
Overview

This unit focuses on the preparation and submission of case files. Case files may be overnight files, abbreviated (expedited) files or full files, and could comprise files relating to prosecutions, fatal road collisions, missing persons etc; those that you work with will depend on your role and responsibilities.

In preparing case files you are expected to establish the current status of the investigation, distinguish between different types of case materials (e.g. that likely to assist the prosecution or defence), and identify that which is sensitive and non-sensitive.

You must submit case files to internal departments and colleagues and/or to the prosecuting authorities, and respond to any requests for further action. In addition, you will need to ensure that all relevant documentation and actions (e.g. informing victims) have been completed correctly.

There are two elements

1. Prepare case files
2. Submit case files and progress enquiries

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Prepare and submit case files

Performance criteria

Prepare case files

You must be able to:

- P1 establish the current status of the investigation and ensure that all relevant lines of enquiry are being pursued or have been completed
- P2 distinguish between different types of **material**
- P3 review and evaluate available **material** and select appropriate material for incorporation into the case file
- P4 record, retain and reveal unused **material** in accordance with the relevant legislation and policy
- P5 distinguish between sensitive and non-sensitive **material** in accordance with legislation and policy
- P6 ensure that any issues relating to victims and witnesses are included within the case file
- P7 fully document all decisions, actions, options and rationale in accordance with current policy and legislation
- P8 ensure the quality and accuracy of case file contents within your area of responsibility, presenting evidence promptly, logically and with integrity

Submit case files and progress enquiries

You must be able to:

- P9 present objective comments regarding the strengths and weaknesses of the case in an ethical, unbiased and justifiable manner to the **relevant organisation(s)**
- P10 submit all case files promptly to the relevant organisation or individual in line with legislation and policy
- P11 liaise with the **relevant organisation(s)** for advice as required and ensure that any requests for further actions are responded to promptly and positively
- P12 ensure that all the relevant documentation or actions have been completed correctly in accordance with policy
- P13 take the necessary remedial action in cases where relevant documentation or actions have not been completed correctly

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Prepare and submit case files

Knowledge and understanding

You need to know and understand:

Legal and organisational requirements

- K1 current, relevant legislation, policies, procedures, codes of practice and guidelines for preparing and submitting case files
- K2 current, relevant legislation and organisational requirements in relation to race, diversity and human rights
- K3 current, relevant legislation and organisational requirements in relation to health and safety
- K4 the importance of adhering to national guidelines relating to working appropriately with children and young people

Preparing case files

You need to know and understand:

- K5 how to establish the current status of the investigation
- K6 how to review, evaluate and select case material for incorporation into case files
- K7 the importance of giving equal weight to lines of enquiry including those that support the prosecution and support the defence
- K8 the reasons for distinguishing between different types of case material
- K9 how to record, retain and reveal unused case material
- K10 how to distinguish between, and treat, sensitive and non-sensitive material
- K11 how to identify, and include within the case file, any issues relating to victims and witnesses
- K12 how to document your decisions, actions, options and rationale
- K13 the need for the case file content to be accurate, complete, logical and fit for purpose
- K14 the required content and format for different types of case files

Submitting case files

You need to know and understand:

- K15 how to present comments regarding the strengths and weaknesses of the case
- K16 the importance of presenting objective comments in an ethical, unbiased and justifiable manner
- K17 the procedures for submitting case files
- K18 the organisations with whom you must liaise
- K19 those with whom the contents of case files can be shared
- K20 how to ensure that all relevant documentation has been correctly completed, is accurate, logical and fit for purpose
- K21 the actions that may be required relating to the submission of case files
- K22 the remedial action to be taken in cases where relevant documentation or actions have not been completed correctly

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Additional Information

Scope/range related to performance criteria

Prepare case files

1. **material**
 - 1.1 likely to be used for the prosecution
 - 1.2 likely to be used for the defence
 - 1.3 not likely to be used in the case

Submit case files and progress enquiries

2. **relevant organisations**
 - 2.1 internal departments
 - 2.2 prosecuting authorities
 - 2.3 other investigative bodies

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