



Investigating Allegations of Non-Compliance

1. Introduction

Royal Mail Group Ltd was granted a licence by Postcomm on 23 March 2001. On 1 October 2011 Ofcom took over regulation of UK postal services and issued a set of interim conditions applicable to Royal Mail Group (until they have fully reviewed the regulatory framework to apply from April 2012).

Ofcom Initial Condition T.2 requires Royal Mail to appoint a Compliance Officer for the purpose of facilitating compliance by Royal Mail with Initial conditions USPA 1-3 and CP5, section 18 of the Competition Act 1998, or any information request made under section 55 of the Postal Services Act 2011 or section 24 of the Consumers, Estate Agents and Redress Act 2007 ("CEARA").

The Compliance Officer's tasks include the investigation of any matter which is the subject of a representation made to Royal Mail that it may be contravening USPA 1 to 3, Condition T 2 and CP 5, s. 18 of the Competition Act 1998, or any information requests made under s 55 of the Act or s 24 CEARA, or that the procedures established are not being complied with or are defective

This document describes the procedure for such an investigation.

2. Making Representations

Anyone wishing to make a representation has the choice of either first approaching the relevant Royal Mail Director who is in charge of the particular area in question or taking the matter straight to Royal Mail's Compliance Officer.

With regards to Network Access matters (i.e. access to Royal Mail's postal facilities under USPA 1) the relevant Royal Mail Director would be:



Stephen Agar
Managing Director Consumer and Network Access
Royal Mail Group Ltd
100 Victoria Embankment
London
EC4Y 0HQ

Email: Stephen.Agar@royalmail.com

Alternatively, you may wish to raise a formal complaint with Royal Mail's Compliance Officer, in which case you should contact:

Anne Fletcher
Compliance Director
Royal Mail Group Ltd
100 Victoria Embankment
LONDON
EC4Y 0HQ

Email: anne.fletcher@royalmail.com

4. Treatment of representations

Some representations may be straightforward matters, which can be answered immediately by whoever in Royal Mail receives them. However, the Compliance Officer or her staff will investigate any formal representation of breach of the conditions outlined above.

5. Procedure

Formal representation made to the Compliance Officer will normally be acknowledged by letter or e-mail within 2 working days.

A preliminary investigation to assess whether further investigation is required will begin as soon as possible. The person making the representation will be provided with updates on the progress of the investigation.



The Compliance Officer will identify whether, in her opinion, the relevant conditions and procedures have been contravened and will discuss with Royal Mail the steps, which should be taken to remedy such a breach, if one is identified.

Royal Mail takes its obligations very seriously and the Compliance Officer will investigate representations made, as described in this document.

A copy of this document is available on www.royalmailwholesale.com to all parties who seek negotiations for access to Royal Mail's postal facilities under USPA 1.

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