

Filed on behalf of the: Claimant
Witness: H Rose
Statement: 1
Exhibits: "HR 1"
Date made: 11/01/06

**IN THE HIGH COURT OF JUSTICE
QUEENS BENCH DIVISION**

Claim No.

BETWEEN:

POST OFFICE LIMITED

Claimant

- and -

LEE CASTLETON

Defendant

EXHIBIT "HR1"

This is the Exhibit marked "HR 1" referred to in the Witness Statement of Helen Rose
dated 11th January 2006.

STOCK ON HAND

Branch: Navine Drive Code: 213377 Date: 23.03.24

DESCRIPTION		No	No	No	TOTAL	DESCRIPTION	No	No	No	TOTAL
00	1600 100 2nd Class	159	400		306	Swiftpack ROW (C4)				
00	1600 100 1st Class	285	600		2385	Swiftpack Euro (C4)				
	1p	66				Swiftpack WW (C5)				
	2p	200				Swiftpack WW (DL)				
	4p	111				Swiftair (Sml)				
	5p	47	200			Swiftair (Med)				
	8p	227				Swiftair (Lge)				
	10p					Swiftair (Europe)				
	20p					Swiftair (Worldwide)				
	33p					International Reply Coupons	7			
	34p	122				Airpack - Euro (obsolete)				
	40 Euro	107	50		164	Airpack - WW (obsolete)				
	41p					Airpack ROW (C3)				
	42p	44	25		76	Airpack Euro (C3)				
	47p	179	50		236	Airpack ROW (C4)				
	50p	84				Airpack Euro (C4)				
	68p	146	50		203	1st Class self adhesive (200)				
	£1.00	131				2nd Class self adhesive (200)				
	£1.50	69				1st Class self adhesive (100)	17			
	£2	32				2nd Class self adhesive (100)	11			
	£3	51								
	£5	21								
	19p					Stamp Vending £1.00p				
	27p					Books Vending £2.00p				
	37p					Self adhesive 6 x 2nd				
						6 x 1st				
	Christmas Stamps 53p					Stamp 12 x 2nd	22			
	Christmas Stamps £1.12					books 12 x 1st				
	Miscellaneous postage					4 x Europe rate up to 40g				
	Aerogrammes (Singles)	8				4 x Rest of World rate up to 40g				
	Aero Discount Packs					6 X Euro (25)	25	13		
	Pict Aerogramme Packs					6 x 42p(25)				
	Xmas Air Letters					6 x 68p(25)				
	Pict Air Letters (Singles)					Stamp 2nd x 10				
	Air Cards - Singles x £1.04					Books 1st x 10				
	Air Cards singles x £1.35					Other 2nd x 4				
	Air Cards - Packs					1st x 4				
	Special delivery Small	3				4 x Euro (25)				
	Special delivery Large	5				Greetings books				
	Special Delivery X Large					Christmas Books 24 x 2nd				
	Special Delivery 9:00am					Christmas Books 12 x 1st				
	Int Sign Euro					4 x 40p				
	Int Sign World					4 x 65p				
	Air Sure Pack £6.99					Miscellaneous stamp books				
	Swift Air Pack £5.50									

DESCRIPTION		No	No	No	TOTAL	DESCRIPTION	No	No	No	TOTAL
Game Licences	Red					Postal Orders	50p	10		
	Green						£1	22		
	Blue						£2	3		
	Occasional						£3	7		
	Dealer						£4	10		
	Keeper						£5	3		
							£6	5		
Philatelic Items	FDC's	63					£7	10		
	PCD's	39					£8	1		
		2+3	1				£9	2		
		2.95	2	2+2	2+6	14	£10	8		
		1.92	.14				£15	6		
		2.30	7				£20			
		1.90	14	1						
Discount	10 x 1st (50)					Coronation Postal Orders				
Stamp	10 x 2nd (50)					Commemorative Coins				
Books	4 x 1st (50)					Vehicle Licence Stamps		12	30	
	4 x 2nd (50)					TV Licence Stamps		92		
	4 x Euro (25)					Water Authority Stamps				
	4 x 40p (25)					British Gas Stamps £5				
	4 x 65p (25)					SEE Electricity stamps				
Self Adhesive	6 x 1st					Southern Electric S.S. £5				
Self Adhesive	6 x 2nd					Norweb Electricity S.S.				
Self Adhesive	12 x 1st					Swalec Electricity S.S.				
Self Adhesive	12 x 2nd					lobox ringtone vouchers				
	4 x Europe rate up to 40g					Littlewoods Scratchcards		19		
	4 x Rest of World rate up to 40g					T-Mobile Pre-pay £20				
	6 X Euro (25)					T-Mobile Pre-pay £10				
	6 x 42p					Vodafone pay as you talk £5				
	6 x 68p					Vodafone pay as you talk £10				
Christmas	24 x 2nd					Vodafone pay as you talk £15				
Christmas	12 x 1st					Vodafone pay as you talk £25				
	misc. discount stamp books					Virgin Pre Pay £10				
Home						Virgin Pre Pay £20				
Help						£5 PO Phonocard				
Stamps						£10 PO Phonocard		9		
						£20 PO Phonocard		8		
						£10 Int. PO Phonocard		20		
						O2 Pre Pay £10				
						O2 Pre Pay £20				
ON HAND AT COUNTER										
						BT Global £10				
Gas Tokens						BT Global £20				
Vehicle Licences						National Lottery Instants £1				
Milk Tokens	64					National Lottery Instants £2				
Electricity Tokens £ 1						National Lottery Instants £3				
Electricity Tokens £ 5	150	33				National Lottery Instants £5				
Electricity Tokens £10										
Electricity Tokens £15										

330

HELEN HOLLING
 GRO
 I certify that the stock on hand at audit was counted by myself and was accurately recorded on this form for the
 audit leader to input to the computer. Certified By: GRO
 Stock V21 - 6 Oct 03 P32 (V98)

Marine Drive
19:05:56 23/03/2004

FAD 2133377

Page 1
CAF 50

Suspense Account - Office Copy

WARNING - Check the C/Fwd column for negative values. If present refer to the
Horizon User Guide for instructions on how to proceed

SU	Date	Product	Volume	Value	B/Fwd	C/Fwd
RD Cheques		A				
TOTAL			0	0.00	0.00	0.00
RD Cheques		B				
TOTAL			0	0.00	0.00	0.00
RD Cheques		C				
TOTAL			0	0.00	0.00	0.00
Vouchers						
TOTAL			0	0.00	0.00	0.00
Shortages in Rans etc						
TOTAL			0	0.00	0.00	0.00
Burglary etc losses						
TOTAL			0	0.00	0.00	0.00
EOL Cheques						
TOTAL			0	0.00	0.00	0.00
Migration UP						
TOTAL			0	0.00	0.00	0.00
Cash Shortages		A				
	AM	23/03/04 Loss A redeemed	1	11,752.78-		
TOTAL			1	11,752.78-	11,752.78	0.00
Cash Shortages		B				
TOTAL			0	0.00	0.00	0.00
Cash Shortages		C				
TOTAL			0	0.00	0.00	0.00
Cash Shortages		D				
TOTAL			0	0.00	0.00	0.00
Repurchases						
TOTAL			0	0.00	0.00	0.00
Cash Surpluses not yet adjusted A						
TOTAL			0	0.00	0.00	0.00
Cash Surpluses not yet adjusted B						

Marine Drive
15:25:56 23/03/2004

FAD 2133377

Page 2
CAP 50

Suspense Account - Office Copy

WARNING - Check the C/Fwd column for negative values. If present refer to the
Horizon User Guide for instructions on how to proceed

SU	Date	Product	Volume	Value	B/Fwd	C/Fwd
TOTAL			0	0.00	0.00	0.00
Surpluses in Reims etc						
TOTAL			0	0.00	0.00	0.00
Migration UR						
TOTAL			0	0.00	0.00	0.00

*** END OF REPORT ***

SUMMARY OF VOUCHERS ON HAND - NOT DESPATCHED

RECEIPTS	E	PAYMENTS	E
Giro Deposits		Other Giro Outpayments	
Giro Other		NS & I Withdrawals	
Giro Fees		Family Tax Credit	
NS & I Deposits		P&A Bulk	
BT Receipts		P&A Loose	
Quantum		T.V. Fees Refunded	
Rod Licences		Postal Orders Paid	
Temp First Licences		Travel Insurance Refunds	
Electricity Recharge		Instants Deactivated	
MVL Renewals		National Lottery Prizes	
DVLA Premium Service		Littlewoods Prizes	
Travel Insurance		MOD Payments	
Local Schemes		Cheques to PC	
Automated Products		Automated Products	
Personal Banking		I M O Paid	
Cheque Lottery Prizes		COBC	
National Lottery Sales		Debit Cards	
Instant Activations		Benefit Encashments	
Moneygram Send		Moneygram Receive	
Bureau - Commission		Bureau - Revalue	
Bureau - Revaluation		BDC - T Chqs to First Rate	
Bureau - Travellers Chqs		P.O.F.E.S Change	
Pre Order Foreign Exchange		Co-op Cheques Encashed	
Redirections - Business		MVLSS Redeemed	
- Social		TVLSS Redeemed	
T.V. Licence Fees		WASS Redeemed	
CARRS Parcels		GAS Redeemed	
UKPS Fees		Electricity SS Redeemed	
UKPS Charges		UKPS Fee Refund	
Sunrise Franking Machine		UKPS Charge Refund	
Sunrise Other		I R C Redeemed	
Loan To PO		Promotional Vouchers	
Postage Labels		ATM Withdrawal	
		Green Giros	

P&A	Green Giros	Miscellaneous	Rems In	Rems Out

42 50	MARINE DRIVE			X - 16.4.04 NO PREVIOUS AUDIT		
213337	MARINE DRIVE SPSC	48	55723.67		59232.85	-3509.18
213337	MARINE DRIVE SPSC	46	40961.99		49205.09	-8243.10
213337	MARINE DRIVE SPSC	45	66096.17		72826.18	-6730.01
213337	MARINE DRIVE	44	62200.63		68954.72	-6754.09
213337	MARINE DRIVE SPSC	43	67432.05		71663.02	-4230.97
213337	MARINE DRIVE SPSC	48	55723.67		59232.85	-3509.18
213337	MARINE DRIVE SPSC	46	40961.99		49205.09	-8243.10
213337	MARINE DRIVE SPSC	45	66096.17		72826.18	-6730.01
213337	MARINE DRIVE	44	62200.63		68954.72	-6754.09
213337	MARINE DRIVE SPSC	43	67432.05		71663.02	-4230.97

Suspense
 wk 47 8243.10
 wk 48 8243.10
 wk 49 11752.78
 wk 50 11752.78
 wk 51 11752.78

~~58934.70~~
 CH CL

213337		2503	17/09/2003		1042	<u>862.32</u>	0.00	CHQ TO PROCESSI NG CTR	12/02/2004	WK 48
213337	MARINE DRIVE	2503	17/09/2003		1049	0.00	65.00	PRIZE PAYMENT	16/01/2004	WK 43
213337	MARINE DRIVE	2503	17/09/2003		0030	<u>534.00</u>	0.00	LOTTERY GAME	16/01/2004	WK 43
213337	MARINE DRIVE	3403	19/11/2003		0081	<u>360.00</u>	0.00	INSTANT WIN ACTIVATE	16/01/2004	WK 43

213337 Marine Drive 46 H13041710 WEEK 46 £8243.10 LOSS UNAUTHORISED
 ACCUMULATED LOSS OVER LAST 4
 WEEKS. HARSHIP APPLIED FOR

213337 Marine Drive 44 H13005643 WK44 £6754.09 LOSS
 UNAUTHORISED UNIDENTIFIED

213337	MARINE DRIVE	NRACR	05	75	717151	717225	23/02/2004
213337	MARINE DRIVE	NRAS	05	5	5029926	5029930	23/02/2004
213337	MARINE DRIVE	NRACR	04	25	7788701	7788725	22/08/2003
213337	MARINE DRIVE	NRACR		75	6114201	6114275	17/02/2003
213337	MARINE DRIVE	NRAS		5	4030536	4030540	17/02/2003

12-2

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Security Feedback Form A – Version 6

To help us improve the way we audit branches, it would be appreciated if you could spare the time to complete this questionnaire. Completed questionnaires are not seen by inspectors and individual responses are treated confidentially.

It would help us in our improvements if you signed this sheet and included your branch FAD code, but if you prefer not to, please send it back anonymously.

Consider the statements below and:

- Place an X in the box against the statement that best describes your views.
- Where an unsatisfactory mark has been given, please comment on the issue in the box provided.

1. The purpose of the visit and the approach to be used were clearly communicated to me at the start of the audit.

Very satisfied	<input type="checkbox"/>	Comments
Quite satisfied	<input type="checkbox"/>	
Neither satisfied nor dissatisfied	<input type="checkbox"/>	
Dissatisfied	<input type="checkbox"/>	
Not at all satisfied	<input type="checkbox"/>	

2. I was kept sufficiently informed of progress during the course of the audit.

Very satisfied	<input type="checkbox"/>	Comments
Quite satisfied	<input type="checkbox"/>	
Neither satisfied nor dissatisfied	<input type="checkbox"/>	
Dissatisfied	<input type="checkbox"/>	
Not at all satisfied	<input type="checkbox"/>	

3. The office was not closed longer than necessary for the inspectors to count cash and essential stock items.

Very satisfied	<input type="checkbox"/>	Comments
Quite satisfied	<input type="checkbox"/>	
Neither satisfied nor dissatisfied	<input type="checkbox"/>	
Dissatisfied	<input type="checkbox"/>	
Not at all satisfied	<input type="checkbox"/>	

4. I was approached for information in a manner, which minimised inconvenience to me and my customers.

Very satisfied	<input type="checkbox"/>	Comments
Quite satisfied	<input type="checkbox"/>	
Neither satisfied nor dissatisfied	<input type="checkbox"/>	
Dissatisfied	<input type="checkbox"/>	
Not at all satisfied	<input type="checkbox"/>	

5. The approach taken by the inspectors was courteous, constructive and positive.

Very satisfied	<input type="checkbox"/>	Comments
Quite satisfied	<input type="checkbox"/>	
Neither satisfied nor dissatisfied	<input type="checkbox"/>	
Dissatisfied	<input type="checkbox"/>	
Not at all satisfied	<input type="checkbox"/>	

6. All stock and records were returned to me in a neat and tidy manner.

Very satisfied	<input type="checkbox"/>	Comments
Quite satisfied	<input type="checkbox"/>	
Neither satisfied nor dissatisfied	<input type="checkbox"/>	
Dissatisfied	<input type="checkbox"/>	
Not at all satisfied	<input type="checkbox"/>	

7. The inspectors showed adequate knowledge and understanding of the areas audited.

Very satisfied	<input type="checkbox"/>	Comments
Quite satisfied	<input type="checkbox"/>	
Neither satisfied nor dissatisfied	<input type="checkbox"/>	
Dissatisfied	<input type="checkbox"/>	
Not at all satisfied	<input type="checkbox"/>	

8. The audit findings were clearly communicated and I was given the opportunity to discuss the audit findings at the close of the audit meeting.

Very satisfied	<input type="checkbox"/>	Comments
Quite satisfied	<input type="checkbox"/>	
Neither satisfied nor dissatisfied	<input type="checkbox"/>	
Dissatisfied	<input type="checkbox"/>	
Not at all satisfied	<input type="checkbox"/>	

9. Overall how satisfied are you with the Audit & Inspections Team?

Very satisfied	<input type="checkbox"/>	Comments
Quite satisfied	<input type="checkbox"/>	
Neither satisfied nor dissatisfied	<input type="checkbox"/>	
Dissatisfied	<input type="checkbox"/>	
Not at all satisfied	<input type="checkbox"/>	

We would appreciate you making any additional or general comments in this box

Signed..... Branch..... FAD

Thank you for taking the time to complete this questionnaire, please return it to:

Information Support
Audit & Inspections
Cash Logistics & Security
Post Office Ltd
3 Infirmary Street
Leeds LS1 1AJ

COMPLIANCE AUDIT TESTS

INDEX

Number	Test
1	Horizon System Controls
2	Cash Account
3	Stock Management
4	Cash Management (flexible planning branches)
4a	Cash Management (non flexible planning branches)
5	Royal Mail
6	Franking Machines
7	Stamp Vending Machines
8	Alliance & Leicester Commercial Banking
9	National Savings
10	National Lottery
11	Money Laundering
12	Littlewoods Scratchcards
13	Bureau De Change
14	Foreign Exchange Service
15	Moneygram
16	Travel Insurance - On Demand
17	Department of Work & Pensions
18	Motor Vehicle Licences
19	Environmental Agency Rod Fishing Licences
20	UK Passport Agency
21	Utility Schemes
22	Local Transport Schemes
23	Card Account
24	On Line Banking
25	Debit Card
26	Self - Fill ATMs

27 E - ...

E III

COMPLIANCE AUDIT TESTS - ALL BRANCHES

Location: *Marine Drive*
 Prepared by (print) : *C Taylor*
 Prepared by (signature) : **GRO**
 Date: *23-3-04*

Recommendations Noted On Report	
Date:	
Lead Inspector Signature:	

Test Number, version & name: *Horizon V28*

Control objective : *1*

Population Size *3* Sample Size *1* % Weeks *1* To *1*

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y

Comments

Conclusion to CO Pmmc + Pin to be held Separately

Recommendations for CO Pin to be held Separately from Pmmc

Control objective : *2*

Population Size *1* Sample Size *1* % Weeks *1* To *1*

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

Conclusion to CO users to be disabled when on leave

Recommendations for CO Disable users

Control objective : 3

Population Size...2..... Sample Size...2.....% Weeks.....To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

Conclusion to CO Controls in place

Recommendations for CO None

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

Conclusion to CO

Recommendations for CO

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

Conclusion to CO

Recommendations for CO

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

Conclusion to CO

Recommendations for CO

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
Comments																	

Conclusion to CO

Recommendations for CO

Control objective :
 Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
Comments																	

Conclusion to CO

Recommendations for CO

POST OFFICE LIMITED
SUB OFFICE - PROCEDURAL SECURITY INSPECTION



BRANCH NAME MARINE DRIVE
SUBPOSTMASTERS NAME LEE CASTLETON
RESIDENTIAL (YES/NO)
DATE OF INSPECTION 23-3-04

FAD CODE 213337
RLM/AM CATH OGELBY
RISK SCORE
INSPECTED BY C. TAYLOR

1. OPENING /CLOSING, INCLUDING LUNCHTIME (Pages 7-9 Counter Attack)

1.1 Opening/Initial Entry Procedures

How does the subpostmaster get to the premises?

	Yes	No	ACTION POINTS
Varied Route	<input type="checkbox"/>	<input type="checkbox"/>	
Parking Pattern	<input type="checkbox"/>	<input type="checkbox"/>	
Check for strangers/observers	<input type="checkbox"/>	<input type="checkbox"/>	
Check for signs of forced entry	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Check alarm box for tampering	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Is entry off a well lit thoroughfare at the front of the branch?	<input type="checkbox"/>	<input type="checkbox"/>	

How does the subpostmaster enter the premises? (Pages 8/9 Counter Attack).

	Yes	No	ACTION POINTS
Two Person Entry	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
Meet at predetermined point away from the branch	<input type="checkbox"/>	<input type="checkbox"/>	
One searches, one as lookout	<input type="checkbox"/>	<input type="checkbox"/>	
Return to entry door and exit to give the all clear	<input type="checkbox"/>	<input type="checkbox"/>	
Non return procedure	<input type="checkbox"/>	<input type="checkbox"/>	

	Yes	No	ACTION POINTS
Single person entry	<input type="checkbox"/>	<input checked="" type="checkbox"/>	
Pre arranged telephone call with password	<input type="checkbox"/>	<input type="checkbox"/>	
Co-operation with another trader/friend	<input type="checkbox"/>	<input type="checkbox"/>	

	Yes	No	ACTION POINTS
Residential	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Check telephone before entry	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Lights on before entry	<input checked="" type="checkbox"/>	<input type="checkbox"/>	

How is initial entry gained? Through rear door

1.2 Opening for Business (Page 11 Counter Attack)

What are the preparations for opening?

Correct use of Safe Time Overlock	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>
Counter Cash and Stock (60 - 90 minutes supply)	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>
Secure safe prior to opening	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>
Are procedures for the security of staff prior to opening adequate?	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>
Use of electric door bolt	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>

ACTION POINTS
N/A

1.3 Closing Procedures, Lunch and Evening (Pages 21-23 Counter Attack)

What does the subpostmaster do when the branch is closed?

Secure Cash, Stock and Date Stamp in safe.	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>
Set Alarms/Time Overlock, etc.	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>
Is supplementary equipment used (Time Delay/ Time Delay Compartment / Time Overlock?)	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>
Is the ETOL set button pressed?		<input type="checkbox"/>		<input type="checkbox"/>
Check private business/customer area clear	Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
Confirm entire premises clear before exiting	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>
Check shop door/windows/skylights shut and locked	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>
Set private alarm where available	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>
Confirm access is clear	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>
Is cash and stock checked and secured first on balancing day?	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>

ACTION POINTS
N/A
Shop open after PO

2. CASH AND STOCK (Pages 13-14 Counter Attack)

Is ONCH in excess of target/requirements/safe limit?	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>
Is the safe kept locked when not in use with the key removed?	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>
Is bulk cash and stock secured out of sight during business hours?	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>
Are parcel hatch and counter access door secured at all times?	Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>

ACTION POINTS

3. REMITTANCE ACCEPTANCE & COLLECTION, GIRO BUSINESS DEPOSIT ACCEPTANCE (Page 17 Counter Attack)

How does the subpostmaster receive remittances and Giro Business Deposits?

Accepted/transferred via:

Cash Transfer Unit	<input type="checkbox"/>	Parcel Hatch	<input type="checkbox"/>	Parcel Transfer Unit	<input type="checkbox"/>
Parcel Siphon	<input type="checkbox"/>	2 Door Siphon	<input type="checkbox"/>	Counter Access Door	<input checked="" type="checkbox"/>

[] [] Door []

				ACTION POINTS	
Given priority treatment	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Is secure area accessed by depositors?	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>	<input type="checkbox"/>	*	NO but counter access door open to Cashco
Are deposits secured in the safe as soon as practicable?	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Are outward "Cash & Stock" remittances kept in the safe until arrival of collection officer?	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>	<input type="checkbox"/>	*	outward rem's are kept out
Is the identity of Cash in Transit Collection Officer established before handing over a remittance?	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Are deposits received outside business hours (including lunch time closure)?	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

4. MAIL DELIVERY AND ACCEPTANCE (Page 18 Counter Attack)

How does the subpostmaster receive mail?

				ACTION POINTS	
Do Royal Mail/Carriers have access to secure area?	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>	<input type="checkbox"/>	*	Royal mail do not have access but counter
Is identity of personnel checked/verified?	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	access door open rather than mail transferred
Is mail delivered outside business hours (including lunch time closure)?	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	through Parcel hatch

5. PARCEL/PACKET ACCEPTANCE (Page 13 Counter Attack)

How does the subpostmaster accept Parcels/Packets?

				ACTION POINTS	
Is parcel hatch open only when and as far as necessary?	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Is parcel hatch closed immediately after use?	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Is parcel hatch used as a general purpose serving position?	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Are parcels/packets accepted via counter access door?	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	

6. ADMITTANCE OF VISITORS (Page 19 Counter Attack)

How does the subpostmaster deal with visitors?

				ACTION POINTS	
Are all visits pre-arranged (including ROMEK engineers, Safe Company staff)?	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Is evidence of identity sought and verified?	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	
Is a written record of visitors maintained?	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>	<input type="checkbox"/>	*	Visitor book to be maintained

Are visitors left unattended in the secure area?
Is the subpostmaster aware of the procedures for admittance of auditors?

Yes	<input type="checkbox"/>	No	<input checked="" type="checkbox"/>
Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>

7. KEY MANAGEMENT (Pages 29-31 Counter Attack)

Where does the subpostmaster keep keys during business hours?

CUSTODY OF KEYS	Numbers of keys (or N/A)	Holder of working set	Holder of reserve set	Notes
1. Safe(s)	2	1	1	On its own concealed in secure area. Spare at home (As per Counter Attack)
2. PO alarm "C"				In possession or kept in lockable draw during day. Keep spare in the safe.
3. PO alarm "B"				Keep both in the safe. (If time overlock fitted, one in safe, other kept secured).
4. Counter access door	3	2	1	In possession or kept in lockable draw during day.
5. Interface				Keep both in the safe. (If time overlock fitted, one in safe, other kept secured).

ACTION POINTS

Have the keys been separated as per standard PO instructions?
Are the operational/reserve keys rotated six monthly?
Are all official keys removed from the premises when unoccupied?
Are keys kept under secure conditions at place of residence?

Yes	<input type="checkbox"/>	No	<input checked="" type="checkbox"/>
Yes	<input type="checkbox"/>	No	<input checked="" type="checkbox"/>
Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>
Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>

keys separated at time of audit
Rotate safe keys Subpostmaster start 17-7-05

8. USE OF POL ALARMS (Page 33 Counter Attack)

Are all alarms tested on a weekly basis and written test record maintained?
Is the subpostmaster aware of the fault reporting procedure?
Are Europlex PIN numbers changed periodically and after Romec engineer attendance (frequency of changes noted)?
Are local police advised of changes of key holder?
Are all staff aware of POL guidelines on use of alarms?

Yes	<input type="checkbox"/>	No	<input checked="" type="checkbox"/>
Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>
Yes	<input type="checkbox"/>	No	<input checked="" type="checkbox"/>
Yes	<input type="checkbox"/>	No	<input checked="" type="checkbox"/>
Yes	<input type="checkbox"/>	No	<input checked="" type="checkbox"/>

ACTION POINTS
No record maintained
Pin number to be changed periodically
Subpostmaster has not been away but was manager or change to key holder
Subpostmaster unaware of use of alarms

9. STAFFING

Is the branch staffed by dedicated staff?
Do staff remain within the secure area

Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>
Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>

ACTION POINTS

at all times? Yes No

If 'NO' is security compromised? Yes No

Is secure area always staffed? Yes No

10. CCTV CAMERAS

	Yes	No	ACTION POINTS
Is camera signage exhibited in a prominent position at entrance?	<input type="checkbox"/>	<input type="checkbox"/>	
Are CCTV tapes, numbered, kept in secure cabinet, used in correct order?	<input type="checkbox"/>	<input type="checkbox"/>	
Is Camera Surveillance booklet held, and been read by all staff?	<input type="checkbox"/>	<input type="checkbox"/>	
Are daily checks made at the start of each day?	<input type="checkbox"/>	<input type="checkbox"/>	
Is a log book maintained, with daily record and incidents recorded ?	<input type="checkbox"/>	<input type="checkbox"/>	

11. 35 MM CAMERAS

	Yes	No	ACTION POINTS
Is camera signage exhibited in a prominent position at entrance?	<input type="checkbox"/>	<input type="checkbox"/>	
Are Camera Surveillance booklet and Operating Instructions held, and been read by all staff?	<input type="checkbox"/>	<input type="checkbox"/>	
Is a log book maintained, with daily tests and incidents recorded?	<input type="checkbox"/>	<input type="checkbox"/>	
Are daily checks made at the start of each day?	<input type="checkbox"/>	<input type="checkbox"/>	
Is a replacement film held?	<input type="checkbox"/>	<input type="checkbox"/>	

12. SMOKE & DYE PACKS

	Yes	No	ACTION POINTS
Are packs kept with working cash and secured in safe overnight?	<input type="checkbox"/>	<input type="checkbox"/>	
If NO is there a specific written agreement on site.			
Are packs checked for ticking and is the start transmitter at exit showing a green light at the start of each day?	<input type="checkbox"/>	<input type="checkbox"/>	
It is confirmed that packs are NOT taken outside of secure area.	<input type="checkbox"/>	<input type="checkbox"/>	

13. LOTTERY (Page 49 Counter Attack)

	Yes	No	ACTION POINTS
Is cash in private till limited to £250?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	
Is cash transferred to safe at end of day?	<input type="checkbox"/>	<input checked="" type="checkbox"/>	It has been up until the last week
Is the display of activated Lottery Instants kept to a minimum?	<input checked="" type="checkbox"/>	<input type="checkbox"/>	

14. COUNTER ATTACK BOOKLET ✓ ~~Security~~ *Security counts on site*

Can a copy be produced?
Have the contents been read and understood by the subpostmaster and staff? *from the attach*

Yes	<input checked="" type="checkbox"/>	No	<input checked="" type="checkbox"/>
Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>

ACTION POINTS
<i>No Security Counts</i>

15. HOSTAGE POLICY (Page 46-47 Counter Attack)

Are the subpostmaster and staff aware of the POL Hostage Policy?
Do they understand that the Freephone telephone number must only be used for the purpose it is intended?
Is the key fob, with Freephone number, attached to the premises or safe keys?
Are Freephone number labels stuck to telephones at residence and in the office?

Yes	<input type="checkbox"/>	No	<input checked="" type="checkbox"/>
Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
Yes	<input type="checkbox"/>	No	<input checked="" type="checkbox"/>

ACTION POINTS
<i>NOT aware of hostage policy</i>
<i>Labels to be stuck at home and in office</i>

16. MONEY LAUNDERING

Is there is a money laundering pack available?
Are the subpostmaster and staff aware of the regulations and the money laundering Helpline telephone number?

Yes	<input type="checkbox"/>	No	<input checked="" type="checkbox"/>
Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>

ACTION POINTS
<i>No money laundering pack</i>

17. CRIME STOPPERS

Is the Crime Stoppers poster displayed?

Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>
-----	-------------------------------------	----	--------------------------

ACTION POINTS

18. REPORTING OF INCIDENTS (Pages 41-44 Counter Attack)

Are the subpostmaster and staff aware that all incidents, including fraud, failed attempts and vandalism should be reported?
Are they aware that any media enquiries must be referred to the public relations team via the Helpline?

Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>
Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>

ACTION POINTS

19. PERSONAL SECURITY AT HOME (Pages 25-27 Counter Attack)

Are staff aware of current POL guidelines on safeguarding themselves out of business hours and at home?

Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>
-----	-------------------------------------	----	--------------------------

ACTION POINTS

Are arrangements for dealing with visitors at home satisfactory?
 Is the identity/validity of a call to attend the office out of hours verified?
 Does the Subpostmaster attend the office alone if called out?
 Are Police advised and requested to attend?

Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>
Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
Yes	<input checked="" type="checkbox"/>	No	<input type="checkbox"/>
Yes	<input type="checkbox"/>	No	<input checked="" type="checkbox"/>

On Site
* Subpostmaster would attend come down on his own
* Police would not be requested to attend

20. PERSONAL GUIDE TO SECURITY

Can a copy be produced?
 Has its contents been read understood (including assistants)?

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
Yes	<input type="checkbox"/>	No	<input type="checkbox"/>

ACTION POINTS

Any security weaknesses not covered in the previous sections/ continuation.

APPENDIX A

OPEN PLAN OFFICES

Are the levels of cash, stock and motor vehicle licences held at open plan positions kept to a minimum? (A maximum of £500 (amount currently under review) of cash must be at risk at each open plan position, including the amount available from the TCD).

Yes	<input type="checkbox"/>	No	<input type="checkbox"/>
-----	--------------------------	----	--------------------------

ACTION POINTS

Is other cash kept in the Teller Cash Dispenser (TCD) and/or the isolation unit?	Yes		No		
Do transfers of TCD cassettes and storage bins and/or isolation units take place under secure conditions outside opening hours?	Yes		No		
Are TCD cassettes and storage bins and/or isolation unit keys, including time delay keys, held in the secure area at all times?	Yes		No		
Are PIN codes confidential to each user?	Yes		No		
Is the time delay lock fitted to the TCD set during business hours?	Yes		No		
Is the pedestal unit transferred to the secure area when not in use?	Yes		No		
Is all cash, stock and motor vehicle licenses kept in a locked drawer until required and secured in the safe(s) overnight?	Yes		No		
Are stamp portfolios and date stamps held on retaining chains and transferred to the secure area when not in use?	Yes		No		
Are parcels and packets kept in locked accommodation?	Yes		No		

COMPLIANCE AUDIT TESTS - ALL BRANCHES

Location: Marine Drive
 Prepared by (print): HOLLAND
 Prepared by (signature): GRO
 Date: 23-3-04

Recommendations Noted On Report	
Date:	
Lead Inspector Signature:	

Test Number, version & name: AML v28

Control objective : 1

Population Size...2..... Sample Size.....50.....% Weeks.....- To...SZ

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y

Comments

Conclusion to CO MERO not know

Recommendations for CO MARLO Perry

Control objective : 2

Population Size...2..... Sample Size.....50.....% Weeks.....- To...SZ

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

Conclusion to CO CP

Recommendations for CO NONE

Control objective : 3

Population Size... 2 Sample Size... 100 % Weeks... To... S2

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	X/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
Comments																	

Conclusion to CO No P4690 on hand

Recommendations for CO Order P4690

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
Comments																	

Conclusion to CO

Recommendations for CO

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
Comments																	

Conclusion to CO

Recommendations for CO

Control objective :
Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
Comments																	

Conclusion to CO

Recommendations for CO

Control objective :
Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

Conclusion to CO

Recommendations for CO

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

Conclusion to CO

Recommendations for CO

COMPLIANCE AUDIT TESTS - ALL BRANCHES

Location: Marine Drive
 Prepared by (print): C TAYLOR
 Prepared by (signature): GRO
 Date: 23-3-04

Recommendations Noted On Report	
Date:	
Lead Inspector	
Signature:	

Test Number, version & name: Debit Cards 25 v28

Control objective : 1

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y

Comments

Conclusion to CO ~~Review on hand~~ Controls in place

Recommendations for CO None

Control objective : 2

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments None on hand

Conclusion to CO Controls in place

Recommendations for CO None

Control objective : 3

Population Size.....0..... Sample Size.....100...% Weeks.....To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

Conclusion to CO none on hand

Recommendations for CO aware of procedures

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

Conclusion to CO

Recommendations for CO

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

Conclusion to CO

Recommendations for CO

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

Conclusion to CO

Recommendations for CO

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

Conclusion to CO

Recommendations for CO

Control objective :
Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

Conclusion to CO

Recommendations for CO

COMPLIANCE AUDIT TESTS - ALL BRANCHES

Location: *Marne Drive*
 Prepared by (print): *C TAYLOR*
 Prepared by (signature): **GRO**
 Date: *23-3-04*

Recommendations Noted On Report	
Date:	
Lead Inspector Signature:	

Test Number, version & name: *on line banking 24 v28*

Control objective :]

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments *None on hand*
Aware of procedures

Conclusion to CO *P1091 + P4677 on site*

Recommendations for CO *P6217 Customer incident + description forms*
not on site

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

Conclusion to CO

Recommendations for CO

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
Comments																	

Conclusion to CO

Recommendations for CO

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
Comments																	

Conclusion to CO

Recommendations for CO

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

Conclusion to CO

Recommendations for CO

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

Conclusion to CO

Recommendations for CO

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
Comments																	

Conclusion to CO

Recommendations for CO

Control objective :
 Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
Comments																	

Conclusion to CO

Recommendations for CO

COMPLIANCE AUDIT TESTS - ALL BRANCHES

Location: Marine Drive
 Prepared by (print): Helen Houlingsworth
 Prepared by (signature): GRO
 Date: 23/3/04

Recommendations Noted On Report	
Date:	
Lead Inspector Signature:	

Test Number, version & name: E.TOP UP . V28 27.

Control objective : 1

Population Size..... Sample Size..... 100% Weeks S1 To S2

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

Conclusion to CO CP

Recommendations for CO NONE

Control objective : 2

Population Size..... Sample Size..... 100% Weeks S1 To S2

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

Conclusion to CO CP

Recommendations for CO None

Control objective : 3

Population Size.....2..... Sample Size.....100% Weeks..... To 52

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
Comments																	

Conclusion to CO	a.p																

Recommendations for CO	None																

Control objective :
Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
Comments																	

Conclusion to CO																	

Recommendations for CO																	

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

Conclusion to CO

Recommendations for CO

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

Conclusion to CO

Recommendations for CO

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
Comments																	

Conclusion to CO

Recommendations for CO

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
Comments																	

Conclusion to CO

Recommendations for CO

COMPLIANCE AUDIT TESTS - ALL BRANCHES

Location: Marine Drive
 Prepared by (print): ALLEN HOLLAND
 Prepared by (signature): GRO
 Date: 23-3-04

Recommendations Noted On Report	
Date:	
Lead Inspector Signature:	

Test Number, version & name: CASH ACCOUNT. V28 02

Control objective : 1

Population Size 8 Sample Size 100 % Weeks 44 To S1

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	X(N)	Y/N	X(N)	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments NA NA

Conclusion to CO - WK 51 not signed or DIS

- problems in the office since WK 43
not adjusting losses

Recommendations for CO

- losses + gains to be adjusted weekly
- CIA to be signed + DS on completion

Control objective : 2

Population Size 5 Sample Size 100 % Weeks 47 To S1

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

Conclusion to CO amount in suspense acct authorized from
horizon but Run aware,

Recommendations for CO Ensure only amounts authorized are
held in suspense

Control objective : 3

Population Size.....10..... Sample Size.....100% Weeks 50 To 51...

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
Comments																	

Conclusion to CO	CIP

Recommendations for CO	NONE

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
Comments																	

Conclusion to CO	

Recommendations for CO	

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

Conclusion to CO

Recommendations for CO

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

Conclusion to CO

Recommendations for CO

Control objective :

Population Size..... Sample Size.....% Weeks..... To.....

COMPLIANCE AUDIT TESTS - ALL BRANCHES

Location: BARNE DRIVE
 Prepared by (print): CTA
 Prepared by (signature): **GRO**
 Date: 23-3-04

Recommendations Noted On Report	
Date:	
Lead Inspector Signature:	

Test Number, version & name: Card Account at P.O 23 v28

Control objective : 1

Population Size.....0..... Sample Size.....100% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

Conclusion to CO Controls in place

Recommendations for CO None

Control objective :

Population Size.....8..... Sample Size.....0% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N

Comments

None on hand

Conclusion to CO Controls in place

Recommendations for CO None

Control objective : 3

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
Comments None on hand aware of procedure																	

Conclusion to CO	Controls in place

Recommendations for CO	None

Control objective : 4

Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
Comments																	

Conclusion to CO	Controls in place

Recommendations for CO	None

Control objective :

5
Population Size.....0..... Sample Size.....% Weeks 48 To 52

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
Comments None on hand																	

Conclusion to CO

Recommendations for CO

Control objective : E
Population Size.....0..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
Comments none on hand																	

Conclusion to CO Subpostmaster aware of procedures

Recommendations for CO Controls in place

Control objective :
Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
Comments																	

Conclusion to CO

Recommendations for CO

Control objective :
 Population Size..... Sample Size.....% Weeks..... To.....

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18
Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N	Y/N
Comments																	

Conclusion to CO

Recommendations for CO

POST AUDIT ACTIVITY

<i>For completion by the Lead Inspector</i>	Date	Initial	Remarks
Closing meeting performed	23.03.04	HH	
P&A books returned		HH	NA
Any additional report sent - via email	25.03.04	HH	
Serial numbers verified on site		HH	NA
Rems checked on site via Post Audit Activity		HH	NA
Cheques to processing centre verified on site		HH	NA
Travellers Cheques serial numbers verified on site		HH	NA
MVL serial numbers verified on site		HH	NA
Cash Usage sheet completed	23.03.04	HH	
Unused documents deleted	23.03.04	HH	r&b
Summary form completed	23.03.04	HH	
File e-mailed to P32 File	25.03.04	HH	
Audit papers filed	25.03.04	HH	

<i>For completion by Typist</i>	Date	Initial	Remarks
Report despatched to auditee			

<i>For completion by Post Audit Support</i>	Date	Initial	Remarks
Rems checked (SAPADS)			
Verify cheques to processing centre to Mainframe	13-Apr-04	dh	
Serial numbers checked			
DVLA sheet sent (if complete)	n/a		
Stock rems checked			
Error notice report checked	n/a		

	Yes	No
Travellers Cheque serial numbers checked on site	<input type="checkbox"/>	<input type="checkbox"/>
MVLs checked on site	<input type="checkbox"/>	<input type="checkbox"/>

Rem pouch numbers

<i>For completion by Planning team</i>	Date	Initial	Remarks
PAF discrepancy follow up activity completed			

Rems

BRANCH	Marina Drive	CODE	213337
PREPARED BY	Helen Hollingworth		

		WK 52			WK 52
CASH REMITTANCES		23.03.04	OUTWARD		23.03.04
INWARD			OUTWARD		
	THU	30240.00		THU	
	FRI			FRI	
	SAT			SAT	
	MON			MON	
	TUE			TUE	
	WED			WED	
	Cheque figure			Cheque figure	
	Foreign currency			Foreign currency	
	TOTAL	30240.00		TOTAL	

STOCK REMITTANCES RECEIVED	Subsequent to & up to audit	STOCK REMITTANCES RETURNED	Subsequent to & up to audit	Pouch numbers of any rem's prepared for despatch prior to audit.
Game Licences		Game Licences		
Philatelic items		Philatelic items		
1st Class stamps		1st Class stamps		
2nd Class stamps		2nd Class stamps		
Postage - Other	368.00	Postage - Other		
Books - Vending		Books - Vending		
Books - Other		Books - Other		
1st Class self adhesive		1st Class self adhesive		
2nd Class self adhesive		2nd Class self adhesive		
Discount W'sale Stamps		Discount W'sale Stamps		
	BT phone cards		BT phone cards	
	30		30	
	50		50	
	100		100	
Home Help/Care Stamps		Home Help/Care Stamps		
Postal Orders - Face Value		Postal Orders - Face Value		
	PO Fees		PO Fees	
	Band 1		Band 1	
	Band 2		Band 2	
	Band 3		Band 3	
	Band 4		Band 4	
	Band 5		Band 5	
	Band 6		Band 6	
London Boroughs Schemes		London Boroughs Schemes		
Commemorative Coins		Commemorative Coins		
Vehicle Licence Stamps		Vehicle Licence Stamps		
TV Licence Stamps		TV Licence Stamps		
Water Authority stamps		Water Authority stamps		
British Gas Stamps		British Gas Stamps		
SEE Board Electricity Stamps		SEE Board Electricity Stamps		
Nonweb Electricity Stamps		Nonweb Electricity Stamps		
Swalec Electricity Stamps		Swalec Electricity Stamps		
Jobox ringtone vouchers		Jobox ringtone vouchers		
Smart Cred £20		Smart Cred £20		
Littlewoods Lotto		Littlewoods Lotto		
Orange £10		Orange £10		
Orange £15		Orange £15		
MTV TOGO £4.99		MTV TOGO £4.99		
MTV TOGO £9.99		MTV TOGO £9.99		
T-Mobile "UP2U" £20		T-Mobile "UP2U" £20		
T-Mobile "UP2U" £10		T-Mobile "UP2U" £10		
Vodafone Prepay £10		Vodafone Prepay £10		
Vodafone Prepay £15		Vodafone Prepay £15		
Vodafone Prepay £25		Vodafone Prepay £25		
Virgin Pre Pay £5		Virgin Pre Pay £5		
Virgin Pre Pay £10		Virgin Pre Pay £10		
Virgin Pre Pay £20		Virgin Pre Pay £20		
£5 PO Phonocard		£5 PO Phonocard		
£10 PO Phonocard		£10 PO Phonocard		
£20 PO Phonocard		£20 PO Phonocard		
£10 Int. PO Phonocard		£10 Int. PO Phonocard		
O2 Prepay £10		O2 Prepay £10		
O2 Prepay £20		O2 Prepay £20		
BT Global £10		BT Global £10		
BT Global £20		BT Global £20		
Moneygram Phonecards £2		Moneygram Phonecards £2		
National Lottery Instant's		National Lottery Instant's		
TOTAL	368.00	TOTAL		

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Day

RECEIPTS		PAYMENTS	
Despatched	On Hand	Despatched	On Hand
BRANCH Marine Drive CODE 213337 PREPARED BY Helen Hollingworth			
GROBANK DEPOSITS		GROBANK WITHDRAWALS	
THURS		THURS	
FRI		FRI	
SAT		SAT	
MON		MON	
TUES	32081.84	TUES	484.89
WED		WED	
GROBANK FEES		INLAND REVENUE	
THURS			1024.15
FRI		NS & J WDL	
SAT		THURS	
MON		FRI	
TUES	14.50	SAT	
WED		MON	1248.18
CARRS - PARCELS		PENSION & ALLOWANCES	
NS & I DEPOSITS		POSTAL ORDERS PAID	
THURS			15.49
FRI		VEHICLE STAMPS REDEEMED	
SAT		TVLSS STAMPS REDEEMED	
MON		WASS STAMPS REDEEMED	
TUES	1770.38	TELEPHONE STAMPS REDEEMED	
WED		SEE ELECTRIC REDEEMED	
VEHICLE LICENCE RENEWALS		SWALEC ELECTRIC REDEEMED	
THURS		STH WEST ELEC. REDEEMED	
FRI		PRESCRIPTION REFUNDS	
SAT		MONEYGRAM RECEIVE	
MON		All National Lottery Prizes	
TUES			
WED			
UKPS FEES		NATIONAL LOTTERY ON LINE SALES	
UKPS CHARGES		THURS	
BUSINESS - Redirections		FRI	
SOCIAL - Redirections		SAT	
National Lottery ON LINE SALES		SUN	
THURS		MON	
FRI		TUES	
SAT		WED	
SUN		1737.50	
MON		LITTLEWOODS PRIZES	
TUES		GREEN VIOLET GROCHOCQUES	
WED		THURS	
INSTANT ACTIVATIONS		FRI	
THURS		SAT	
FRI		MON	
SAT		TUES	
SUN		WED	
MON		3270.64	
TUES		Bureau De Change - Revaluation	
WED		B D C - Trav. cheques to First Rate	
MONEYGRAM - SEND		1.61	
TV LICENCE FEES		PERSONAL BANKING CHEQUE ENCASHMENT	
THURS		THURS	
FRI		FRI	
SAT		SAT	
MON		MON	
TUES		TUES	
WED		WED	
TRAVEL INSURANCE		NB CASH WITHDRAWALS WITH PRI	
SUNRISE - FRANKING MACHINE		THURS	
SUNRISE - OTHER		FRI	
ROD LICENCE FEES		SAT	
THURS		MON	
FRI		TUES	
SAT		WED	
MON		4700.17	
TUES		DEBIT CARDS	
WED		19.02	
Bureau De Change - Commission		TV REFUNDS	
Bureau De Change - Revaluation		TRAVEL INSURANCE REFUNDS	
Bureau De Change - Trav. cheques		MOD PAYMENTS	
PB CASH DEPOSITS		CHEQUES TO PROCESSING CENTRE	
THURS		THURS	
FRI		FRI	
SAT		SAT	
MON		MON	
TUES	1116.00	TUES	
WED		WED	
AUTOMATED PRODUCTS		7519.25	
THURS		International Money Order Paid	
FRI		FOREIGN EXCHANGE SERVICE - Change	
SAT		THURS	
MON	4012.41	FRI	
TUES	70.00	SAT	
WED		MON	
POSTAGE LABELS		TUES	
DEBIT CARD REFUNDS		WED	
THURS		UKPS Fees Refund	
FRI		UKPS Charge Refund	
SAT		Vouchers sent to TP	
MON		Promotional Vouchers	
TUES		ATM WITHDRAWALS	
WED		E TOP UP REFUND	
LOCAL SCHEMES		344.83	
CHEQUES PRIZES PAYMENTS (Bal Entry)		0.56	
THURS			
FRI			
SAT			
SUN			
MON	5015.00		
TUES			
WED			
PRE ORDER FOREIGN EXCHANGE			
THURS			
FRI			
SAT			
MON			
TUES			
WED			
LOAN TO PO.			
E TOP UP		348.00	

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P32
(V29)

ATTACHED DOCUMENTS

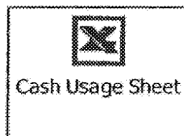
AUDIT LEADER:

Helen Hollingworth

BRANCH NAME:

Marine Drive

Cash Usage Spreadsheet



Postage

BRANCH	Marine Drive			CODE	213337	Prepared by	Helen Hollingworth	
Postage	Sheet 1	2	3	4	5	6	No	VALUE
2nd Class								
1st Class	2385						2385	667.80
1p	68						68	0.66
2p	200						200	4.00
4p	111						111	4.44
5p	247						247	12.35
7p	200						200	14.00
8p	227						227	18.16
10p								
20p	200	3066					3266	653.20
21p								
33p								
34p	122						122	41.48
35p	200						200	70.00
Euro								
39p	200						200	78.00
40p	200						200	80.00
41p								
42p	76						76	31.92
43p	200						200	86.00
47p	236						236	110.92
50p	84						84	42.00
68p	203						203	138.04
£1	131						131	131.00
£1.50p	69						69	103.50
£2	32						32	64.00
£3	51						51	153.00
£5	21						21	105.00
19p								
27p								
37p								
Christmas Stamps 53p								
Christmas Stamps £1.12								
Miscellaneous Postage	62.32						62.32	62.32
Aerogrammes (Singles)	8						8	3.36
Aerogrammes Discount Packs								
Pictorial Aerogramme Packs								
Xmas Air Letters								
Pictorial Air Letters (Singles)								
Air Cards - Singles x £1.04								
Air Cards - singles x £1.35p								
Air Cards - Packs								
Special delivery Small C5	3						3	12.45
Special delivery Large C4	5						5	29.25
Special Delivery X Large C3								
Special Delivery 9:00am								
International Signed Europe								
International Signed Worldwide								
Swiftpack ROW (C4)								
Swiftpack Euro (C4)								
Swiftpack WW (C5)								
Swiftpack WW (DL)								
Swiftair (Sml)								
Swiftair (Med)								
Swiftair (Lge)								
Swiftair (Europe)								
Swiftair (Worldwide)								
International Reply Coupons	7						7	4.20
Air Surs Pack								
Swift Air Pack								
Airpack ROW (C3)								
Airpack Euro (C3)								
Airpack ROW (C4)								
Airpack Euro (C4)								
1st Class self adhesive (200)								
2nd Class self adhesive (200)								
1st Class self adhesive (100)	17						17	476.00
2nd Class self adhesive (100)								
Stamp Books Vending & Other								
Vending								
Vending								
Vending								
Vending								
Adhesive 2p	22						22	52.80
Adhesive 1p								
Clips								
Stamp Books								
Greetings Books								
Christmas 2nd x 24								
Christmas 1st x 12								
6 x Euro								
6 x 42p								
6 x 68p								
Miscellaneous Stamp Books		220					220.00	220.00
£86.64	1						1.00	86.64
								3547.19

1941.67	
Other Postage subtotal	
1p - £5 (Horizon)	
2003.99	Other postage & Misc

Other Stock

BRANCH	Marine Drive			CODE	213337	Prepared by	Helen Hollingworth	
Game Licences	1	2	3	4	5	6	No	Value
Red								
Green								
Blue								
Occasional Dealer Keeper								
Philatelic items								
FDC's x 25p	63						63	15.75
PCD's x 30p	39						39	11.70
£2.43	1						1	2.43
£2.95	14						14	41.30
£1.92	14						14	26.88
£2.30	7						7	16.10
£1.90	5						5	9.50
Odds	9.90						9.90	9.90
Discount Stamp Books								
Self Adhesive 6 x 1st								
Self Adhesive 6 x 2nd								
Self Adhesive 12 x 1st								
Self Adhesive 12 x 2nd								
4 x Europe rate up to 40g								
4 x Rest of World up to 40g								
6 x Euro								
6 x 42p								
6 x 68p								
Christmas 24 x 2nd								
Christmas 12 x 1st								
Miscellaneous								
Discount stamp Books (£ value)								
Home Help								
Postal Orders								
50p	10						10	5.00
£1	22						22	22.00
£2	3						3	6.00
£3	7						7	21.00
£4	10						10	40.00
£5	3						3	15.00
£6	5						5	30.00
£7	10						10	70.00
£8	1						1	8.00
£9	2						2	18.00
£10	8						8	80.00
£15	6						6	90.00
£20								
Coronation Postal Orders								
£10								
Postal Orders Fees								
Band 1	32						32	8.00
Band 2	20						20	10.00
Band 3	18						18	14.40
Band 4	11						11	11.00
Band 5	6						6	6.60
Band 6								
Coronation Postal Orders London Boroughs Schemes								
Commemorative Coins:								
Saving Stamps								
Vehicle Licence Stamps	42						42	210.00
TV Licence Stamps	92						92	184.00
Water Authority Stamps								
British Gas Stamps £5								
SEE Board Electricity Stamps								
Norweb Electricity S.S.								
Swalec Electricity SS								
Credit vouchers								
Jobox ringtone vouchers £3								
Jobox ringtone vouchers £5								
Littlewoods Scratchcards	19						19	19.00
Orange £10								
Orange £15								
T-Mobile "UP2U" £20								
T-Mobile "UP2U" £10								
Vodafone Prepay £10								
Vodafone Prepay £15								
Vodafone Prepay £25								
Virgin Pre Pay £5								
Virgin Pre Pay £10								
Virgin Pre Pay £20								
£5 PO Photocard								
£10 PO Photocard	9						9	90.00
£20 PO Photocard	8						8	160.00
£10 International PO Photocard	20						20	200.00
O2 Prepay £10								
O2 Prepay £20								
BT Global £10								
BT Global £20								
Mobygram Phone Cards								
Nat. Lot. Instant Activated (£1)	362						362	362.00

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Rec

BRANCH	Marine Drive	CODE	213337	Prepared by	Helen Hollingworth
--------	--------------	------	--------	-------------	--------------------

	MILK	EEB	GAS	COARSE	SALMON	MANWEB	BUS				
B/Fwd	72	6255		not	rec						
Add New											
Sub Total	72	6255									
Issued	7	435									
Spoilt											
Returned											
Stolen											
S/B to Hand	65	5820									
Actual on Hand	64	5955			76	9					
Variance	-1	135			76	9					

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Travellers Cheques Reconciliation

	£ Sterling	US \$	Canadian \$	Australian \$	Euro			
On Hand								
Stock in								
Subtotal								
Spoilt / Returns								
Stolen								
Sold								
On Hand								
Subtotal (D+E+F+G)								
TOTAL								

Rec

Franking Machine Reconciliation

Balance brought forward	
Q/E	
Cards withdrawn -	
New cards introduced +	
Total	
Cards on hand	
Variance	

Week	
Value in CA5	
Value in CA1	
Value recorded on P3341	
Value in cash account	

57

MVL Rec

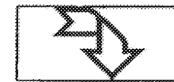
BRANCH NAME	Marine Drive
FAD CODE	213337
DATE OF AUDIT	23.03.2003
PREPARED BY	Helen Hollingworth

Motor Vehicle Licences -

Discs found on hand at audit

Put X in the box if
this last column
is a part week

part week



Week Number	50	51	52
Week Ending			

A	Licences on hand previous week			
B	Add new stock received			
C	Total	0	0	0

D	Valid licences issued on V594 (V10)			
E	Valid licences issued on V595 (V11)			
F	Spoiled Licences			
G	Total Used	0	0	0

H	Total Stock At Counter			
J	Main stock still held by Officer in Charge			
K	Total On Hand	0	0	0
L	Licences Returned To Hemel Hempstead			

M	Reconciliation: Total (=C)	0	0	0
	VARIANCE			

Equip

EQUIPMENT USED	USER	MAKE & MODEL	SERIAL NUMBER
Audit Laptop Computer	Helen Hollingworth	IBM	552L92W
Audits Calculator	Helen Hollingworth	texel	SL608
Audits Calculator	Chris Taylor	Aurora	DT80
Audits Calculator			
Audits Calculator			
Audits Calculator			
Note Counter			
Office Calculator			
Office Calculator			
Office Calculator			

SM CAT

Stock Management Compliance Audit Test

BRANCH	Marine Drive	CODE	213337	Prepared by	Helen Hollingworth
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Does the office order fortnightly? Yes
(For monthly ordering insert No)

Group A Products

Stock on hand week 43
Stock received in period

Stock returned in period

Stock on hand week 51
Total sales
Average weekly sales
Maximum holdings at any time
Value of excess stock (if applicable)

	British Gas Saving Stamps	Postal Orders	TVL Saving Stamps	MVL Saving Stamps	Water Authority Saving Stamps	Virgin Phonecards	O2 Phonecards	T-Mobile Phonecards	Vodafone Phonecards	Electricity Saving Stamps
	£0.00	£712.50	£258.00	£235.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00
	£0.00	£123.00	£258.00	£235.00	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00
	£0.00	£88.08	£32.25	£29.38	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00
	£0.00	£27.13	£35.75	£35.14	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00
	£0.00	£979.68	£354.75	£323.14	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00

Group B Products

Stock on hand week 43
Stock received in period


Stock returned in period

Stock on hand week 51
Total sales
Average weekly sales
Maximum holdings at any time
Value of excess stock (if applicable)

	Definitive Stamps			Stamp Books	Vending Books	Retail (Discount) Books	Lottery Cheques, 2 books max at any time
	1st Class	2nd Class	Other				
	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	0
	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	0
	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	0
	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	0
	£0.00	£0.00	£0.00	£0.00	£0.00	£0.00	0

8

Docs

P32 (V29)	<u>ATTACHED DOCUMENTS</u>	
	<u>AUDIT LEADER:</u>	Helen Hollingworth
	<u>BRANCH NAME:</u>	Marine Drive
	 Document	

Docs

Robbery/Burglary

NO

To :	From :	cc :
Head of Area		

Date :

Audit of Marine Drive

The following control gaps were identified at the audit of the above named branch on 23.03.2003

- Personal cheques on hand incorrectly treated
- Misuse of monies
- Cash and stock not secured during lunchtime if not on premises
- Safe left open
- Safe keys left in safe door and not secured
- Unauthorised amounts held in suspense account (>£1000>8 weeks)
- Cash not listed accurately over £500
- Travellers cheques not kept in safe
- Foreign currency not held securely
- Procedures for adjusting losses and gains were not adhered to

To : Error Notice duty

From :

Date :

ERROR NOTICES

BRANCH:

FAD CODE:

The audit at the above branch revealed the following outstanding error notices on hand and brought to account during the audit, plus those as issued in the Lotus Notes Prep File

Reference	Error Type	Amount	Date Issued	BTA Date

Additional Information :

To:	From:	cc:
Cath Oglesby	Helen Hollingworth Inspector	

Date: 25th March 2004

Audit of Post Office ® Marine Drive branch, FAD 213337

An audit took place at Marine Drive Post Office on the 25th March 2004. Helen Hollingworth led the audit and in attendance was Chris Taylor. The audit commenced at 8.00am and on our arrival the sub postmaster was very pleased to see us. He explained problems he had been having at the office regarding balancing. His problems with balancing started in week 43 with a mis-balance of -4230.97. He was adamant that no members of staff could be committing theft and felt that the mis-balances were due to a computer problem. He had been in contact with the Retail Line Manager Cath Oglesby and the Horizon help line regularly since the problems began. The following table gives further weeks balance declarations on the cash account.

48	-3509.18	
46	-8243.10	
45	-6730.01	
44	-6754.09	
43	-4230.97	
48	-3509.18	This amount put into suspense week 49
46	-8243.10	This amount put into suspense week 47
45	-6730.01	Rolled loss
44	-6754.09	
43	-4230.97	

In week 47 £8243.10 was put into suspense. Although horizon had been contacted and the Retail Line was aware of this figure, this was not authorised. In week 49 £3509.68 was added to make the amount carried in the suspense account total £11752.78. This was also not authorised.

week 51 balance	- £11210.56
suspense account	- £11752.78
expected audit result	- £22563.34
difference at audit	- £2795.41 (-£1769.00 lottery -£1026.41 cash)
audit result	- £25758.75

On the completion of the audit the Retail Line Manager Cath Oglesby was contacted, along with the Investigation team and the Audit Line Manager. The sub postmaster was suspended pending enquiries and an interim postmaster was put in charge at the office.