

**Casework Management Initial Tick List
(ENGLAND AND WALES)**

PROSECUTION * FORMAL CAUTION * WITHDRAW *
(To be **Bolded/checked** once DAM decision reached)

INV REF NO: POLTD/0809/0101 - Susan Jane RUDKIN - Ibstock

Process No	Action	Form No	Date	CWM Initials
	• Upon Receipt of Investigation file, log on Casework spreadsheet as 'CWM Pending'. • Update 'Offender' details within casework spreadsheet • Input any other file info to spreadsheets.	N/A	03/09/08	tc
	• Place onto Compliance Master schedule.			
	• E-mail 1 copy of Discipline Report & interview summaries to Stakeholder (if applicable). (A Discipline report is required in all circumstances, chase I.M by e mail/phone if not received).	Draft e-mail No. X	15/09/08	tc
	• Ensure discipline outcome/ Debarment aspects have been reported (at Case closure) • Update casework spreadsheet to include outcome	Draft e-mail No. X		
	• Send Debarment Notice to CS Intelligence Transactions at Battersea (If applicable)			

Notes

- TC – Returned to FA 09/02/09

FOR RMG CLT ADVICE

<i>Ensure Compliance checks have been carried out by CaseworkTeam Manager before continuing ?</i>				
Process No	Action	Form No	Date	CWM Initials
	- Print copies of the Offender report & interview summaries to be placed within appendix 'C' for RMG CLT. - Send investigation file to RMG CLT for prosecution advice - Update casework spreadsheet. - Casework file remains as 'File forwarded to RMG CLT' until decision received.	Memo - CWM002a	15/09/08	tc
	- Receive advice from RMG CLT via email within 15 working days - Detach advice to Investigation folder for matter ('save as' title Legal memo – XX-XX-XX) - Update casework spreadsheet.	e-mail	03/10/08	tc
	- Receive Investigation papers from RMG CLT with advice enclosed, paginate new documentation - Update casework spreadsheet.	Hardcopy	07/10/08	tc
<u>DAM AUTHORITY</u>				
	- Email DAM authority - Offender report - Interview summaries - Interim reports relevant to Investigation matter, - RMG CLT advice - Schedule of charges (if applicable) - Update casework spreadsheet with sent date. (Received date auto-completes to give 'chase' date. (Retain file until DAM received)	Draft e-mail No. X	07/10/08	tc
	- Receive decision from DAM within 5 working days and page in case file. - If not received within 5 days chase DAM.	e-mail	07/10/08	tc
	Following DAM decision E-mail RMG CLT (Lawyer) & Stakeholder (if applicable) with decision.	Draft e-mail No. X	08/10/08	tc

	Update casework spreadsheet.	dependant on decision		
<u>PROSECUTION PROCESS – FOLLOWING DAM'S DECISION RECEIVED</u>				
Process No	Action	Form No	Date	CWM Initials
	Send Investigation file to IM to obtain process.	Memo - CWM011a Memo – CWM011b if answering bail	08/10/08	tc
	Receive e-mail from IM confirming that summonses have been served & copies of NPA01 & 02 (if appropriate) (File will be received if further enquiries were carried out) - (forms to be received within 24 hours of charging/summonses served)	e-mail	16/02/09	tc
	- E-mail NPA 01 (& 02 if appropriate) to CS Intelligence Transaction Team (CSIT). - Update Casework Spreadsheet. See NPA01/02 Process map for further details.	Draft e-mail No. X	27/02/09	tc
?	Receive (via post) details of NPA check within 2 working days (if not received chase CSIT). See NPA01/02 Process map for further details.	Hardcopy	??	
	- Email IM and LS details of NPA check. If trace found, send results (by post) to IM & LS. File paperwork into NPA process files. - Update casework spreadsheet.	Draft e-mail No. X	10/03/09	tc
	- Receive written notification of outcome of court case from RMG CLT. (Pre-Sentencing) - Update Casework Spreadsheet and Offender Spreadsheet.	e-mail		
	E-mail advice to CSIT for notification to police.	e-mail		
	- Receive notification of prosecution result and sentence. - Forward copy of e-mail to Dave Posnett (sentencing details required for Security Weekly Report)	e-mail	06/05/09	tc
	Complete NPA03 with result of case.	NPA03	08/05/09	tc

	Open NPA01/02 forms and check that charges correspond with the sentence details. If they differ then use NPA03 amended charges. See NPA03 Process Map for further details.	Forms		
	Before e-mailing NPA03 Check NPA01 to confirm if fingerprints/photograph have already been taken. If so include a note on the e-mail to Corporate Security to this effect.			
	- E-mail copy of NPA03 to CS Intelligence Transaction Team. - Update Casework Spreadsheet.	e-mail	08/05/09	tc
	- Inform DAM of outcome. See NPA03 Process for further details - Ensure final result is also forwarded to the Senior Fraud Risk Manager & Fraud Risk Manager (Stationery e mail named Final result to DAM)	Stationery e mail	08/05/09	tc
	Move electronic folder (not electronic Investigation) into 'case closed' folder			

CONDUCT CODE – FOLLOWING DAM'S DECISION RECEIVED

Process No	Action	Form No	Date	CWM Initials
	- Receive Conduct decision (and Debarment Notice - if applicable). - If not received chase decision.	e-mail		
	Send Debarment Notice to CS Intelligence Transactions (If applicable)	e-mail		
	E-mail result of Conduct decision to I M.	Draft e-mail No. X		
	- Forward Investigation file to IM for closure. - Update casework spreadsheet.	Memo - CWM002g		

FORMAL CAUTION – FOLLOWING DAM'S DECISION RECIEVED

Process No	Action	Form No	Date	CWM Initials
Adult Caution – England & Wales				

	• Send Investigation file to IM to administer formal caution. • Update casework spreadsheet.	Memo - CWM006a		
	• Receive confirmation from IM that formal caution 'actioned' within 10 working days, and associated NPA/01 &02 via email.	e-mail		
	• Chase IM if not received within 10 working days	e-mail		
	• E-mail NPA forms to CS Intelligence Transaction Team. See NPA01/02 Process map for further details. • Update casework spreadsheet.	e-mail		
	• Inform DAM, RMG CLT & Stakeholder of outcome.	Draft e-mail No. X		
	• Return Investigation file to IM for closure • Update casework spreadsheet	Memo – CWM002g		
	• Deal with Case Closure and exhibits etc. as guided by IM and Casework Manager			
JUVENILE CAUTION – England & Wales				
	• Send file to IM to administer the caution. • Update Casework Spreadsheet.	Memo - CWM006a-JUV		
	• Receive notification of police action within 10 working days. If not received chase up Police action via IM re email.	e-mail		
	• Receive investigation file - Inform DAM, RMG & Stakeholder of outcome.	Draft e-mail		
	• Send original NPA forms to CS Intelligence Transactions. See NPA01/02 Process Map for further details	E mail		
	• Return Investigation file to IM for closure • Update casework spreadsheet	Memo - CWM002g		
	• Deal with Case Closure and exhibits etc. as guided by IM and Casework Manager			

WITHDRAW – FOLLOWING DAMS DECISION RECEIVED.

Process	Action	Form No	Date	CWM
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No				Initials
	• Return Case File to IM to arrange closure. • Update casework spreadsheet.	Memo - CWM002g		
	• Deal with Case Closure and exhibits etc. as guided by IM and Casework Manager. • Update casework spreadsheet.			

Abbreviations

CO = Crown Office

RMG CLT = Royal Mail Group, Criminal Law Team

DAM = Designated Authority Manager (currently TONY UTTING)

IM = Investigation Manager

CS = Corporate Security