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Security Operations Casework Review

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Current Process

Gaps / improvements

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	Case Raised	
	Cases are raised from various sources, in each instance (apart from Post Office Card Account (POCA) cases) the information is passed to the relevant operational Team Leader and they access the information and make the decision whether to raise a case or not.	
	Raised due to audit shortage – A shortage at audit will result in the completion of an ECF report by the lead auditor, this ECF report is emailed thorough to the Post Office Security Casework Team. On receipt of the ECF (where a suspension has taken place) casework pass this onto the relevant Team Leader who will make the decision whether to raise a case or not	– No record kept in casework whether case raised or not if TL does not raise. - No process for multiple or crown losses due to no suspension.
	<u>Post Office Card Account (POCA) cases</u> POCA cases are raised direct from Helen Rose.	
	<u>Other sources</u> Cases can be raised from various other sources. • Direct From Investigator via their Team Leader. • From the commercial Team • From Grapevine Team • From Contract Managers • From Police These types of enquiries are sent to the relevant Team Leader who will make the decision whether to raise a case or not.	
	The Team Leader informs the Casework Team via email that a case is to be raised and which Security Manager will be dealing with the case.	
	The Casework team then complete the new case raised document and email this to the security manager along with any ECF or audit reports which they have received.	This Document Should include all background data such as P32 document and Extra Audit Report, this should also include any Credence Data produced by the Grapevine Team in Chesterfield.

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		During case raised process can Casework get HR reports and assistant list before being raised?? Possibly POL208 as well??
	Stakeholder Notification This should be emailed to all stakeholders, Casework Team and Team leader and a copy of the email printed off and associated in Appendix C	-Stakeholder Changes, John Breedan will assign to different CM depending on their workload. Formula linking to case raised doc has been removed???
	Communication • Auditors – Communication with the auditor on the day of the loss is essential to gain an understanding of the loss and to ensure they will send you everything that you need. • Contract Manager • Other Stakeholders	
	Interview Framework / Timescales	
	Interview Date Offender should be contacted and Interview should be arranged without delay timescales will depend on investigation that needs to take place prior to this. Include Interview Timescales.	
	Background Checks	
	Local Management Communication with the Contracts Manager at the earliest opportunity is essential.	
	POL Human Resources Printout The Sub Postmaster Printout or employee printout should be obtained for all cases by emailing Human Recourses using the HR Assistant Checks email address. This document can provide the following information - • The subject's personal details, such as NI number, home address, bank account(s),	

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	next of kin, • Date the SPMR was appointed. • Claims data (i.e. holiday pay) & dates the SPMR was on holiday. The full SPMR file can be requested by emailing 'Contract Admin Team'	
	P356 Assistant List The P356 Assistant list should be requested at the same time as the HR Printout from the HR Assistants Check email address. This report can provide the following information • Name, date of birth and NI number • Persons registered to access Horizon, (users) at that Post Office • The Horizon users identities for each assistant. • Whether the assistant is a permanent assistant or temporary/holiday relief • Date the person was activated to use Horizon and the date users were removed from the Horizon system.	
	SPMR Remuneration The remuneration from a particular branch can be obtained via an e-mail to HR Agent Remuneration.	
	Police National Computer (PNC) Post Office Limited PNC checks can be made for intelligence gathering purposes in respect of individuals and vehicles suspected or known to be involved in crime against the Post Office Ltd. Examples of authorised use are as follows: 1. To assist authorised personnel with intelligence gathering around individuals suspected/ known to be involved in committing criminal offences. 2. For operational Health & Safety considerations and evaluations prior to suspect offender engagement as part of the operational risk assessment.	

	3. To obtain previous conviction details of defendants and witnesses for cases being prosecuted by Post Office Ltd. 4. To establish intelligence in regards to vehicles and occupants suspected to be involved in criminal activity against the Post Office. 5. To identify the registered keeper of vehicles connected to the address of a suspect/known offender involved in criminal offences against the Post Office Ltd. Do not conduct checks for the following reasons: 1. Unsubstantiated allegations about an individual. 2. "Fishing trips", for example blanket checking vehicles or persons such as all vehicle in a staff car park in an effort to identify a suspects vehicle. 3. To identify ownership of a vehicle in accordance with Proceeds of Crime Act.	
	Equifax	
	NBSC Call Logs NBSC call logs can be obtained by emailing the Branch and IT System Team at Dearne House. These logs will detail all calls made by a branch into the Network Business Support Centre (NBSC). These logs can be very useful where a SPMR or employee claim that they have reported the loss or incident.	
	Credence Credence is a tool used to analyse detailed transactional data from a particular branch, this is useful to prove details of particular transactions or events. Only data, up to 90 days, can be extracted and analysed by POL Security An Application to Fujitsu will turn the MI data into	

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	data/documentary evidence for use in the criminal courts. Older/historic data can be obtained too. Fujitsu will provide a witness statement relating to the authenticity of the data only, not the specific transactions relating to your enquiry	
	ONCH The Cash Management team can provide Over Night Cash Holdings (ONCH) data for a specific branch. This data gives in depth cash analysis for a branch including what denomination of notes a branch has declared on a given date along with cash remittances in and out. A request for this data can be emailed to Andrew Keighley (Retail Cash Manager) Andrew and his team will also highlight any concerns they might have with the branch. The same information can be requested for Foreign Currency holdings.	Enquire whether the cash management team have a generic email for such requests?
	Full Rota Check A 'full rota check' allows for a full data search for a specific branch relating to transaction issues. This can include and transaction corrections (TC's), scratch card, remittances, stock adjustments and other specific office's products. This check can be arranged via POL Security's Grapevine strand, Analyst & Support team in Chesterfield.	
	Post Office Risk Assessment (PORA)	
	Interview	
	Searches	

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	POST INTERVIEW	
	<u>48 Hour Offender Report</u> To be emailed to Team Leader, Casework Team, Financial Investigator (if appointed) Primary Stakeholder within 48 Hours of the interview.	
	<u>FES Report</u> Financial Evaluation Sheet to be emailed to Financial Investigator within 72 hours of the interview.	Trigger Points for FES to be completed?
	<u>Tape Transcripts</u> To be completed by the individual or when appropriate send to the typist – Cath Philbin Post the tapes to Cath By special delivery (address on the form) and email the form to (See Link Below) cathphilbin GRO . Copy in Helen Dickinson because she picks up the tapes to post back.	Guidelines for when to get tape transcribed eg do we need for No comment interviews and where admissions at interview?
	Report	
	<u>Write Offender Report Legal</u> Offender Report to be written using example report and guidelines. This has to be submitted in the complete file within 15 working days to the casework team.	
	<u>Write Discipline Report</u> Discipline report to be written using example report and guidelines. This has to be submitted in the complete file within 15 working days to the casework team.	
	Statements	
	Business Failings	
	If business failings or procedural weaknesses identified this should be completed on the relevant tab of the new case raised form and emailed to all stakeholders. This should be printed off and associated in appendix C of the file.	

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	File Construction	
	Green Jacket • Green Jacket should be put together as per the compliance guidelines (See Link below) with report, tape transcripts and all evidence etc in the correct appendix. • General Rule **Appendix A = Witness Statement B = Evidence C = Other**	
	Body Of The Report • Case Raised Sheet • Interim Report • Report • Tape Transcript	Disclosure documents are currently not inserted into the green jacket, a separate committal bundle is put together and sent to Cartwright king. These will be in the body of the file?
	Appendix A • Witness Statements • Summons Documents	
	Appendix B • POL001 • Evidence • Notebook Entry • Search Documents • Working Tapes	
	Appendix C • Stakeholder Notification • HR Printout • Assistant List • Interview Letter • POL003 • Business Failings • Discipline Report • Antecedents • NPA01	Currently Appendix C is submitted with the file to Cartwright King – Can this be omitted?
	FILE SUBMISSION	
	Once the case file is constructed and ready to submit for consideration the investigator will send this to their team leader to review, Each case file should the follow the stated process	Should the file go to Team Leader and them to send to casework? What is the role of the TL in reviewing the file?

	Investigator > Casework > Criminal Law Team > Cartwright King > Casework > Head Of Security > Casework > Investigator	
	Investigator > Casework Team Once the file has been reviewed by the investigators Team Leader the file will then be forwarded to the casework team. The investigator will email electronic copies of the offender report, tape transcripts and discipline report to Post Office Security email address.	
	Casework > Criminal Law Team The Casework team will then forward the file to the Criminal Law Team (CLT). The file will be reviewed by the CLT and a decision made whether further progression be made with the case. If the decision is No Further Action the file is returned to casework at that point (next step 5.6).	
	Criminal Law Team > Cartwright King If the decision is to proceed with the prosecution case the file is the forwarded to Cartwright Kings for advice on charges. (In some instances CLT will put charges together).	
	Cartwright King > Casework (Or Jarnail) Cartwright King will prepare advice and charges for the case (or advise no further action). If further enquiries are required they will contact the investigator direct and send advice detailing the further enquiries. The advice along with charges and case file is then sent back to casework.	If Cartwright King decide there are further enquiries to be made the advice is emailed to the investigator. The file is kept by Cartwright King while the enquiries are carried out – casework have no record of these enquiries taking place and sometimes further enquiries can drag on due no visibility.
	Casework > Head Of Security The file is then forwarded to the Designated prosecution authority (DPA) for authority to proceed. The DPA will review the case file and decide whether to proceed with the advice from the CLT and Cartwright King or whether to take a different course of action. The authority to proceed (or other instruction) will be inserted into	

	the case file.	
	<u>Head Of Security > Casework</u> The file is the forwarded back to the casework team.	
	<u>Casework > Investigator.</u> The file is returned to the investigating officer with advice and charges submitted in the case file for the investigator to proceed.	Every other Month Cartwright King send a list of Post Office Cases and indicate what stage they are at to casework and CLT – Can this be passed to TL's to enable where they are up to?
	SUMMONS	
	If advice is prosecution – need to obtain summons.	
	Contact the Magistrates court where the offence took place and confirm that, that court deals with the matter and the address where the summons are to be sent for signature.. Speak with listings and inform them you are a private prosecution – (reason certain courts have set days for non police prosecutions). Obtain a date normally six weeks from date of request but no more than 8 weeks.	
	Acquiring AS Number • Update the front of the NPA01 with the date of the court hearing and the details of the court, • Complete the offence and the method used in offence section on the front of the NPA01. If more than one offence, then complete the NPA02 for the relevant number of offences. Email the updated NPA01 (and NPA02 if required) to the casework team. This will generate an AS number which is required for the court to sign the summons, the AS number will be emailed back within a few days of the submission of the NPA01.	With the New NPA form is the NPA 2 still required or can all charges go on NPA01?
	Prepare three copies of the summons Prepare one information sheet. Send to the court for signature with covering letter – all three copies of the summons should be returned and signed. Court will retain the information sheet. Inform the agents Solicitors appointed by CLT) of the time and date of the court appearance.	Query for CLT – Courts tend not to sign the summons now, is this acceptable?

	On receipt of the summons Take a photocopy of the defendant's copy of the summons. Send the original copy of the defendants summons together with a POL044 (Charge or summons notice) and a copy of the means form. Summons can be either served personally or via Royal Mail Special Delivery to the offender.	
	a. If served personally see part c. b. Check to see when the Special delivery was accepted and obtain a print out of the track and trace record. c. Inform CLT that the summons has been delivered. (Confirmation of serving of summons). By endorsing on the back of the defendants photocopied summons the following: 1. I certify that today, (date), I personally served a copy of the summons upon (Name), the defendant named overleaf. or 2. I certify that a copy of the summons overleaf has been served upon (Name), the defendant named overleaf. The summons was sent via Royal Mail Special Delivery (number) and was delivered (date and time). Prepare and send to CLT covering letter (see appendix a) confirming the summons has been served, together with a copy of the POL033 and any TIC's by post.	
	Update the front of the NPA form with the date you applied for the summons and the date the summons was served. Complete the offence and the method used in offence on the front of the NPA01. If more than one offence, then complete the NPA02 for the relevant number of offences.	Again query NPA02
	Email Casework team and Criminal Law Team the confirmation of service letter together with the NPA01 and NPA02 forms.	Does Jarnail want a hard copy of the summons?

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	Copies of the summons go in Appendix A of the file.	
	COMMITTAL	
	Committal Checklist	
	POL006B Self Disclosure	
	POL006c Schedule of non sensitive unused material	
	Sensitive Material	
	Cont Disclosure Report	
	Witness List	
	Witness Address	
	Witness Non Availability	
	List Of Exhibits	
	Memo to CLT	
	COURT	
	POCA	
	Funding / Recoveries	

Body Of File	Appendix A	Appendix B	Appendix C
Case Raised Sheet	Witness Statement	GS001	HR Printout
Interim Report		Evidence	GS003
Offender Report		Notebook Entry	Stakeholder Notification
Tape Transcript		Search Documents	Business Failings
		Working Tapes	Discipline Report
			Antecedents
			NPA1

Start construction of the File

- Type up NPA 01 and put in file
- Type up Antecedents and put in file

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- Type up any search documents and put in file
- Type up notebook entry and put in file
- Make copies of invite to interview letters
- Make copies of GS001 and put in file
- Make copies of GS003 and put in file
- Make copies of all evidence (no originals allowed) and put in relevant appendix

Other things to put in file – Equifax – HR Printout – assistant List – Stakeholder notification – case raised form – FES form

Collect all relevant statements –
- Write all first officer statement
- get second officer statement
- Audit Statement –
- If any evidence is from another person eg Chesterfield get statement off them.
- Possible Statements from other members of staff depending on what is said at interview

When tape transcripts returned proof read transcripts and listen to tapes to ensure that all relevant admissions denials etc are recorded on transcripts. Ensure times are correct and transcripts follow compliance rules.

Submit to Steve for him to check all reports and construction of File.

If any amendments are needed reprint report and page number etc and put in file.

Email Offender report, Tape Transcripts and discipline report to post office security and hand the constructed green file in to Maureen

Andrew Wise
Security Manager Date: 04/02/13