

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

PROSECUTION FORMAL CAUTION WITHDRAW 

INV REF NO : POLTD/0506/0174

Pro No	Action	Form No	Date	CWM Initials
1	Log file as received CWM Pending (Main Casework Sheet). Update Offender details and input any other file info to Casework Spreadsheet. Check that electronic copies of reports have been received. If not chase I.M by e mail/phone.			
1	Compliance check completed. Return File to Casework Support Duty.	Interim Report received	22/12/05	
1	E-mail 1 copy of Discipline Report & record of interview to Conduct Manager (if applicable) NB: (not required if suspect has resigned, been dismissed or is not a PO Ltd employee) <i>If DMB staff, also email copy of discipline report and record of interview to Head of Operations (DMB) – (Stuart Stevens)</i>	Draft e-mail ((Discipline Manager)		
1	Make diary entry to chase Discipline Manager 30 working days from forwarding reports etc for outcome of disciplinary action	Diary		
1	Receive Conduct decision (and Debarment Notice - if applicable) within 30 working days. In not received chase up decision			
1	Send Debarment Notice to CS Intelligence Transactions at Croydon (If applicable)			
1	Forward Discipline Managers e mail to LS & I M.			
<b>AND</b>				
2	Print off copy of Full Offender Report and Taped Interview Summaries and place copy in Appendix 'C'	T/PON/Inv folders		
2	Send Case File to LS for prosecution advice. (England & Wales ONLY) Update Casework Spreadsheet.	CWM002a letter		
2	Receive LS advice via e-mail within 15 working days. (If not received within timescales (e-mail to LS)	e-mail		
2	Receive hard copy of advice and Case File from LS, number pages in file and update Casework Spreadsheet.			
	<i>As advised by LS attach appropriate Tick List for action i.e. Prosecution, Formal Caution etc. Depending on DAM's decision, go to relevant process, Prosecution, Formal Caution, Withdraw. See below. If LS advice further enquiries then return to I.M with letter CWM011f.</i>			

<b>Notes</b>	
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<b>DAM AUTHORITY</b>
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*Ensure Compliance checks have been carried out by CaseworkTeam Manager before continuing*

<b>3</b>	Send 1 copy of the full report & record of Interview to the DAM with LS advice and charges. Update datasheet. Retain file until decision received. Update Spreadsheet.	Draft e-mail (DAM authority)		
<b>3</b>	Receive decision from DAM within 5 working days and page in case file. If not received chase DAM. Update Spreadsheet.	e-mail		
<b>3</b>	E-mail LS and Discipline Manager the DAM's decision.	Draft e-mail (L.S & Conduct Manager)		

<b>PROSECUTION PROCESS</b>
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*England & Wales Case – Summonses to be obtained by Investigation Manager*

<b>11</b>	Send file to IM to obtain process.	CWM011a or 11b if answering bail		
<b>11</b>	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		

8	E-mail NPA 01 (& 02 if appropriate) to CS Intelligence Transaction Team (CSIT). Update Casework Spreadsheet. See NPA01/02 Process map for further details.	e-mail		
8	Receive (Via post) details of NPA check within 2 working days (if not received chase CSIT). See NPA01/02 Process map for further details.	e-mail		
8	Email IM and LS details of NPA check. If trace found, send results (by post) to IM & LS. File paperwork into NPA process files.	Draft e-mail (CRO check result)		
<b>Prosecution Ongoing</b>				
21	Receive written notification of outcome of court case from LS. (Pre-sentencing) Update Casework Spreadsheet and Offender Spreadsheet.	e-mail		
21	e-mail advice to CSIT for notification to police.	e-mail		
21	Receive notification of prosecution result and sentence.	e-mail		
21	Complete NPA03 with result of case. See NPA03 Process Map for further details	NPA03 form T/PON/Prosecution Process Forms NPA03		
21	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.			
21	e-mail copy of NPA03 to CS Intelligence Transaction Team. Update Casework Spreadsheet.	e-mail		
21	Inform DAM, and Discipline Manager of outcome. See NPA03 Process for further details	e-mail		

<b>CONDUCT CODE*</b>				
*AFTER DAM'S DECISION RECEIVED				
Proc No	Action	Form No	Date	CWM ACTION
Ensure Compliance checks have been carried out by Casework Team Manager before continuing				
1	Receive Conduct decision (and Debarment Notice - if applicable) within 30 working days. If not received chase decision.	e-mail		
1	Send Debarment Notice to CS Intelligence Transactions (If applicable)			
1	E-mail DAM'S decision to L.S & Discipline Manager	Draft e-mail		
	Return Case File to IM to arrange closure. Update Casework Spreadsheet.	CWM002g letter		

<b>FORMAL CAUTION *</b>				
*AFTER DAM'S DECISION RECEIVED				

Proc No	Action	Form No	Date	CWM ACTION
<b>Adult Caution – England &amp; Wales</b>				
6	Send file to IM to administer formal caution. Update Casework Spreadsheet.	CWM006a letter		
6	IM confirms by e-mail the above action has been completed within 10 working days and forwards NPA01/02 by e-mail.	e-mail		
6	Chase up formal caution administered via IM (if timescale not met).	e-mail		
8	E-mail NPA forms to CS Intelligence Transaction Team. See NPA01/02 Process map for further details. Update Casework Spreadsheet.	e-mail		
6	Inform Discipline Manager, DAM and LS of outcome	Draft e-mail (Formal Caution)		
21	If appropriate return Case File to IM for closure. Update Casework Spreadsheet.	CWM002g letter		
	Deal with Case Closure and exhibits etc. as guided by IM and Casework Manager			
<b>JUVENILE CAUTION – England &amp; Wales</b>				
6b	Send file to IM to administer the caution via the police. Update Casework Spreadsheet.	CWM006a -JUV letter		

6b	Receive notification of police action within 10 working days. If not received chase up Police action via IM re email.			
6b	Receive Case File - Inform Discipline Manager, DAM and LS of outcome.	Draft e-mail		
6b	Send original NPA forms to CS Intelligence Transactions. See NPA01/02 Process Map for further details	E mail		
21	If appropriate return Case File to IM for closure. Update Casework Spreadsheet.	CWM002g letter		
	Deal with Case Closure and exhibits etc. as guided by IM and Casework Manager, Update Casework Spreadsheet.			

**WITHDRAW \***

\*AFTER DAMS DECISION RECEIVED.

Proc No	Action	Form No	Date	CWM Team Initials
4	Return Case File to IM to arrange closure. Update Casework Spreadsheet.	CWM002g letter		
	Deal with Case Closure and exhibits etc. as guided by IM and Casework Manager. Update Casework Spreadsheet.			

**Abbreviations**

**DMB** Directly Managed Branch

**LS** LS

**RLM** Retail Line Manager

**DAM Designated Authority Manager (currently Tony Utting**

**IM Investigation Manager**

**CS Corporate Security**