

Security Operations Team - Case Compliance			Compliance score as a %
Case Reference/Office			Score (see Comments tab)
Security Manager			
Security Team Leader			
Date of Compliance Check			
Compliance check undertaken by:			
Case file			
1	File construction	Urgent Today label used (red and attached to top left of file)	0.5
2		File cover set out correctly/ 'Assigned to' columns completed	0.5
3		Pages numbered correctly (top right corner in pencil)	0.5
4		Correct Font for all reports (CHEVIN LIGHT 12)	0.5
5		Offender Report & Interview report - paged	0.5
6		Appendices A, B and C associated	0.5
7	Timescale/pace of enquiry	File submitted within 15 working days & progressed in a timely manner	10
Offender Report			
8	Preamble	Preamble as policy template inc header/footer & correct heading	1
9	Investigation background	Investigation background reported (in sufficient detail to explain case)	5
10		Enquiries conducted reported (in sufficient detail to explain case)	5
11	Offender interview details	Offender approach reported	1
12		Reference to Notebook entry made reported	1
13		Details of Suspect interview and searches as applicable	1
14		Admissions/denials identified and reported	5
15		Details to identify and recover loss and assets (including searches)	5
16		Adequacy of interview - learning points.	10
17		Interview concluded, Time and Tape details	1
18	Post interview details	Period of offences identified	3
19		Assessment of evidence available to support charges	5
20		Details of domestic and financial details of offender(s)	5
21		Reliability of witness reported	1
22		Outstanding enquiries reported	2
23		Loss to Post Office® reported	1
24		Accounting aspect status reported	1
25		Subsequent enquires to identify and recover loss and assets	1
26		NPA forms and antecedents	1
27			Details of failures in security, supervision, procedures and product integrity reported
Taped Interview Record			
28	All aspects of interview	Header completed correctly	0.5
29		Correct use of verbatim/summarising (as per Guide)	2
30		Introductions, legal rights, friend rule explained	1
31		Time shown on each page	0.5
Appendices A, B and C			
32	Construction	Appendices clearly indicated A,B or C and each marked 'In Confidence'	0.5
33		Contents in correct appendix	0.5
34		Contents numbered	0.5
35	Contents	Copy of working tapes associated	1
36		No original exhibits	1
37		GS001/GS003/GS005/GS045 & other GS forms correctly dealt with	1
38		FES completed/submitted in full detail within 72 hours	5
39		Personnal print out properly obtained	1
40	Notebook	Copy Notebook enclosed-(photocopy or typed)	1
41		Notebook details (conversations, observations and factual details)	1
42	Other	PORA completed and copy enclosed when appropriate.	5
Discipline Report			
43	Preamble	Preamble as policy template inc header/footer & correct heading	0.5
44	Investigation background	Investigation Background & enquiries conducted	1
45		Details of interview conducted	1
46	Offender interview details	Admissions/denials/allegations substantiated, identified and reported	1
47		No reference to files/appendix, absent documentation or sensitive info	1
48	Post interview details	Period of offences, loss & details of failures in security, supervision and procedures	1
Stakeholder Engagement			
49	Initial/Ongoing	Completion/submission - Initial Stakeholder Notification email (Appendix C)	1
50		Completion/submission - Procedural failings email, correct Stakeholders (Appendix C)	1
OVERALL SCORE:			100

Number	Comment
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Other	



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Post Office Ltd

Security Operations Team

Compliance

Guide to the Preparation and Layout of Investigation Red Label Case Files

File construction and Appendices A, B & C

Introduction

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1

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The aim of this document is to give guidance to Security Operations Managers and Team Leaders on the current compliance standards for the preparation of red label case files and appendices A, B and C.

Contents:

- 1. File Construction:**
 - 1.1 Urgent Today Label used.**
 - 1.2 File cover set out correctly.**
 - 1.3 POL230 paged at page one.**
 - 1.4 Pages numbered correctly.**
 - 1.5 Correct font for all reports.**
 - 1.6 Offender report paged.**
 - 1.7 Interview paged.**
 - 1.8 Appendices A, B and C associated.**
 - 1.9 Discipline report associated.**

- 2. Appendices A, B & C:**

Construction:

- 2.1 Appendices clearly marked.**
- 2.2 Paper numbers completed.**
- 2.3 Contents in correct appendix – Contents of A, B and C.**
- 2.4 Contents numbered.**

Contents:

- 2.5 Copy of working tapes associated.**
- 2.6 No original exhibits.**
- 2.7 POL001 correctly dealt with. (Not Scottish or if offender arrested)**
- 2.8 POL003 correctly dealt with. (Not if offender arrested)**
- 2.9 POL005 / POL045 correctly dealt with. (If applicable or Police search record copy enclosed)**
- 2.10 Other POL forms and NPA forms correctly dealt with. (if applicable)**
- 2.11 Accounting documentation correctly. (if applicable)**
- 2.12 Personal Printout properly obtained.**

3. Notebook:

- 3.1 Copy of notebook entry enclosed. (Photo copy or Typed)**
- 3.2 Notebook details. (conversations, observations and factual details)**

4. Other

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4.1 Planned Operational Risk Assessment (PORA – POL019) – completed/copy enclosed as appropriate.

4.2 Stakeholder Notification completed and copy enclosed where appropriate.

1. File Construction:

1.1 Urgent Today Label used:

The red label POL104 should be attached to the front of the file and remain there until the case is settled.

1.2 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.

CONFIDENTIAL					
SECURITY					
Assignment Details:				POLTD/0506/000	
Post Office LTD. Crown Office Cash Loss £3,500					
Nosuch CO UB8 4TG					
FAD: 078 345					
Assigned to:	Business Unit	Date	Assigned to:	Business Unit	Date
A. Smith	POLTD.	03/09/05			
Casework Management	POLTD.	13/09/05			

1.3 POL230 paged at page one:

The POL230 (Investigation capture details form) should always be paginated at page one to the report.

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1.4 Pages numbered correctly:

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

1.5 Correct font for all reports:

All reports paginated by the investigator should be in the correct business font. (This is currently Chevin Light, font size 12).

1.6 Offender report paged:

The offender/s report should be paginated directly following the POL230 (all in one case raise form) the first page there should be a separate "Preamble" for each offender prior to commencing the report actual with the addressee (Currently) "**Post Office Ltd Legal & Compliance Team**"

1.7 Interview paged: (where produced)

The interviews of any offender/s should be paginated in chronological order following the "Offender Report". Any subsequent reports and interviews should be paginated in chronological order thereafter.

1.8 Appendices A, B and C associated:

The three, buff colour, appendices (Env.2007) should be associated and enclosed at the rear of the file in alphabetical order. Appendices must be attached to the file cover using a treasury tag.

1.9 Discipline report associated:

A copy of the Discipline report should be forwarded to POLTD. Casework Management (Security Team) by E-mail, this will then be associated in the casework management offender file.

2. Appendices A, B & C:

Construction:

2.1 Appendices clearly marked

The three appendices should be clearly marked A, B or C and associated in the file in alphabetical order. All three appendices should be marked clearly "In Confidence"

2.2 Paper numbers completed

The line "Paper No's" should be completed with POLTD/ followed by the case file number.

2.3 Contents in correct appendix.

All documentation should be enclosed in the correct appendix:

Appendix A

- Statements (copies)

Appendix B

- Copies of evidence.
- Tape summaries and tapes (Summaries dealt with by CWM Team)

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- Copies of legal Rights and search forms (POL001 (Scottish POL003), POL005 and any police search record)
- Notebook entries.

Appendix C

- Copy Friends at Interview Forms (POL003)
- Antecedents (POL033)
- NPA forms (NPA1 – 3)
- Disclosure forms (for committal) (POL006B, POL006C, POL006D and POL006E)
- Miscellaneous (relevant) e.g. Bank Disclosure Authority, Without Prejudice Receipt if applicable, Personnel/Staff Printouts, Accounting records, Records of Transaction Corrections, Stakeholder Notification, Failings Notification, Discipline Report - anything that forms part of the case that is not in Appendix 'B' but is mostly relevant to Criminal Law Team.

2.4 Contents numbered.

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

Contents:

2.5 Copy of working tapes associated.

A copy of the working tape of the interview/s should be associated in appendix B.

2.6 No original exhibits.

There should be no original exhibits or statements in any appendix.

2.7 POL001 correctly dealt with. (Not Scottish or if offender arrested)

This should be completed correctly with all relevant fields completed; the copy enclosed should be clear and readable.

2.8 POL003 correctly dealt with. (Not if offender arrested)

This should be completed correctly with all relevant fields completed; the copy enclosed should be clear and readable.

2.9 POL005 / POL045 correctly dealt with. (If applicable or Police search record copy enclosed)

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

2.10 Other POL forms and NPA forms Correctly dealt with. (If applicable)

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

2.11 Accounting documentation correctly dealt with. (If applicable)

These should be completed correctly if applicable, with all relevant fields completed; the copies enclosed should be clear and readable.

2.12 Personnel Printout properly obtained.

The copy enclosed should be clear and readable.

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3. Notebook:

3.1 Copy of notebook entry enclosed.

A copy of any notebook entry made should be enclosed in appendix B.

3.2 Notebook details. (Conversations, Observations and Factual details)

Notebook entries should contain details of, date, time, location, attendance, conversations, observations and factual details.

4. Other:

4.1 PORA completed and copy enclosed where appropriate.

This should be completed correctly with all relevant fields completed.

4.2 Stakeholder Notifications completed and actual email copy enclosed where appropriate.

This should be completed correctly with all relevant fields completed.

4.3 Organisational/Business/Procedural, Failings Notifications completed and actual email copy enclosed where appropriate

This should be completed correctly with all relevant fields completed.

4.4 Financial Evaluation Sheet (FES) correctly dealt with where applicable

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



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Post Office Ltd

Security Operations Team

Compliance

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

Offender reports & Discipline reports

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GUIDE TO THE PREPARATION OF SUSPECT OFFENDER REPORTS

The purpose of the Suspect Offender report is to provide a storyboard of the events and evidence of an investigation to the relevant Stakeholders and Post Office Ltd Legal & Compliance Team to enable a decision to be made as to the future conduct of a case.

This guide is produced for all Security Operations Managers, irrespective of location, so those in Scotland and Northern Ireland will need to interpret some of the content accordingly, e.g. for Scottish cases read 'Exhibits' as 'Productions'.

The general principle is that the description of investigation activities should read in the sequence they occurred so it may be necessary to re-order the paragraphs or elements within them. The following is only a guide to the preparation of an offender report and accordingly relevant additional information should be included as appropriate.

A single report is required in cases where more than one suspect offender is identified and interviewed as being involved in the same offence, however a separate preamble must be included for each individual.

The text element of the Suspect Offender report should commence immediately underneath the preamble/s. The Header/Footer on the report should read 'POST OFFICE® LTD CONFIDENTIAL – INVESTIGATION, LEGAL'.

Where reference is made to evidence or property in the body of the report, the item reference number (i.e. AA/1) should follow the description. If documents referred to in the report are paged into the body of the file, or are associated at an appendix, reference must be made to their location.

Use:

Font: Chevin Light
Style: Normal
Font size: point 12
Spacing: single

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The aim of this document is to give guidance to Security Operations Managers and Team Leaders on the current compliance standards for the preparation of red label case offender reports and discipline reports.

Contents:

1. Offender report:

Preamble.

- 1.1 Header and footer.
- 1.2 Preamble as policy template
- 1.3 Correct heading.

Investigation Background.

- 1.4 Investigation Background reported.
- 1.5 Inquiries conducted reported.
- 1.6 Planning & Operation

Offender Interview Details.

- 1.7 Offender approach reported.
- 1.8 Reference to note book entry made.
- 1.9 Details of suspect interview and searches as applicable.
- 1.10 Preliminaries.
- 1.11 Admissions/denials identified and reported.
- 1.12 Details to identify and recover loss and assets.
- 1.13 Interview concluded and tape details.

Post Interview.

- 1.14 Period of offences identified.
- 1.15 Assessment of evidence available to support charges.
- 1.16 Details of domestic and financial details of offender/s.
- 1.17 Reliability of witnesses.
- 1.18 Outstanding inquiries confirmed.
- 1.19 Loss to Post Office LTD. Reported.
- 1.20 Accounting aspects status reported.
- 1.21 Subsequent enquiries and actions to identify and recover loss and assets.
- 1.22 NPA forms and antecedents.
- 1.23 Copy reports and tape summaries etc.
- 1.24 Details of failures in security, supervision, procedures and product integrity.
- 1.25 Concluding paragraph.

2. Discipline report:

Preamble.

- 2.1 Header and footer**
- 2.2 Preamble as policy template**
- 2.3 Correct heading.**

Investigation Background.

- 2.4 Investigation Background reported.**
- 2.5 Inquiries conducted reported.**

Offender Interview Details.

- 2.6 Details of suspect interview**
- 2.7 Admissions/denials identified and reported.**
- 2.8 All allegations in report substantiated and facts only supported.**
- 2.9 Details to identify and recover loss and assets.**
- 2.10 No reference to files or documentation that are not associated**

Post Interview.

- 2.11 Period of offences identified.**
- 2.12 Outstanding inquiries confirmed.**
- 2.13 Loss to Post Office LTD. Reported and accounting aspects status reported.**
- 2.14 Details of failures in security, supervision, procedures and product integrity.**
- 2.15 Concluding paragraph.**

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1. Offender report:

Preamble

1.1 Headers and Footer- "POST OFFICE LTD. CONFIDENTIAL INVESTIGATION, LEGAL"

1.2 Preamble as policy template (See below)

POLTD/0405/

OFFENCE

(Indicate here type (s) of offence – i.e. Theft, False Accounting, Money Laundering...)

Name:

Rank:

Identification Code: (Numbers 1 to 7 only)

Office:

Branch Code

Age:

Date of Birth:

Service:

Date Service Commenced:

Personnel Printout:

At Appendix: C

Nat Ins No:

Home Address:

Suspended/Contract for Services Suspended:

(date) on the authority of (managers name)
(Delete either Suspended/Contract for Services Suspended)

Handed into custody:

(Date & name/rank of authorising officer)
(Delete rows if not applicable)

At:

(Name of police station)
(Delete rows if not applicable)

Charged:

To appear at (time) on (date) at (Court)
(Delete rows if not applicable)

To be prosecuted by:

Post Office Ltd / Crown Prosecutor

Designated Prosecution Authority:

██████████, ██████████

Discipline Manager:

(Managers name)

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1.3 Correct heading

To addressee, this is currently “Post Office Ltd Legal & Compliance Team”

Investigation Background

1.4 Investigation background reported.

This should cover details of the office, or location, of the offence/s with details or information current or historical relating to the office or persons employed or residing there. Give a brief description of the office involved, e.g. urban/rural/small/large.

State details of sub postmaster and number of assistants employed.

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. A copy of any reports/documents should be referred to and associated at the relative appendix.

An explanation of correct procedures should be given in cases where it is felt that information about the POLTD process may be of use to the Legal & Compliance Team.

1.5 Inquiries conducted reported.

Details of the inquiry undertaken by the Security Manager, to include items such as evidence gathering, analysis, observations, tests and witness evidence gained pre “offender interview”. The outcome of enquiries should be explained, together with the conclusions reached by the Security Manager.

1.6 Planning & Operation

Reference must be made regarding applications for testing/surveillance operations, with signed copies of testing/RIPA applications, Planned operation Risk Assessments (PORA) forms, associated at appendix ‘B’. Forms and outputs for other criminal checks should also be associated at appendix ‘C’.

NB: The exception to this is where a positive result has been obtained in relation to a PNC check. In these circumstances the conviction details must be placed within a sealed envelope, marked ‘In Confidence’ and be associated at appendix ‘C’.

NB: PORA must be completed in all cases that do not involve same day apprehension/searches/interviews. Where immediate enquiries are made, verbal risk assessment activities must be undertaken (by Security Manager or a colleague) as a minimum and results/details recorded in note book.

Offender Interview Details.

1.7 Offender approach reported.

This should contain detail of the Security Manager’s first approach to any suspect/s and cover the date, time, location, introduction, explanation, caution, request to attend

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voluntary tape-recorded interview and completion of the POL001 side A and POL005 if done at this stage. There are of course many variations and additions to this for example if the police are involved or if the suspect/s make any admissions or significant statements. All need to be reported at this stage in the offender report

1.8 Reference to note book entry made.

PACE advises that note-book entries must be made for each suspect offender interview. Any such entry must detail date, time, place, subject and duration of interview along with master tape number. In addition, note-book entries must be made to account for conversations, observations and factual details not captured by audio tape (or prior to commencing interview) and in particular to cover prolonged periods between engaging suspect offender and eventual interview.

1.9 Details of suspect interview and searches as applicable

This should contain details of the date, start time, location, attendance (investigation managers, suspect, legal representation Post Office friend and any other) POL001 (not Scotland) and the POL003. Reference should be made to any tape transcription or summary if produced and the page numbers attributed to either. For example:

At 0900 hours on 23 January 2005, I interviewed (name) at Leeds Branch Office. Present throughout the interview were Mr Alan Smith, Security Manager and Mr James Lawyer, Solicitor. The interview was tape-recorded and a tape summary has since been prepared, a copy of which is now at pages to

Copies of the working tapes are enclosed at appendix "B". I have retained the Master tapes.

A copy of the form POL001 (item no. AA/1) is associated at appendix 'B'.

Reference should also be made in this section to the outcome of searches conducted during the interview process. Copies of search forms are to be associated at appendix 'B.

NB: Searches are mandatory for all losses. There are two main reasons for this; 1) to identify, record and recover assets, 2) to secure any further evidence that may assist the criminal investigation. Any decisions not to conduct searches must be authorised by Team Leaders and such decisions recorded (in report and/or notebook). Where a risk materialises that warrants safety concerns (e.g. number of individuals on the premises) police involvement should be sought.

1.10 Preliminaries.

This should contain brief, relevant, preliminary details asked at the start of the interview and could include, career histories, employment, training, responsibilities, security awareness and procedural questioning.

1.11 Admissions/denials identified / reported and points to prove covered.

This should contain admissions and denials made during interview and in particular those relating to the offences listed in the preamble to the report (to include amounts and offence dates of any admission). The section should be more detailed if the Security Manager is not submitting a supporting tape transcription or tape summary.

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1.12 Details to identify and recover loss and assets.

This should contain details resulting from any questions and answers asked during interview, which relate to or have an impact on identifying and recovering loss and assets. A Financial Evaluation Sheet (FES) must also be completed as fully as possible and submitted to the Financial Security Manager within 72 hours of interview. Evidence of assets and financial documentation are of paramount importance in relation to asset recovery.

1.13 Interview concluded and tape details or custody record.

This should contain the time the interview concluded and where the tapes are now stored. Reference should be made here to any custody records if applicable.

Post Interview.

1.14 Period of offences identified.

State the start and end date of offence/s detailed in preamble to report.

1.15 Assessment of evidence available to support charges.

This should contain the Security Manager's assessment of the evidence available to support the offences detailed in the preamble to the report it should identify conflicting evidence statements or admissions and include comment on demeanour of offender, an assessment of their response to questioning, whether full scope of offence has been admitted to and suggested reason as to why crime committed (i.e. greed, gambling). It may contain opinion and any other matters not listed above which are substantial and relevant. Recommend prosecution or, alternatively, give an explanation why prosecution is not advised.

NB: Where appropriate, reference should be made to evidence of Money laundering offences. Where Money Laundering is evident, this enables Financial Security Managers to utilise investigative powers within the Proceeds of Crime Act (POCA) 2002.

1.16 Details of domestic and financial details of offender/s.

This should contain any domestic, health and financial details including any mitigating circumstances of offender/s gathered, at or post interview, which are not readily found in any personal printout associated and which may have an impact on prosecution and or financial recovery considerations.

1.17 Reliability of witnesses.

This should contain the Security Manager's assessment as to reliability of any relevant witness or witness statement in the case.

1.18 Outstanding inquires reported.

Reference should be made to any necessary inquires yet to be made, along with a reasonable assessment as to there progress and or completion.

1.19 Loss to Post Office LTD. Reported.

State the overall loss to the business (after allowing for any recovery) caused by the offender's wrongdoing. Also state the actual loss to the business if different. Comment on

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any restitution received from offender, its disposal or location and the 'without prejudice' receipt.

1.20 Accounting aspects status reported.

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

1.21 Subsequent enquiries and actions to identify and recover loss and assets.

This should contain details resulting from any subsequent investigations, which relate to or have an impact on identifying and recovering loss and assets (POL045). Reference must also be included as to whether the papers have been referred to a Post Office Ltd Financial Investigation Manager, who should be engaged throughout the end to end process of the investigation.

1.22 NPA Forms/Antecedents:

Refer to completion of NPA and antecedent documentation and where appropriate the submission of them to CIO. Copy documents are to be associated at appendix 'C'.

1.23 Copy Reports/Tape Summaries, etc.:

State what has been submitted electronically to Casework and say where other relevant documents are to be found, or give their disposal.

1.24 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 Security Manager 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**.

The 'Procedural Failings' form (within the 'All In One Case Raise' spreadsheet) should also be completed within 48 hours of interview and circulated to relevant Stakeholders. One of the Stakeholders is Crime Risk, who are responsible for capturing emerging crime trends and/or prevalent failings that contribute to fraud within the business.

1.25 Reason for File Submission

Explanation as to reason for submission of case file.

2. Discipline report:

Preamble.

2.1 Header and footer "POST OFFICE LTD CONFIDENTIAL: INVESTIGATION, PERSONNEL"

2.2 Preamble as policy template. (See below)

POLTD/0405/

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Name:

Rank:

Office:

Branch Code:

Age:

Date of Birth:

Service:

Date Service Commenced:

Home Address:

Suspended/Contract for Services Suspended: (date) on the authority of (managers name)
(Delete either Suspended/Contract for Services Suspended)

Discipline Manager: (Managers name)

2.3 Correct heading. "Discipline Manager"

Investigation Background.

2.4 Investigation Background reported.

This should cover details of the office, or location, of the offence/s with details or information current or historical relating to the office or persons employed or residing there. Care must be exercised when detailing information relating to how the suspected offences came to attention and in particular advice should be sought, from Legal & Compliance Team, prior to including any information that has not been divulged to the suspect offender as part of the enquiry proper. In particular, advice must be sought when dealing with the issue of Covert Human Intelligence Sources or Human Intelligence Source.

2.5 Inquiries conducted reported.

Details of the inquiry undertaken by the Security Manager, to include items such as evidence gathering, analysis, observations, tests and witness evidence gained pre "offender interview". However, this again must be restricted to those details which have been disclosed at interview and advice must be sought prior to including any investigative practices / techniques not previously disclosed to the suspect.

Offender Interview Details.

2.6 Details of suspect interview.

This should contain details of the date, start time, duration, location, attendance (Security Managers, suspect, legal representation Post Office friend and any other). Reference should be made to the number of tapes used, and as to whether interview tape transcription / précis is associated or, if not, where copies of the tapes can be obtained.

2.7 Admissions/denials identified and reported.

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This should contain any admissions and denial made during interview. Reference should be made to amounts and dates of any admission. The section should be more detailed if the Security Manager is not submitting a supporting tape transcription or tape summary.

2.8 All allegations in report substantiated and facts only supported

It is for the Security Manager to ensure that any allegation in the report is substantiated by evidence or admissions made during the interview.

No supposition, inference or personal, unsubstantiated, comment should be included within the report.

2.9 Details to identify and recover loss and assets.

This should contain details resulting from any questions and answers asked during interview, which relate to or have an impact on identifying and recovering loss and assets.

2.10 No reference to files or documentation that are not associated.

It is for the Security Manager to check the discipline report to ensure that all "opinion" has been removed along with references to files or documentation associated to the offender report, which are not necessarily associated or attached to the discipline report.

Post Interview.

2.11 Period of offences identified.

State the start and end date of offence/s detailed in preamble to report.

2.12 Outstanding inquires confirmed.

Reference should be made to any necessary inquires yet to be made, along with a reasonable assessment as to their progress and or completion. Again, care must be exercised in revealing here any information that the Security Manager would not wish immediately relayed to the suspect offender; examples would include fresh lines of enquiry that the Security Manager may wish to test and challenge by way of re-interview or actions relating to the use of POCA powers.

2.13 Loss to Post Office LTD. Reported and accounting aspects status reported.

State clearly any loss to Post Office LTD along with the status of any accounting aspect to be dealt with.

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

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

Significant failures that may affect the successful likelihood of any criminal action and/or cause significant damage to the business must be confined, solely, to the confidential offender report. Care must be exercised when including failures within the Discipline Report as obviously this is disclosed to the suspect offender and may have ramifications on both the criminal elements of the enquiry, as well as being potentially damaging to the

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reputation or security of the business. If you are in any doubt as to the appropriateness of inclusion or exclusion you must discuss with your Team Leader.

2.17 Reason for File Submission

Include here the reason for submitting the discipline report.

OFFENCE

Theft/False Accounting/Fraud/Money Laundering/etc

Name:

Rank:

Identification Code:

Office:

Branch Code:

Age:

Date of Birth:

Service:

Date Service
Commenced:

Personnel Printout:

At Appendix: C

Nat Ins No:

Home Address:

Suspended/Contract for
Services Suspended:

Handed into custody:

At:

To be prosecuted by:

Designated Prosecution
Authority:

[REDACTED], [REDACTED]

Discipline Manager:

Post Office Ltd Legal & Compliance Team

Investigation background

Enquiries conducted

Planning & Operation

Offender approach reported

Reference to notebook entry made

Details of suspect interview & searches

POST OFFICE LTD CONFIDENTIAL: INVESTIGATION, LEGAL

Admissions / denials identified / reported and points to prove covered

Details to identify and recover loss and assets

Interview concluded and tape details or custody record

Period of offences identified

Assessment of evidence available to support charges

Details of domestic and financial details of offender

Reliability of witness

Outstanding enquiries reported

Loss to Post Office Ltd

Accounting aspects/status reported

Subsequent enquiries and actions to identify and recover loss and assets

NPA forms / antecedents

Copy reports / tape summaries

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

Reason for file submission

(Signature)

Print Name
Security Manager

Contact Number:

Date:

Name:

Rank:

Office:

Branch Code

Age:

Date of Birth:

Service:

**Date Service
Commenced:**

Home Address:

**Suspended/Contract for
Services Suspended:**

Discipline Manager:

Discipline Manager

Investigation background

Enquiries conducted

Offender approach reported

Details of suspect interview & searches

Admissions / denials identified / reported and points to prove covered

Details to identify and recover loss and assets

Period of offences identified

Assessment of evidence available to support charges

Details of domestic and financial details of offender

Outstanding enquiries reported

Loss to Post Office Ltd

Accounting aspects/status reported

Subsequent enquiries and actions to identify and recover loss and assets

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

Reason for file submission

(Signature)

Print Name
Security Manager

Contact Number:

Date:

Identification Codes

1 White Skinned European Types

ie British, French, German, Swedish, Polish, Russian etc.

2 Dark Skinned European Types

ie Greek, Cypriot, Turkish, Spanish, Italian, Sicilian, Sardinian, etc.

3 Negroid Types

ie West Indian, Nigerian, African, Caribbean, etc.

4 Indian/Pakistani Types

ie Asian, etc.

5 Chinese/Japanese Types

ie Malaya, Japanese, Philippino, Burmese, Siamese, Mongolia, etc.

6 Arabian/Egyptian Types

ie Algerian, Tunisian, Moroccan, North Africans, etc.

7 Not Known

Security Operations Team

SUBJECT: Summarising of Tape Recorded Interviews

The purpose of this circular is to advise Security Managers to changes in the requirements for summarising taped recorded interviews. As a result of discussions with Legal & Compliance Team, it has been agreed that there is no longer a requirement to prepare, as previously required as part of the summary, a verbatim preamble from start of interview up to the stage that a Post Office® friend is offered. Accordingly, from the date of this circular it will be acceptable to prepare an abridged preamble along the lines of the following:



Record of Tape Recorded Interview

Person Interviewed	Mrs Anne SMITH (AS)	Exhibit No: Number of pages:	
Place of Interview	Quids Inn Post Office® 43 Eccleston Road Wigan WN4 0SS		
Date of Interview	01 st July 2***	Signature of interviewing officer producing exhibit	
Time commenced	1026	Time concluded	12.33
Duration of interview	1hr 40mins	Tape reference no	053436, 053437 & 053438
Interviewing Officer(s)	David JONES (DJ)	Graham Peters (GP)	

Other persons present

Tape counter times	Person speaking	Text
0010		Usual introductions made, caution administered and explained. Forms POL001 & POL003 completed. AS declines the presence of a Post Office® friend or solicitor.

The exception to this abridged style will be summaries prepared by new recruits, or Security Managers considered to require development to which the additional check-step of a verbatim preamble is considered necessary by the Security Team Leader. Such requirements will be indicated by your Team Leader.

Irrespective of the style of preamble, then the summary itself must cover:

Security Operations Team

- Verbatim, all admissions relating to the offence or offences under investigation and the questions and answers leading up to them along with the tape counter time(s). These will include ambiguous admissions (e.g. one of the main elements of the offence may be missing - "I borrowed the money but would have put it back") and qualified admissions (e.g. raising a potential defence - "I borrowed the money as my Branch Manager said I could").
- When any admission is made to an offence which is not the immediate subject of investigation but which might be taken into consideration, the tape counter time(s) should be noted and a brief description given in the record of interview. The summary should contain sufficient information to enable Legal & Compliance Team to formulate charges that adequately reflect the gravity of the offender's conduct and how the case might best be presented in court.
- Main salient points must be recorded verbatim. These will include statements or questions about intent, dishonesty or possible defence, as well as matters such as knowledge of key facts, any description of duties/procedures or assertion that others were involved.
- The issue of whether a prosecution will follow should not normally be discussed in the context of an interview but, if it is, it must be recorded verbatim.

It is essential that all legal and business formalities remain adhered to and that the full explanation of the caution continues to be offered. Periodic checks will be conducted on submitted enquiries to ensure ongoing conformance.

Notebooks

Notebooks are issued by the Post Office Ltd Security Team and consist of 100 numbered, double-sided, lined pages in a bound pad.

Notebook entries should include the following;

- Details of observations
- Details of interviews quoting Master Tape serial numbers
- Details of suspect/offender approaches
- Details of searches
- Details of conversations with informants
- Details of other conversations or verbal statements
- Factual matters such as the preparation of a test item, the movement of evidence etc

One person can make an entry which is countersigned by another person present at the same event – they must have seen exactly the same thing. If that is the case it is permissible for the two Investigation Managers to discuss the matter prior to the entry being made but an entry needs to be made in the notebook that they had done so.

It is important to be aware that in these circumstances the two colleagues are “consulting” with each other not “colluding”

- Date
- Time
- Description of item
- Where found
- Witness details
- Any other persons present
- Was the recovered item placed in an exhibit bag?
- Was a signature obtained for the completed notebook entry?
- Ask whether a friend was offered to the witness – make the point that taking a notebook entry in this way is no different to the other circumstances when a friend would be offered.