

GUIDE TO SENDING REPORTS/DOCUMENTS POST AUDIT

This guide is designed to clarify which documents need sending following completion of an audit, provides instructions on how to attach various forms to 'report templates' and advises on how to name saved reports.

1) FINANCIAL AUDITS

2) TO SEND THE AUDIT REPORT BY POST TO THE BRANCH

3) COMPLIANCE ONLY AUDITS & POST TRANSFER VISITS

4) ROBBERIES AND BURGLARIES

5) SENDING THE DOCUMENTS BY EMAIL

6) NAMING SAVED TEMPLATES/DOCUMENTS

- The Zip file should be sent to the 'P32 File' containing the documents detailed in the below instructions. In addition to the zip file being sent to the 'P32 File', various reports (documents) will (or may) need to be sent separately by Field Advisors to relevant stakeholders upon completion of an audit, as per previous instructions – see the current Audit Reports matrix version (to be found on EASE – NFS - Audits – Audit Process Manual – Chapter 8 – Report Templates).
- In addition to sending these documents by email to the existing circulation list, please note that the Audit Report, Appendix A&B and Compliance Declaration, will now need to be printed from the P32 or CAT Reporting Tool and sent to the Subpostmaster by the Lead Auditor, within 5 working days of the audit.

Multiples – reports to go to P32 file, David Southall and GRO and (posted to Branch. with App A&B and Compliance Declaration) (NOTE: If you are on Microsoft Outlook and are using the Global Address List to select the multiples address, you need to select "multiples", not "Multipleteam" from the list of address names).

Crown Offices – send Audit Report, Appendix A&B and Compliance Declaration by post to the branch addressed 'In Confidence' to Branch Manager, Also send the Audit Report and Appendix A&B by email to the circulation list as per matrix.

WHS - send Audit Report, Appendix A&B and Compliance Declaration by post to the branch addressed 'In Confidence' to Branch Manager, also send the Audit Report (including Appendix A&B) to the circulation list as detailed on EASE in the Audit Reports Matrix.

1) FINANCIAL AUDITS

Financial Audit with Compliance testing

- **Zip file to P32 File:**
 - P32
 - CAT Reporting Tool
 - Additional Report (E) **when applicable**
 - Audit Report/s
 - Appendix A&B
- Event Capture Form (from p32) **if applicable**

Refer to the matrix for details covering individual requirements

To be sent by post to the Subpostmaster

- Audit Report , Appendix A&B , Compliance Declaration (from CAT Reporting Tool)

Financial Audit without Compliance testing

- **Zip file to P32 File:**
 - P32
 - Additional Report (E) **when applicable**
 - Audit Report/s
 - Appendix A&B
- Event Capture Form (from p32) **if applicable**

Refer to the matrix for details covering individual requirements

To be sent by post to Subpostmaster

- Audit Report

2) TO SEND THE AUDIT REPORT BY POST TO THE BRANCH

Printing the Audit Report and sending to the branch

This section provides further instruction for Field Advisors to 'customise' their report .

- Once the Audit Report has been copied and pasted onto the 'template' (available from EASE), then if necessary, blank lines within the 'Result of the Audit Section' should be deleted, along with any other blank rows in the report. Rows should be narrowed or widened to ensure the presentation and layout aligns correctly. Once the Report is user friendly to view, then this version, (the one that has been copied onto the 'template') should be saved, then printed and posted to the branch.

3) COMPLIANCE ONLY AUDITS

- Zip file to the P32 File
 - CAT Reporting Tool
- Audit Report F, Appendix A&B

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Refer to the matrix for details covering individual requirements

To be sent by post to Subpostmaster

- Audit Report , Appendix A&B , Compliance Declaration

4) ROBBERIES & BURGLARIES

To be sent by email to relevant individuals

Follow instructions for Financial Audits depending upon whether Compliance Testing has taken place.

Within the Zip File, also include extra additional reports (where appropriate) relating to the incident as per instructions on EASE (NFS, Audits, Audit Process Manual, Chapter 6).

Also send these extra reports to the relevant individuals as per process.

To be sent by post to Subpostmaster

- R&B Audit Report
- Appendix A&B
- Compliance Declaration

4A – FOLLOW UP AUDITS?

5) SENDING THE DOCUMENTS BY EMAIL

There are 'templates' relating to the below documents (these can be found on EASE – NFS- Audits – Audit Process Manual – Chapter 8 – Report Templates).

- Financial Assurance Audit Report
- Agent Audit Report (A)
- Crown Office Audit Report (B)
- Suspension Report (D)
- Additional Report (E)
- Audit of regulatory Compliance and Business Conformance report F(gaps)
- Audit of regulatory Compliance and Business Conformance report F (no gaps)
- Follow Up BAU 550
- C&O
- R&B Audit Report
- Appendix A&B
- Event Capture Form

The relevant document will need to be copied and pasted from either the p32 or the CAT Reporting Tool onto the corresponding 'template'.

Financial Assurance Audit Report (from the FAA P32)

Once the Financial Assurance Audit Report is completed, to copy this page, first open up the 'Financial Assurance Audit Report template'. Then on the

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Report that needs copying, highlight just the report (cells B1 to O93) – do not highlight any of the yellow cells. Then click 'copy'.

On the 'template', click on cell A1, right click on the mouse, press 'paste special', choose 'values + number formats' from the paste options, click 'Ok'.

Once pasted onto the template (any incorrect entries should then be overtyped or blank rows in the breakdown of the result of the audit section, **should** be deleted).

Agent Audit Report (A) (from the Tier 2 P32)

Once the Agent Audit Report (A) is completed, to copy this page, first open up the 'Agent Audit Report (A) template'. Then on the Report that needs copying, highlight just the report (cells B1 to O95) – do not highlight any of the yellow cells. Then click 'copy'.

On the 'template', click on cell A1, right click on the mouse, press 'paste special', choose 'values + number formats' from the paste options, click 'Ok'.

Once pasted onto the template (any incorrect entries should then be overtyped or blank rows in the breakdown of the result of the audit section, should be deleted).

Crown Office Audit Report (B) (from the FAA P32)

Once the Crown Office Audit Report (B) is completed, to copy this page, first open up the 'Crown Office Audit Report (B) template'. Then on the Report that needs copying, highlight just the report (cells B1 to Q108) – do not highlight any of the yellow cells. Then click 'copy'.

On the 'template', click on cell A1, right click on the mouse, press 'paste special', choose 'values + number formats' from the paste options, click 'Ok'.

Once pasted onto the template (any incorrect entries should then be overtyped or blank rows in the breakdown of the result of the audit section, should be deleted).

Suspension Report (D) (from the Tier 2 P32)

Once the Suspension Report (D) is completed, to copy this page, first open up the 'Suspension Report (D) template'. Then on the Report that needs copying, highlight just the report (cells B1 to N93) – do not highlight any of the yellow cells. Then click 'copy'.

On the 'template', click on cell A1, right click on the mouse, press 'paste special', choose 'values + number formats' from the paste options, click 'Ok'.

Once pasted onto the template (any incorrect entries should then be overtyped or blank rows in the breakdown of the result of the audit section, should be deleted).

Additional Report (E)

There is no facility to copy and paste onto a template for the 'Additional Audit Report (E), this is to be accessed from EASE (NFS - Audits – Audit Process Manual – Chapter 8 – Report Templates) and completed manually.

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Audit Report F (gaps) (from the CAT Reporting Tool)

Once the Audit of regulatory Compliance and Business Conformance report (gaps) is completed, to copy this page, first open up the 'Audit of regulatory Compliance and Business Conformance report (gaps) template'. Then on the Report that needs copying, highlight just the report (cells C8 to O52) – do not highlight any of the yellow cells or text below line 52. Then click 'copy'.

On the 'template', click on cell B4, right click on the mouse, press 'paste special', choose 'values + number formats' from the paste options, click 'Ok' and click 'Yes' when asked if you wish to replace the contents of the destination cells.

Once pasted onto the template (any incorrect entries should then be overtyped).

Audit Report F (no gaps) (from the CAT Reporting Tool)

Once the Audit of regulatory Compliance and Business Conformance report (no gaps) is completed, to copy this page, first open up the 'Audit of regulatory Compliance and Business Conformance report (no gaps) template'. Then on the Report that needs copying, highlight just the report (cells B8 to N42) – do not highlight any of the yellow cells. Then click 'copy'.

On the 'template', click on cell A1, right click on the mouse, press 'paste special', choose 'values + number formats' from the paste options, click 'Ok' and click 'Yes' when asked if you wish to replace the contents of the destination cells.

Once pasted onto the template (any incorrect entries should then be overtyped).

Follow Up Tool (From the follow up Audit tool)

Once the Follow up Audit Report No Action is completed, to copy this page, first open up the Follow up Report (No Action) template, then on the report to be copied highlight just the report (Cells B2 to N39)- do not highlight any of the yellow cells. Then click 'copy'.

On the 'template', click on cell A1, right click on the mouse, press 'paste special', choose 'values + number formats' from the paste options, click 'Ok'. Once the Follow up Audit Report Action is completed, to copy this page, first open up the Follow up Report (Action) template, then on the report to be copied highlight just the report (Cells B3 to N48)- do not highlight any of the yellow cells. Then click 'copy'.

On the 'template', click on cell B1, right click on the mouse, press 'paste special', choose 'values + number formats' from the paste options, click 'Ok'.

Follow-up Audits

For how to format the audit report and appendix for BAU follow-up compliance audits, see "Follow Up User Instructions" document on EASE. For how to name these and the follow-up Tool, see Section 6 below.

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Once the Core & Outreach report From the FAA P32 is completed, to copy this page, first open core outreach financial audit report template, Then on the Report that needs copying, highlight just the report (cells B1 to O 102) – do not highlight any of the yellow cells. Then click 'copy'.

On the 'template', click on cell A1, right click on the mouse, press 'paste special', choose 'values + number formats' from the paste options, click 'Ok'.

Once the Core & Outreach report From the Tier2 P32 is completed, to copy this page, first open core outreach Agent audit report A template, Then on the Report that needs copying, highlight just the report (cells B1 to O 100) – do not highlight any of the yellow cells. Then click 'copy'.

On the 'template', click on cell A1, right click on the mouse, press 'paste special', choose 'values + number formats' from the paste options, click 'Ok'.

Once the Suspension Report (D) is completed,(Tier2P32) to copy this page, first open up the 'Suspension Report (D) template'. Then on the Report that needs copying, highlight just the report (cells B1 to O 102) – do not highlight any of the yellow cells. Then click 'copy'.

On the 'template', click on cell A1, right click on the mouse, press 'paste special', choose 'values + number formats' from the paste options, click 'Ok'.

R&B Audit Report (from the R&B P32)

Once the R&B Audit Report is completed, to copy this page, first open up the 'R&B Audit Report template'. Then on the Report that needs copying, highlight just the report (cells B1 to N39) – do not highlight any of the yellow cells or text below line 39. Then click 'copy'.

On the 'template', click on cell A1, right click on the mouse, press 'paste special', choose 'values + number formats' from the paste options, click 'Ok'.

Once pasted onto the template (any incorrect entries should then be overtyped or blank rows in the breakdown of the result of the audit section, should be deleted).

Appendix A&B (from the CAT Reporting Tool)

Once the Appendix A&B are completed from the CAT Reporting Tool, they will need to be copied, first open up the 'Appendix A&B template'.

Appendix A - On the original that needs copying, highlight the grey box in Appendix A (cells B2 to E3) only. Then click 'copy'.

On the 'template', click on cell A1, right click on the mouse, press 'paste special', choose 'values + number formats' from the paste options and click 'Ok'.

Then go back to the version that needs copying, highlight all the gaps in Appendix A only, starting at cell B5 between columns B and E. Then click 'copy'.

On the 'template', click on cell A4 and press 'paste'. Delete any blank lines by highlighting the whole row and pressing delete.

Appendix B - On the original that needs copying, highlight all the grey box in Appendix B (cells B36 to E37) only. Then click 'copy'.

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On the 'template', click the top left cell A20 within the grey Appendix B box, right click on the mouse, press 'paste special', choose 'values + number formats' from the paste options and click 'Ok'.

Then go back to the version that needs copying, highlight all the gaps in Appendix B only, starting at cell B39 between columns B and E.. Then click 'copy'.

On the 'template' in Appendix B, click the top left white cell A23 and press 'paste'. Delete any blank lines by highlighting the whole row and pressing delete.

Once pasted onto the template (any incorrect entries should then be overtyped).

Appendix C (From the Core & Outreach CAT Reporting Tool)

Once the Appendix C is completed from the CAT Reporting Tool, it will need to be copied, first open up the 'Appendix C template'.

Appendix C - On the original that needs copying, highlight the grey box in Appendix C (cells B2 to E3) only. Then click 'copy'.

On the 'template', click on cell A1, right click on the mouse, press 'paste special', choose 'values + number formats' from the paste options and click 'Ok'.

Then go back to the version that needs copying, highlight all the gaps in Appendix A only, starting at cell A4 between columns A and D. Then click 'copy'.

On the 'template', click on cell A4 and press 'paste'. Delete any blank lines by highlighting the whole row and pressing delete.

Event Capture Form (from the FAA or Tier 2 P32)

Once the Event Capture Form is completed, to copy this page, first open up the 'Event Capture Form template'. Then on the ECF that needs copying, highlight just the ECF (cells A1 to C57) – do not highlight any of the text below line 57 or to the right of column C. Then click 'copy'.

On the 'template', click on cell A1, right click on the mouse, press 'paste special', choose 'values + number formats' from the paste options and click 'Ok'.

Once pasted onto the template (any incorrect entries should then be overtyped).

6) NAMING SAVED TEMPLATES/DOCUMENTS

Once Reports, templates or documents have been completed, they can be saved in the following format:

Financial Assurance Audit Report

'save as' (branch code). (Date) (Branch name) Audit Report
eg 123456. 160609 Anytown Audit Report

Agent Audit Report (A)

'Save as' (branch code). (date) (branch name) Audit Report
eg 123456. 160609 Anytown Audit Report

Crown Office Audit Report (B)

'save as' (branch code). (date) (branch name) Audit Report
e.g. 123456. 160609 Anytown Audit Report

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Suspension Report (D)

'Save as' (branch code). (Date) (Branch name) Suspension Report
eg 123456. 160609 Anytown Suspension Report

Additional Audit Report (E)

'Save as' (branch code). (Date) (Branch name) Additional Audit Report
eg 123456. 160609 Anytown Additional Audit Report

Audit Report F (Gaps)

'Save as' F(branch code). (Date) (Branch name)
eg F 123456. 160609 Anytown Audit Report (Gaps)

Audit Report F (No Gaps)

'Save as' F(branch code). (Date) (Branch name)
eg F 123456. 160609 Anytown Audit Report (No Gaps)

Core & Audit Audit Report F (Gaps)

'Save as' F(branch code). (Date) (Branch name)
eg F 123456. 160609 Anytown Audit Report (Gaps)

Core & Audit Audit Report F (No Gaps)

'Save as' F (branch code). (Date) (Branch name)
Eg F 123456. 160609 Anytown Audit Report (No Gaps)

Follow up Tool

'Save as' F (branch code). (Date) (Branch name)
eg 123456. 160609 Anytown

Follow Up Audit Appendix (if applicable)

1, 2 | Save as: F (branch code).(date) (branch name) Appendix

Eg F 123456.030809 Anytown Appendix

Core & Outreach

'save as' (branch code). (Date) (Branch name)
e.g. 123456. 160609 Anytown Core & Outreach

R&B Audit Report

'save as' (branch code). (Date) (Branch name) R&B Audit Report
e.g. 123456. 160609 Anytown R&B Audit Report

Appendix A&B

'Save as' (branch code). (Date) (Branch name)
e.g. 123456. 160609 Anytown Appendix A&B

Event Capture Form

'save as' (branch code). (Date) (Branch name) ECF
e.g. 123456. 160609 Anytown ECF

CAT Reporting Tool

'save as' CAT (branch code). (Date) (Branch name)
E.g. CAT 123456. 030809 Anytown

P32

'save as' P32 (branch code). (Date) (Branch name)
e.g. P32 123456. 030809 Anytown

If a suspension has taken place, please submit the P32 in the following
format:

SUSPENSION P32 123456. 030809 Anytown

For a Robbery or Burglary P32, prefix with either a R or B eg R P32 123456.
030809 Anytown

Track Changes

- | | | |
|---|--------|---|
| 1 | Insert | <i> david.ogleby, 13/05/2011 07:06 AM</i> |
| 2 | Insert | <i> david.ogleby, 13/05/2011 07:06 AM</i> |