

## Summary from 2015-2016:

Summary of whistleblowing reports in the year 2015/16

Number	Date	Subject of report	Mode of contact	Action	Result
1	September 2015	Behaviour of senior management	Verbally to GC	Investigated – insufficient evidence to support allegation	Closed
2	November 2015	Activity of postmaster	Speak Up Line	Investigated – no evidence found	Closed
3	December 2015	Procurement process	Verbal to Legal team	Further information requested	Closed
4	January 2016	Relating to Sparrow investigation	E-mail forwarded from Lord Arbuthnot	Investigation to confirm whether matters have been addressed	Closed
5	January 2016	Activity of postmaster	Speak Up Line	Investigated – no evidence found	Closed
6	January 2016	Employment matters within third party	E-mail to Paula Vennells	Referred to third party and investigated in conjunction with them. No evidence of misconduct.	Closed
7	March 2016	Activity of colleague in branch	Speak Up Line	Investigated and matter resolved without intervention.	Closed

## Summary from 2016-2017:

3. In the period from end March 2016 to date only 3 whistleblowing reports have been received. This seems low, although previous years have not had materially more reports: 3 in 2014-15, and 7 in 2015-16.

4. The reports in the current year related to the following:

- A report was made to the FCA by an individual who was concerned that it appeared to be a normal practice for staff at a specific branch to be able to initiate transactions under a single log-in. The FCA referred the concern to Bank of Ireland. Bank of Ireland requested Post Office's assistance to respond to the complaint. POL provided a response to BoI as to the required Horizon protocols and there has been no follow up from the FCA or BoI.
- An anonymous report was made to the Speak Up line expressing concern as to the software procurement practices at Post Office. The CIO and Head of Procurement were asked to review the software procurement processes and confirm that they were satisfied that the processes are appropriate so as to ensure that requirements are properly scoped and relevant procurement processes followed. Their advice was that while anomalies will always occur, and the processes are cumbersome, overall they believe the processes are sufficiently robust.
- An anonymous report was made recently to the Security Team directly regarding certain practices being followed by the postmaster in a specified agency branch. As this report was only received a few days ago, it is still being investigated by the Financial Crime and security teams.

## Summary from 2017-2018

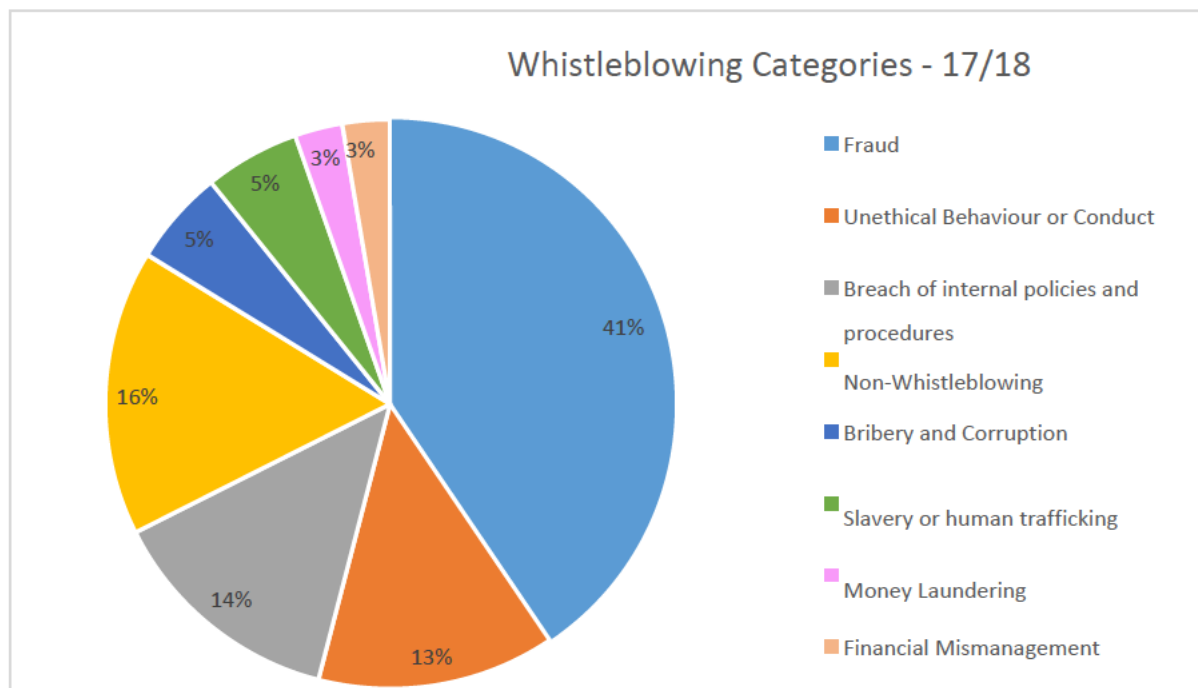
During 2017-18, 37 whistleblowing reports were received and 33 cases were closed. The majority of the allegations were about Postmasters or Agent Assistants (22 reports). There were 7 reports made about Post Office employees.

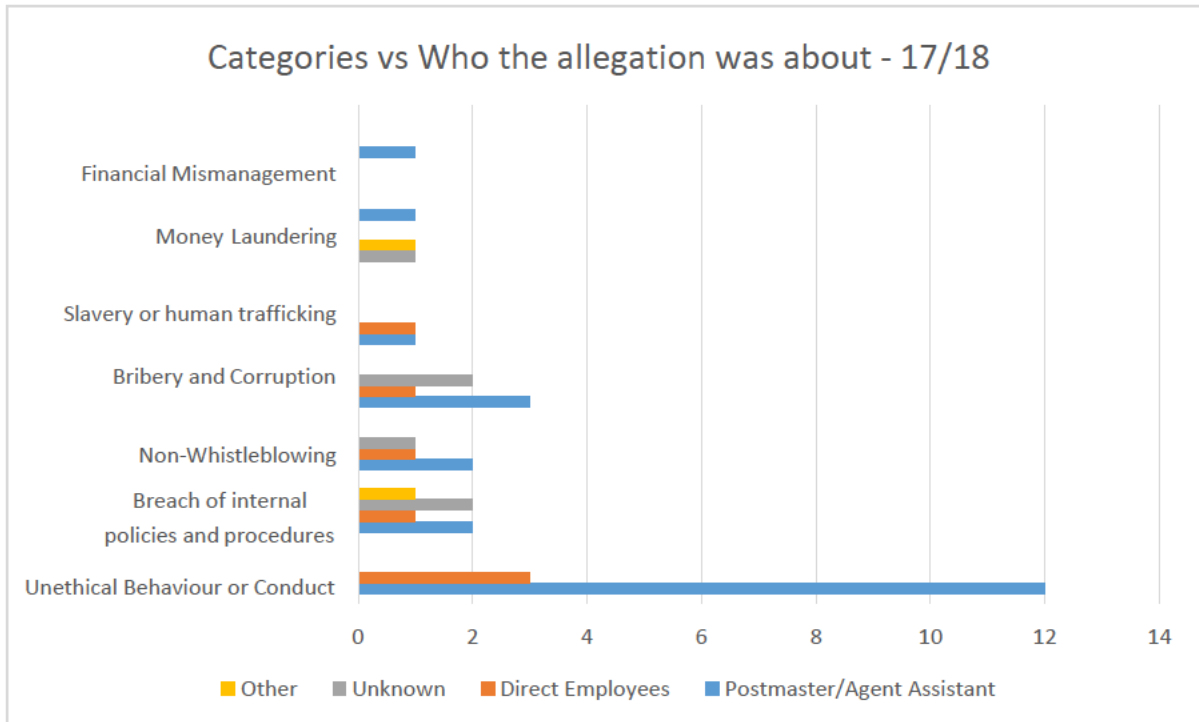
Allegations reported by 2017/18	Volume
Anonymous	10
Postmaster	9
Agent Assistant	6
Unknown	4
Direct Employee	3
Third Party*	3
Member of the public	2

Who the allegation was about 2017/18	Volume
Postmaster	12
Agent Assistant	10
Direct Employee	7
Unknown	6
Post Office Ltd	1
Branch	1

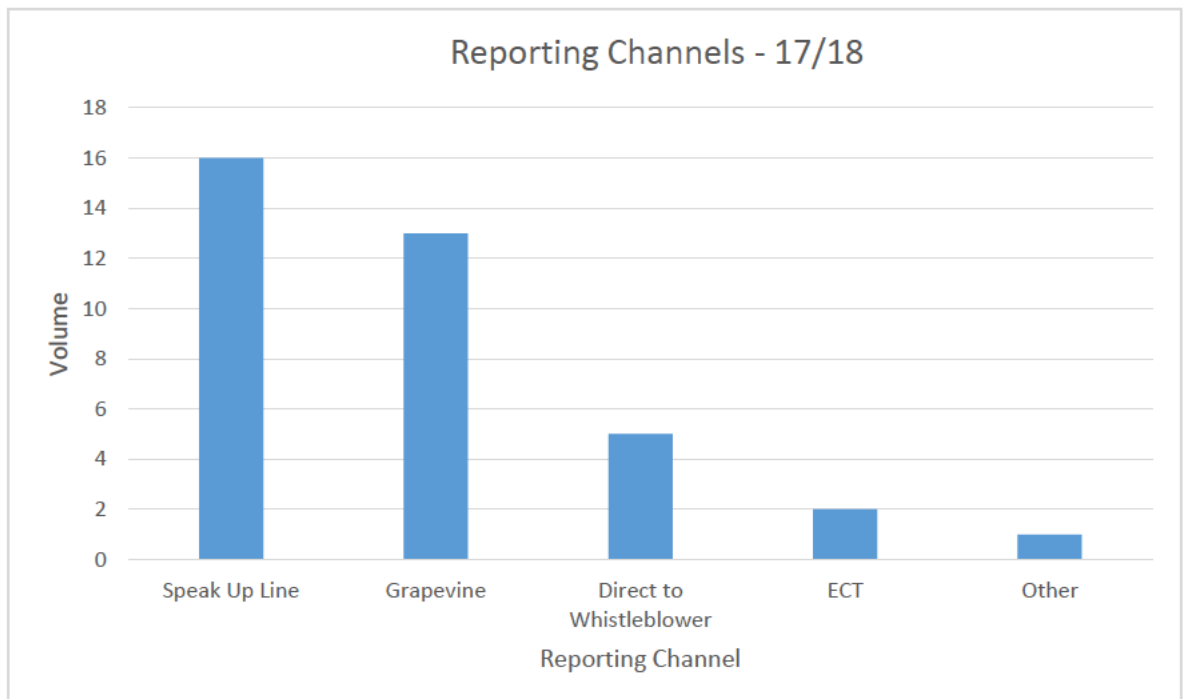
\*This includes the Police, Royal Mail and Bank of Ireland

10.41% of the reports received were allegations of fraud. Predominately this was about either a Postmaster or Agent Assistant (12), however, there were 3 reports involving Post Office employees.





The most popular channels used to report concerns were the Speak Up line (16) and Grapevine (13).



The whistleblowing reports have not identified any route cause which may indicate a systemic problem. However, some investigations have led to further issues being identified at branches and appropriate corrective action has been taken. This includes temporary suspensions of Postmasters.

## Summary from 2018-2019

The whistleblowing reports have not identified any route cause which may indicate a systemic problem. However, some investigations have led to further issues being identified at branches and appropriate corrective action has been taken. This includes temporary suspensions of Postmasters.

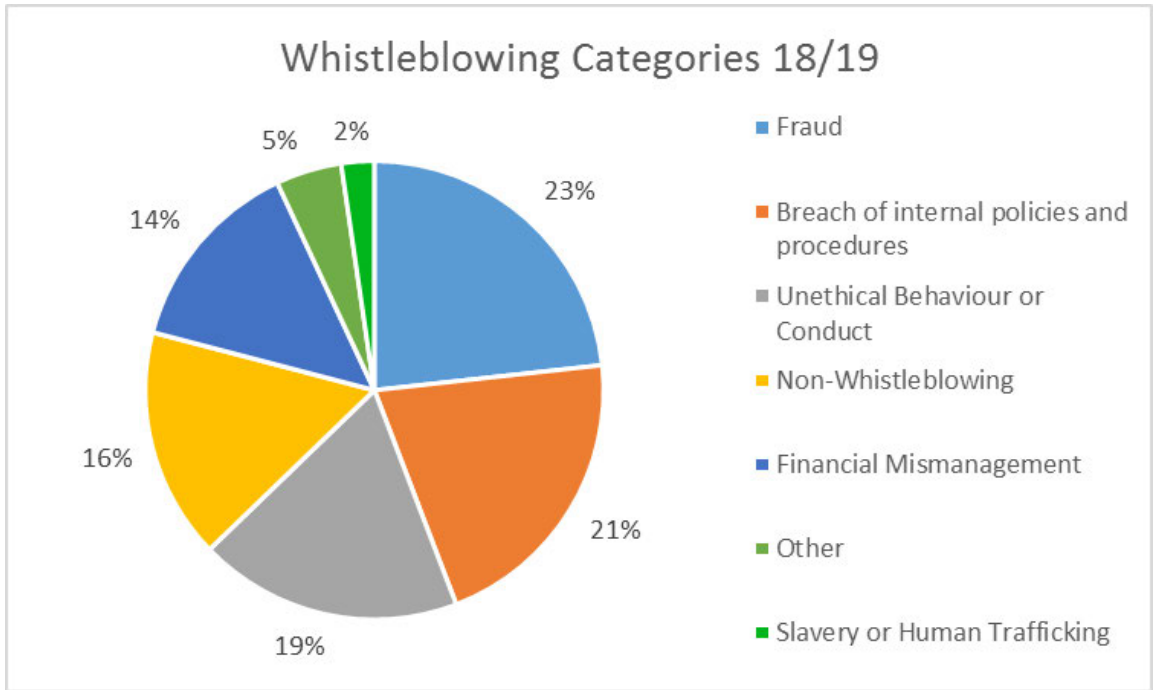
There have been numerous reports submitted by and about employees at a specific non-customer facing location, and each report has been investigated independently. This trend has been raised with the appropriate HR representative to investigate if there are any underlying root causes or issues at this location.

- 43 whistleblowing reports were received and 31 cases were closed.
- The majority of the allegations were about Postmasters or Agent Assistants (22 reports). There were 10 reports made about Post Office employees.
- There has been an increase in anonymous reports being submitted, with most anonymous reports being about employees (8) or postmasters (9). There has also been an increase Agent Assistants submitting reports about their Postmaster.

Allegations reported by	Volume 17/18	Volume 18/19	Percentage Increase/Decrease
Anonymous	14	21	50%
Agent Assistant	6	11	84%
Postmaster	9	4	-56%
Employee	3	3	0%
Member of the public	2	2	0%
Third Party*	3	2	-34%

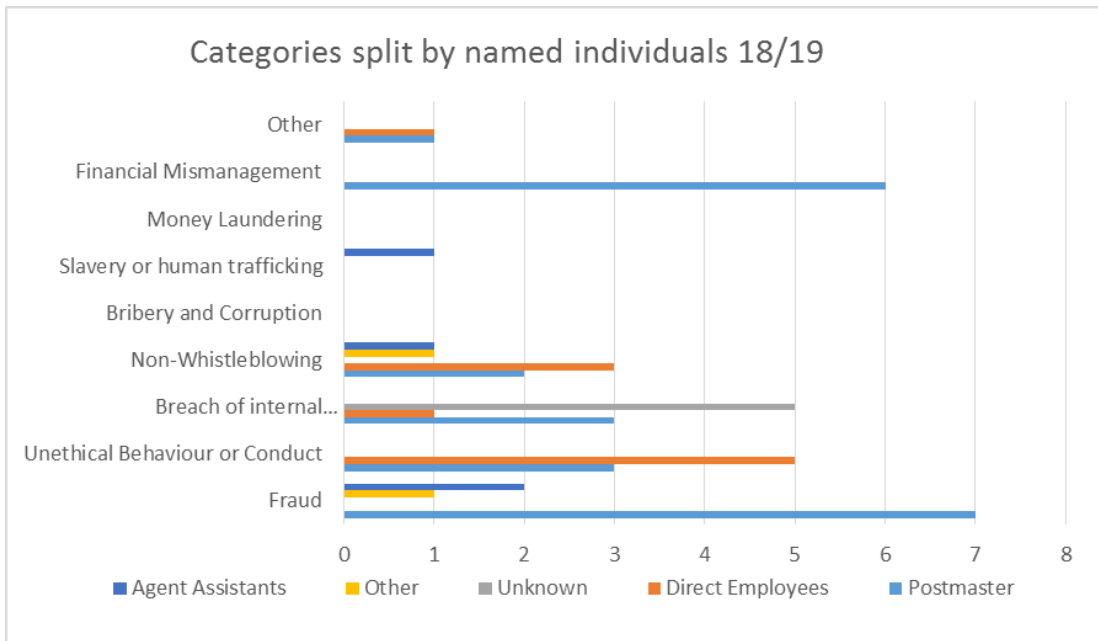
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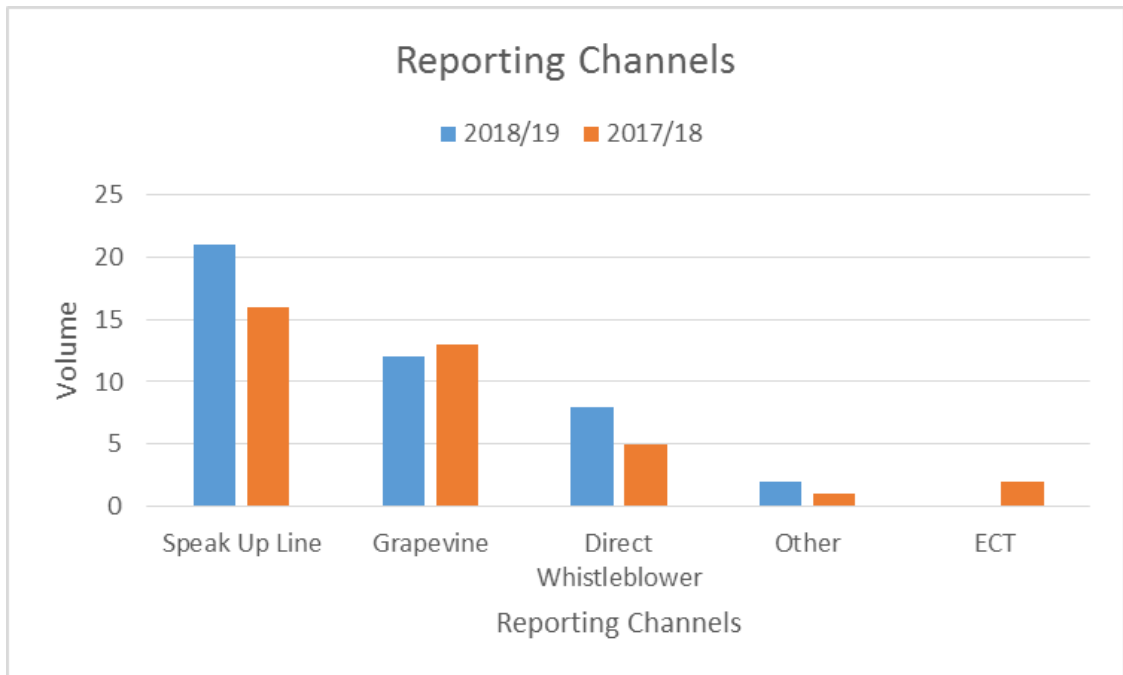
Who the allegations was about	Volume 17/18	Volume 18/19	Percentage Increase/Decrease
Postmaster	12	22	84%
Employee	7	10	43%
Unknown	6	5	-16%
Agent Assistant	10	4	-60%
Branch	1	2	100%
Post Office Ltd	1	0	-100%



In comparison to 2017/18, unethical behaviour or conduct increased from 13% to 19% and breach of internal policies and procedures increased from 14% to 21%.

- There were no reports of Money Laundering, Bribery or Corruption in 2018/19
- Majority of reports made about a Postmaster were allegations of fraud or financial mismanagement.
- Majority of allegations of unethical behaviour or conduct were made against Post Office employees.





In the last 2 years, the most popular channels used to report concerns were the Speak Up line and Grapevine.

## Summary from 2019-2020

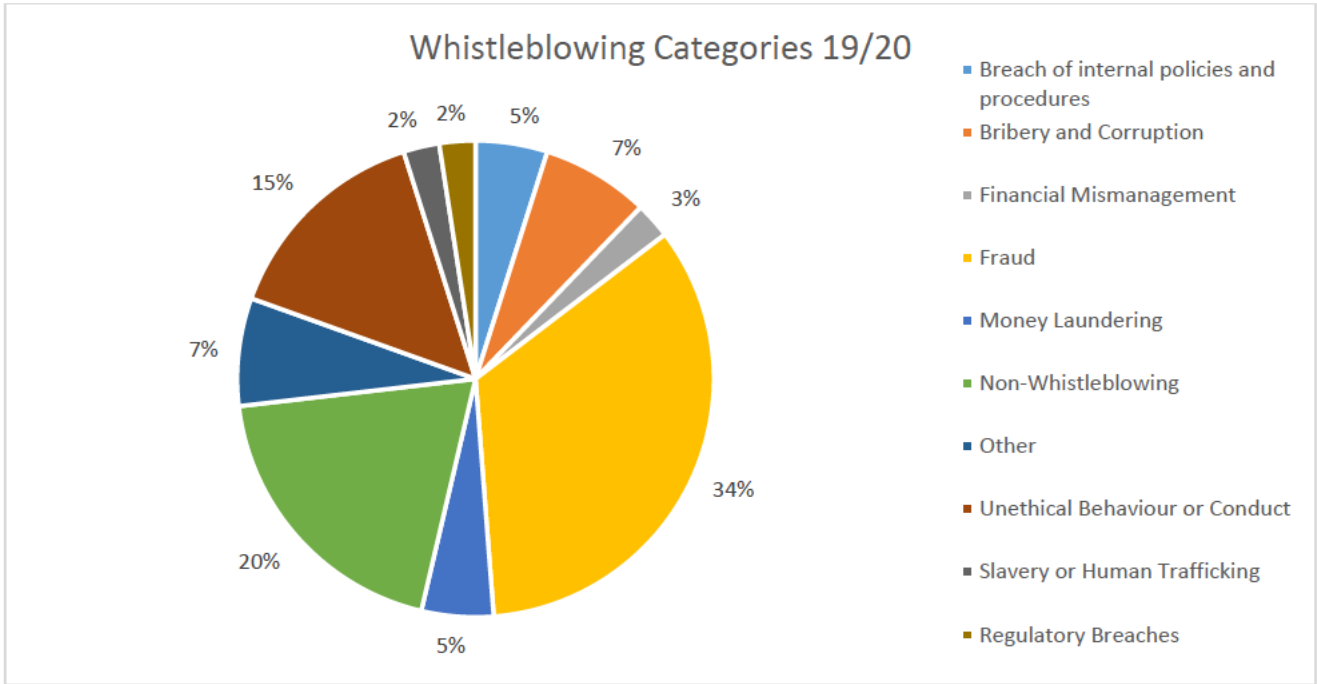
There have been numerous reports submitted by and about employees at a specific non-customer facing location, and each report has been investigated independently. This trend has been raised with the appropriate HR representative to carry out site visits and investigate if there are any underlying root causes or issues at this location. As a result of Covid-19 restrictions, a number of planned site visits for the end of the year have been postponed until restrictions are lifted.

- 41 whistleblowing reports were received and 43 cases were closed. (a number of cases closed were historic from 2018/19)
- The majority of the allegations were about branches (14 reports). There were 9 reports made about Post Office employees (this includes back-office, DMB and Supply Chain employees).
- There has been a decrease in anonymous reports being submitted, showing that reporters have increased trust in POL to manage their concerns effectively. Most anonymous reports are about employees (4).

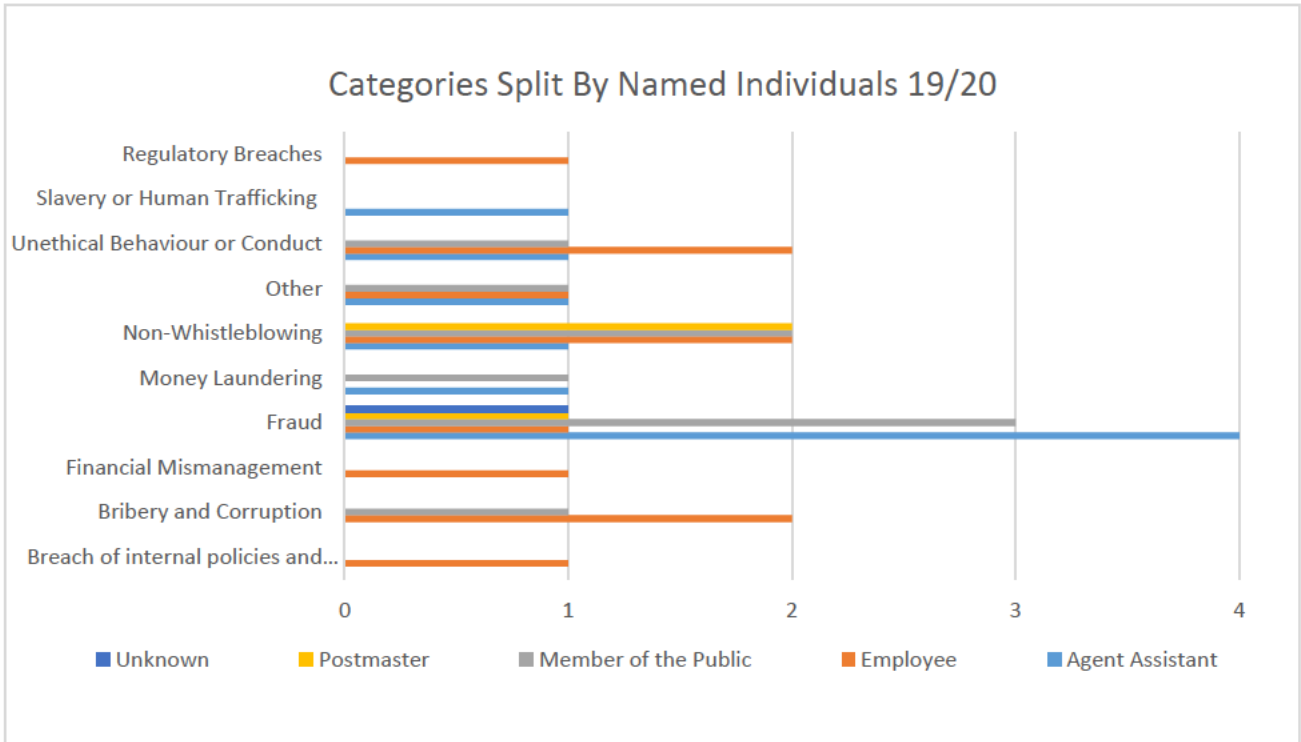
Allegations reported by	Volume 18/19	Volume 19/20	Percentage Increase/Decrease
Anonymous	21	9	-59%
Agent Assistant	11	9	-18%
Postmaster	4	3	-25%
Employee	3	11	267%
Member of the public	2	9	350%
Third Party*	2	0	-100%

\*This includes the Police, Royal Mail and Bank of Ireland

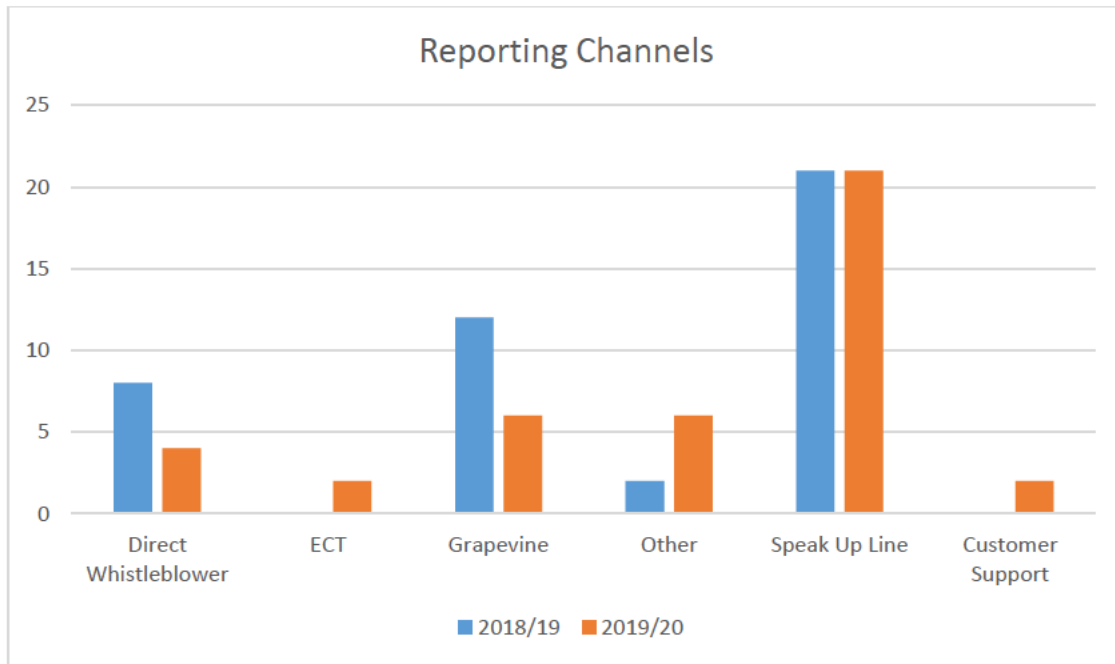
Who the allegations was about	Volume 18/19	Volume 19/20	Percentage Increase/Decrease
Postmaster	22	7	-68%
Employee	10	9	-10%
Unknown	5	4	-20%
Agent Assistant	4	5	20%
Branch	2	14	600%
Post Office Ltd	0	2	N/A



- In comparison to 2018/19, reports relating to Fraud increased from 23% to 34%, whilst breach of internal policies and procedures decreased from 21% to 5%
- There were 5 reports of Money Laundering, Bribery or Corruption in 2019/20 in comparison to last year which did not see any reports relating to these categories. All concerns of Money Laundering have been investigated by the Financial Crime Team.
- 5 of the 7 reports raised in relation to Postmasters were regarding concerns of fraud.







- In the last 2 years, the most popular channels used to report concerns were the Speak Up line.