

IN CONFIDENCE



# **Post Office Ltd Investigation Team**

## **Compliance**

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

#### **File construction and Appendix**

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**Prepared by Ged Harbinson, Compliance Manager**

## **Introduction**

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 files and the associated appendix

## **Contents:**

### **1. File Construction:**

#### **Construction**

- 1.1 File cover set out correctly.**
- 1.2 CS230 paged at page one.**
- 1.3 Pages numbered correctly.**
- 1.4 Correct font for all reports.**
- 1.5 Appendix associated.**

### **2. Appendix**

#### **Construction:**

- 2.1 Appendices clearly marked.**
- 2.2 Paper numbers completed.**
- 2.3 Contents numbered.**

#### **Contents:**

- 2.4 CS forms Correctly dealt with. (if applicable)**
- 2.5 TOR Completed and enclosed where appropriate**
- 2.6 Case progression notes enclosed in appendix**

**IN CONFIDENCE****1. File Construction:****Construction****1.1 File cover set out correctly:**

The green case file should set out as shown below. The “Assigned to:” columns should be completed clearly and kept up to date.

<b>CONFIDENTIAL</b>					
<b>SECURITY</b>					
Assignment Details:			<b>POLTD/0607/000</b>		
<b>Post Office LTD. DMB Cash Loss £3,500</b>					
<b>Nosuch DMB UB8 4TG</b>					
<b>Branch Code: 078 345</b>					
Assigned to:	Business Unit	Date	Assigned to:	Business Unit	Date
<b>A. Smith</b>	<b>POLTD.</b>	<b>03/09/05</b>			
<b>Casework Management</b>	<b>POLTD.</b>	<b>13/09/05</b>			

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**1.2 CS230 paged at page one:**

The CS230 (Investigation capture details form) should always be paginated at page one to the report.

**1.3 Pages numbered correctly:**

The file pages should be numerically indicated, by pencil, in the top right hand corner of each subsequent page.

**1.4 Correct font for all reports:**

All reports paginated by the investigator should be in the correct business font. (This is currently **Post Office Sans, font size 14**)

**1.5 Appendix associated:**

A buff colour, appendix (Evn.2007) should be associated and enclosed at the rear of the file in. The appendices must be attached to the file cover using either an orange or yellow, treasury tag.

## **2. Appendix**

### **Construction:**

**2.1 Appendix clearly marked**

The appendix should be clearly marked “**CONFIDENTIAL**”

**2.2 Paper numbers completed**

The line “Paper No’s” should be completed with **POLTD/** followed by the case file number.

**2.3 Contents numbered.**

Each item listed in the contents column should be clearly numbered.

### **Contents:**

**2.4 CS forms Correctly dealt with. (If applicable)**

These forms should be dealt with correctly with all relevant fields completed; the forms enclosed should be clear and readable.

**2.5 Terms of Reference form completed and copy enclosed.**

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This should be completed correctly with all relevant fields completed and a hard copy enclosed in the appendix

**2.6 Case progression notes enclosed.**

The case progression notes should be enclosed in the appendix