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Post Office Ltd

Investigation Team

Compliance

**Guide to the Preparation and Layout of
Investigation Non-Red Label Case Files.**

**Case File Reports and Case Closure
Report**

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The aim of this document is to give guidance to Investigation Managers and Investigation Team Managers on the current compliance standards for the preparation of non-red label case reports and case closure reports.

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1. Case file report:

Preamble

1.1 Headers and Footer- “POST OFFICE LTD. IN CONFIDENCE”

1.2 Preamble as policy template (see Below)

POLTD/0607/0000

To: National Investigation Manager **Date:** i.e. 5th July 2006

From: *Investigators Name*

Office: _____ **Branch**
Code: _____

Reference: (State here the inquiry i.e. DMB cash Loss or Missing Voucher etc)

Investigation Background

1.3 Investigation background reported.

Give particulars of the suspected offence/s and how it/they came to notice including items such as whom they concern or identify. State the loss to Post Office LTD. or other agency at the time of inaugural report. When dishonesty is suspected then name all people with direct access to the loss. A copy of any reports/documents referred to should be associated at the appendix.

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1.4 Inquiries conducted reported.

Details of the inquiry undertaken by the investigator, to include items such as evidence gathering, analysis, observations, tests and witness evidence gained.

Where appropriate reference must be made regarding applications for testing/surveillance operations, with signed copies of testing/RIPA applications, IIMARC forms, associated at appendix 'B'. Forms and outputs for other criminal checks should also be associated in the appendix.

1.5 Conclusion.

The outcome of enquires should be explained, together with any conclusions reached by the investigator.

1.6 Loss to Post Office LTD. Reported.

State the overall loss to the business (after allowing for any recovery). Also state the actual loss to the business if different. **This should be highlighted in bold.**

1.7 Accounting aspects status reported.

State any accounting aspects dealt with or to be dealt with.

1.8 Details of failures in security, supervision, procedures and product integrity.

This must be a comprehensive **list** of all identified failures in security, supervision, procedures and product integrity it **must be highlighted bold in the report**. Where the investigator concludes that there are no failures in security, supervision, procedures and product integrity a statement to this effect should be made **and highlighted in bold**.

1.9 Concluding paragraph.

Give an explanation as to reason for the submission of the case file.

2. Case closure report:

Reporting

2.1 Each relevant heading completed

Ensure that all the relevant headings are completed fully (**Indicated with a red star**)

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Case Closure Reporting Form to be e mailed to Investigation Team, both Carol King/e/POSTOFFICE and Paul Dann/e/POSTOFFICE. – e-mail copy of this form to; DMBs the Service Operations Manager, SPSO the Contract and Service Manager, Cash Services the Senior Service Delivery Manager and for Multiple Partner Branches multiples GRO					
Case file ref:	*	Date case set up:	*	Date Case closed:	*
Office:	*	Branch Code:	*	Postcode:	*
Enquiry type:	*		Subject type:	*	
Stakeholder Details (name and title):			*		
Identified Loss:			*		
Loss to Post Office Ltd:			*		
Recovery: (include dates)			*		
Confiscation Case:					
SPSO cases has SPMR been made aware of loss?:					
Confiscation Details:					
Final outcome: (Select from drop down menu – if prosecution include further details below)			*		
Court: (Include date)					
Sentence: (Include name of Judge, prosecution & defence barristers, trial duration etc.)					
Costs / Compensation: (Compensation awarded in multiple partner cases / SPSO assistant cases must be repaid to loser – contact PBA Banking Duty GRO / GRO to ensure compensation cheques dealt with correctly).					
Debarment: (Confirm completed and date forwarded to SSU)			*		
Procedural and organizational failings identified ? Detail failings along with recommendations to prevent reoccurrence:			*		
Any other comments: (please include priority services number if documents posted to Chesterfield) (Where applicable refer to location of exhibits, civil recovery pending)			*		
Officer In Case:	*		Team Leader:	*	

2.4 Procedural and organisational failings identified

Cut and paste from your report the list of all identified failures in security, supervision, procedures and product integrity. Where the investigator concludes that there are no failures in security, supervision, procedures

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and product integrity a statement to this effect should be made **and highlighted in bold**.

2.5 Severe Organisational failings

Complete attached document listing all Severe Organisational failings and forward to case closure team at “**Investigation Team Post Office Ltd**”.



StandardOrganisatio
nalWeaknesses.doc