100.00	100.00		20.00	5.00			
			5.00		20.00				
312.00	337.20	137.40	208.90	19.20	59.80	345.00	955.00		

Postage

BRANCH	Marine Drive	CODE	213337	Prepared by	Helen Hollingworth			
Postage	Sheet 1	2	3	4	5	6	No	VALUE
1st Class	2385						2385	887.80
2nd Class								
1p	66						66	0.66
2p	200						200	4.00
4p	111						111	4.44
5p	247						247	12.35
7p	200						200	14.00
8p	227						227	18.16
10p								
20p	200	3066					3266	653.20
21p								
33p								
34p	122						122	41.48
35p	200						200	70.00
Euro								
39p	200						200	78.00
40p	200						200	80.00
41p								
42p	76						76	31.92
43p	200						200	88.00
47p	236						236	110.92
50p	84						84	42.00
60p	203						203	138.04
E1	131						131	131.00
E1.50p	69						69	103.50
E2	32						32	84.00
E3	51						51	153.00
E5	21						21	105.00
19p								
27p								
37p								
Christmas Stamps 53p								
Christmas Stamps E1.12								
Miscellaneous Postage	62.32						62.32	62.32
Aerogrammes (Singles)	8						8	3.36
Aerogrammes Discount Packs								
Pictorial Aerogramme Packs								
Xmas Air Letters								
Pictorial Air Letters (Singles)								
Air Cards - Singles x E1.04								
Air Cards - singles x E1.35p								
Air Cards - Packs								
Special delivery Small C5	3						3	12.15
Special delivery Large C4	5						5	20.25
Special Delivery X Large C3								
Special Delivery 9:00am								
International Signed Europe								
International Signed Worldwide								
Swiftpack ROW (C4)								
Swiftpack Euro (C4)								
Swiftpack W/W (C5)								
Swiftpack W/W (DL)								
Swiftair (Sml)								
Swiftair (Med)								
Swiftair (Lge)								
Swiftair (Europe)								
Swiftair (Worldwide)								
International Reply Coupons	7						7	4.20
Air Sure Pack								
Swift Air Pack								
Airpack ROW (C3)								
Airpack Euro (C3)								
Airpack ROW (C4)								
Airpack Euro (C4)								
1st Class self adhesive (200)								
2nd Class self adhesive (200)								
1st Class self adhesive (100)	17						17	478.00
2nd Class self adhesive (100)								
Stamp Books Vending & Other								
Stamp Books Vending E1.50								
Stamp Books Vending E2.00								
Stamp Books Vending E2.50								
Stamp Books Vending E3.00								
Stamp Books Vending E3.50								
Stamp Books Vending E4.00								
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Stamp Books Vending E81.50								
Stamp Books Vending E82.00								
Stamp Books Vending E82.50								
Stamp Books Vending E83.00								
Stamp Books Vending E83.50								
Stamp Books Vending E84.00								
Stamp Books Vending E84.50								
Stamp Books Vending E85.00								
Stamp Books Vending E85.50								
Stamp Books Vending E86.00								

[illegible]

Rec

BRANCH	Marine Drive	CODE	213337	Prepared by	Helen Hollingworth
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	MILK	EEB	GAS	COARSE	SALMON	MANWEB	BUS				
B/Fwd	72	6255		not	rec						
Add New											
Sub Total	72	6255									
Issued	7	435									
Spoilt											
Returned											
Stolen											
S/B to Hand	65	5820									
Actual on Hand	64	5955			76	9					
Variance	-1	135			76	9					

Travellers Cheques Reconciliation

	£ Sterling	US \$	Canadian \$	Australian \$	Euro			
On Hand								
Stock In								
Subtotal								
Spoilt / Returns								
Stolen								
Sold								
On Hand								
Subtotal (D+E+F+G)								
TOTAL								

Rec

Franking Machine Reconciliation

Balance brought forward	
Q/E	
Cards withdrawn -	
New cards introduced +	
Total	
Cards on hand	
Variance	

Week	
Value in CA5	
Value in CA1	
Value recorded on P3341	
Value in cash account	

57

MVL Rec

BRANCH NAME	Marine Drive
FAD CODE	213337
DATE OF AUDIT	23.03.2003
PREPARED BY	Helen Hollingworth

Motor Vehicle Licences -

Discs found on hand at audit

Put X in the box if
this last column
is a part week

☐

part week



Week Number
Week Ending

50

51

52

A	Licences on hand previous week			
B	Add new stock received			
C	Total	0	0	0

D	Valid licences issued on V594 (V10)			
E	Valid licences issued on V595 (V11)			
F	Spoiled Licences			
G	Total Used	0	0	0

H	Total Stock At Counter			
J	Main stock still held by Officer in Charge			
K	Total On Hand	0	0	0
L	Licences Returned To Hemel Hempstead			

M	Reconciliation: Total (=C)	0	0	0
	VARIANCE			

Equip

EQUIPMENT USED	USER	MAKE & MODEL	SERIAL NUMBER
Audit Laptop Computer	Helen Hollingworth	IBM	552L92W
Audits Calculator	Helen Hollingworth	texet	SL608
Audits Calculator	Chris Taylor	Aurora	DT80
Audits Calculator			
Audits Calculator			
Audits Calculator			
Note Counter			
Office Calculator			
Office Calculator			
Office Calculator			

SM CAT

Stock Management Compliance Audit Test

BRANCH Marine Drive CODE 213337 Prepared by Helen Hollingworth

Does the office order fortnightly ? ☐ Yes
(For monthly ordering Insert No)

Group A Products

Stock on hand week ☐ 43
Stock received in period

Stock returned in period

Stock on hand week ☐ 51
Total sales
Average weekly sales
Maximum holdings at any time
Value of excess stock (if applicable)

British Gas Saving Stamps	Postal Orders	TVL Saving Stamps	MVL Saving Stamps	Water Authority Saving Stamps	Virgin Phonecards	O2 Phonecards	T-Mobile Phonecards	Vodafone Phonecards	Electricity Saving Stamps
£0.00	£712.50	£258.00	£235.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00
£0.00	£222.77	£58.00	£235.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00
£0.00	£89.06	£32.25	£29.38	£0.00	£0.00	£0.00	£0.00	£0.00	£8.00
£0.00	£207.13	£36.75	£88.14	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00
£0.00	£979.68	£354.75	£323.14	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00

Group B Products

Stock on hand week ☐ 43
Stock received in period

Stock returned in period

Stock on hand week ☐ 51
Total sales
Average weekly sales
Maximum holdings at any time
Value of excess stock (if applicable)

Deliverable Stamps			Stamp Books	Vending Books	Real (Discount) Books	Lottery Cheques, 2 books max at any time
1st Class	2nd Class	Other				
£0.00	£0.00	£0.00	£0.00	£0.00		
£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00
£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	0
£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	0
£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	0

Docs

P32 (V29)	<u>ATTACHED DOCUMENTS</u>	
	<u>AUDIT LEADER:</u>	Helen Hollingworth
	<u>BRANCH NAME:</u>	Marine Drive
		 Document

Docs

Robbery/Burglary ☐ NO
--

To :	From :	cc :
Head of Area		

Date :

Audit of Marine Drive

The following control gaps were identified at the audit of the above named branch on 23.03.2003

Personal cheques on hand incorrectly treated
Misuse of monies
Cash and stock not secured during lunchtime if not on premises
Safe left open
Safe keys left in safe door and not secured
Unauthorised amounts held in suspense account (>£1000>8 weeks)
Cash not listed accurately over £500
Travellers cheques not kept in safe
Foreign currency not held securely
Procedures for adjusting losses and gains were not adhered to

To : Error Notice duty

From :

Date :

ERROR NOTICES

BRANCH:

FAD CODE:

The audit at the above branch revealed the following outstanding error notices on hand and brought to account during the audit, plus those as issued in the Lotus Notes Prep File

Reference	Error Type	Amount	Date Issued	BTA Date

Additional Information :

To:	From:	cc:
Cath Oglesby	Helen Hollingworth Inspector	

Date: 25th March 2004

Audit of Post Office ® Marine Drive branch, FAD 213337

An audit took place at Marine Drive Post Office on the 25th March 2004. Helen Hollingworth led the audit and in attendance was Chris Taylor. The audit commenced at 8.00am and on our arrival the sub postmaster was very pleased to see us. He explained problems he had been having at the office regarding balancing. His problems with balancing started in week 43 with a mis-balance of -4230.97. He was adamant that no members of staff could be committing theft and felt that the mis-balances were due to a computer problem. He had been in contact with the Retail Line Manager Cath Oglesby and the Horizon help line regularly since the problems began. The following table gives further weeks balance declarations on the cash account.

48	-3509.18	
46	-8243.10	
45	-6730.01	
44	-6754.09	
43	-4230.97	
48	-3509.18	This amount put into suspense week 49
46	-8243.10	This amount put into suspense week 47
45	-6730.01	Rolled loss
44	-6754.09	
43	-4230.97	

In week 47 £8243.10 was put into suspense. Although horizon had been contacted and the Retail Line was aware of this figure, this was not authorised. In week 49 £3509.68 was added to make the amount carried in the suspense account total £11752.78. This was also not authorised.

week 51 balance	- £11210.56
suspense account	- £11752.78
expected audit result	- £22563.34
difference at audit	- £2795.41 (-£1769.00 lottery -£1026.41 cash)
audit result	- £25758.75

On the completion of the audit the Retail Line Manager Cath Oglesby was contacted, along with the Investigation team and the Audit Line Manager. The sub postmaster was suspended pending enquiries and an interim postmaster was put in charge at the office.