

## Introduction

### Aims and Objectives

- The main aim of this manual is to improve the quality of the management of CPS' records and to enhance their use as an information resource.
- This manual includes updated guidelines and procedures relating to the handling and retention of both administrative and case files.
- The specific aims of the revised management policies and procedures are to ensure that:
  - CPS meets the obligations under the Freedom of Information Act (FoI) 2000, the Data Protection Act 1998 and the Public Records Acts 1958, 1967;
  - The approach to corporate records is consistent with the Publication Schemes that will become accessible in June 2003;
  - Information providing evidence of the functions, policies, procedures, decisions, actions and other key activities in HQ and the Areas, is recorded;
  - Recorded information can be retrieved promptly to aid decision-making and increase the department's effectiveness and efficiency;
  - Records created or received in the course of business are retained in accordance with the appropriate retention schedules;
  - Those records worth preserving permanently due to their administrative, research or historical value, are identified and safeguarded in accordance with the appropriate retention schedules;
  - That records retained under the control of the department are stored economically and in such a way that they can be retrieved readily, reviewed regularly and disposed of in accordance with the appropriate retention schedules.

### The need for an Electronic Document & Records Management System (EDRMS)

Many pages of this manual refer to an Electronic Document & Records Management System (EDRMS). The CPS is currently planning to introduce an EDRMS over the next few years; this section provides the background for that intent.

The Government has set the target of 2004 for the use of electronic records. Specifically:

*"It is our aim that by 2004 all newly created public records will be electronically stored and retrieved."* (**Modernising Government White Paper, 1999**).

This target requires the application of electronic document and records management in its wider context including the management of information that does not constitute a formal corporate record (i.e. including document management). The Public Record Office (PRO) has provided a definition of a "record":

*"A record is a specific piece of information produced or received in the initiation, conduct or completion of an institutional or individual activity. It comprises sufficient content, context and structure to provide evidence of the activity. It is not ephemeral – that is it contains information that is worthy of preservation in the short, medium, or long term."* (PRO, 1998).

An electronic record can be created from any electronic document including emails, any combination of text, data, graphics, sound, moving pictures or any other forms of information. These records must be organised, their integrity maintained and their retention and disposal requirements defined and adhered to. An EDRMS provides the digital environment for capturing electronic documents and applying records management principles (i.e. classification, declaration and sustainability, retention schedules, review, export, transfer and destruction). An EDRMS also allows paper documents to be scanned and thereafter managed as electronic images.

**Definitions**

- The word “must” indicates that a policy is considered mandatory;
- The word “should” indicates that a policy is considered desirable.

## Background

All recorded information that is created or received, stored and maintained by the various departments is part of the “corporate memory” of CPS. The information should be available to support all aspects of the work of the Department and to answer enquiries generated by the public subject to certain security or legal restrictions.

It is important to ensure that CPS can:

- Determine what recorded information exists;
- Locate and retrieve specific information;
- Restrict access to information where appropriate.

The way that CPS manages its recorded information, and what information is recorded, is determined by the following sets of factors:

- Internal factors relating to the functions and objectives of CPS;
- Parliamentary accountability which requires that decisions are properly recorded with necessary back-up documentation;
- Statutory requirements, in particular the:
  - Freedom of Information Act 2000;
  - Data Protection Act 1998;
  - Public Records Acts 1958, 1967.

## Implications of Legislation

These three Acts have great implications for the way that CPS creates, stores and manages both its paper-based and electronic case and administrative records. The FoI Act in effect requires CPS to keep complete, accurate, and well-indexed records so that it can respond to public requests quickly and accurately. The Data Protection Act, with its eight principles (in particular principles 5 and 7) and the Public Records Acts also bring records accuracy, preservation and disposition at the forefront of CPS’ wider policies in support of the Government’s Modernisation Agenda. They also require that information is managed properly so that it is disposed of when no longer needed.

The revision of the existing Records Management Manual is a significant step towards ensuring that the records management procedures and policies are up-to-date and that they comply with the requirements of the Acts.

## Freedom of Information Act 2000

The Freedom of Information Act (FoI) 2000 provides every person the legal right to obtain information held by national, regional and local government and other organisations working on behalf of the government. The scope of the information covered by the Act is not limited to “personal data” such as tax, social security and medical records; it includes all information held by the organisation. Public organisations will be obliged by law to provide the requested information within 20 working days (or 60 working days) for complicated enquiries in which case the citizen must be kept informed.

More information will be published in a proactive manner making the public organisations and the government as a whole more open and accountable to the public. The types of

information that the government would like to see published are:

- Facts and analyses important in helping the Government make major policy decisions;
- Information about how public services are run;
- Reasons for government decisions;
- Guidance on dealings with the public.

Organisations covered by the Act will be obliged by the law to provide information about their day-to-day business. The types of public organisations that the government would like the law to cover are:

- Government Departments (e.g. Dept of Health, Dept for Education and Employment);
- Agencies (e.g. Benefits Agency, Employment Service);
- The National Health Service;
- Local Councils, and local public bodies;
- The Armed Forces;
- The Police and police authorities;
- Schools, colleges and Universities;
- Public Service Broadcasters such as BBC and Channel 4.

The public organisations that will not be covered are the Special Forces (SAS and SBS) as these would not be able to carry out their duties effectively and in the interests of the nation if they were subject to the FoI Act.

Some information will not be available, as it will be considered “exempt”. For example, the public also will not be able to see information about:

- Sensitive security and intelligence matters;
- Personnel files of government employees;
- Information whose disclosure could undermine crime prevention or the bringing of prosecutions;
- Commercially sensitive matters.

The public can request information by writing to, or sending an e-mail message to, the public organisation concerned.

A new office of Information Commissioner and a new Information Tribunal has been created with wide powers to enforce the rights of the Act. The Information Commissioner will also approve the publication schemes, which will specify the classes of information that the public organisation intends to publish, the manner of publication and whether the information is available to the public free of charge or on payment of a fee.

The Freedom of Information Act 2000 will be implemented in full by January 2005 with the publication scheme provisions being implemented first on a rolling program. The Crown Prosecution Service will implement its publication schemes by June 2003.

Further information can be obtained from the Freedom of Information Act 2000 leaflet, which will be available in due course.

## **Data Protection Act 1998**

The Data Protection Act 1998 applies to any organisation (private or public) that possesses personal data about any living individual. Organisations have to comply with the eight enforceable principles of good practice. In summary, personal data shall be:

1. Processed fairly and lawfully;
2. Obtained only for one or more specified and lawful purposes, and shall not be further processed in any manner incompatible with that purpose or those purposes;
3. Adequate, relevant and not excessive in relation to the purpose or purposes for which they are processed;
4. Accurate and, where necessary, kept up to date;
5. Held no longer than is necessary, except for those retained for historical or research purposes;
6. Processed in accordance with the rights of data subjects under this Act;
7. Protected against accidental loss or damage
8. Kept within the European Economic Area (EEA), unless the country or territory outside the EEA can ensure an adequate level of protection for the rights and freedoms of data subjects in relation to the processing of personal data.

For further information consult the Data Protection leaflet or contact the Data Protection Officer.

## **Public Records Acts 1958, 1967**

The Public Records Acts place obligations on departments to:

- Maintain inventories of their electronic and non-electronic records, and subject the records to disposal schedules based on their administrative and permanent value;
- Make arrangements for the selection of significant records for permanent preservation and for their safekeeping;
- Transfer selected records to the Public Record Office no later than thirty years after their creation (except with the approval by the Lord Chancellor in certain defined circumstances);
- Ensure that their websites (or parts of websites) can be preserved as long as is necessary for the conduct of their business and, if selected for permanent preservation, can be preserved permanently by the Public Record Office;
- Follow proper electronic records management procedures to protect copies of different versions of websites against loss, interference or electronic degradation;
- Assess whether or not copies of complete websites or discrete documents presented on websites should be preserved in order that they can be produced as authentic records of the information provided by a department;
- Destroy records, which are not required for permanent preservation.

## Roles and Responsibilities

### Departmental Record Officer (DRO)

- The Departmental Record Officer (DRO) is a member within the Business Information Systems (BIS) Directorate in HQ and Head of the Records Management Unit (RMU).
- The DRO is responsible for supporting the efficiency and quality of CPS business by formulating and advising on Departmental policies and procedure relating to the effective management and security of information and compliance with the Public Records Act, Data Protection Act, Freedom of Information Act, and Human Rights Act.
- The DRO is the authoritative source of advice on any matters connected with records including Public Records Act, Data Protection Act, and Freedom of Information Act.
- The specific responsibilities of the DRO are:
  - Devise, promulgate, monitor and keep under review the policies and procedures intended to:
    - Ensure compliance with the Public Records Act, Data Protection Act, Freedom of Information Act and Human Rights Act;
    - Ensure that the records of the Department are effectively managed and available as a corporate resource;
    - Ensure the destruction of material (held by the RMU) that is no longer required;
    - Subject other retained material to review in order to establish whether it has continuing value for administrative, legal or research purposes.
  - Be aware of all significant collections of records in the department and the purposes and value of keeping them;
  - Be aware of the likely research needs of the department and of those working in various fields outside the government service.
  - Provide a records management consultancy and advice service to all members of the Department.
  - Make arrangements to identify records worthy of permanent preservation and for their safekeeping.
  - Ensure that the records selected for permanent preservation are prepared for transfer and then transferred to the National Archive (TNA)
  - Identify those records that cannot be released to the public or cannot be transferred to the TNA and retain these for such a period as stipulated in the relevant retention schedules.
  - Identify any records, which can be made available to the public.
  - Make arrangements to deal effectively with requests, from inside or outside the department for access to or information relating to Departmental records held by CPS and the TNA.
  - Provide the subject access point for Data Protection and Freedom of Information requests.

- The DRO heads the Records Management Unit (RMU) whose members are responsible for:
  - Reviewing records to identify those that need to be permanently preserved;
  - The preparation of records that are to be permanently preserved and their transfer to the TNA;
  - Records surveys, consultancy services and inspections of Departmental record holdings;
  - Providing general advice and guidance of all matters relating to Data Protection Act, Public Records Act and Freedom of Information Act.

## **Enquiries**

The full address and contact numbers of the Records Management Unit (RMU) are provided below:

Records Management Unit (RMU)

2nd Floor

CPS Headquarters

DX 300850

Ludgate EC4

Tel: 78 8008

Fax: 020 7796 8439

## **Area Business Managers (ABMs)**

- Every Area Business Manager (ABM) and each Head of Division in HQ are responsible for the creation, maintenance and destruction of the records within their Area or Division.
- An Area Business Manager must be aware of all record types that are created and/or received in their Area or Division whatever the format (i.e. registered administrative files, case files, unregistered documents, audiotapes, videotapes, electronic and non-electronic databases, and various copy exhibits sent by the police).
- The ABM must:
  - Ensure that his/her role is well understood by the Area Management Team;
  - Monitor compliance with the Public Records Act, Data Protection Act, Freedom of Information Act and Human Rights Act;
  - Ensure that all Long-Term Interest case files are identified and sent to the DRO;
  - Provide advice on local operating instructions and where appropriate agree record protocols with the police;
  - Refer all requests on Data Protection legislation to the Data Protection Officer.

## Other CPS Staff

- Senior Managers should seek the advice of the DRO whenever:
  - Policy and procedural changes are likely to affect the departmental records;
  - Changes to the format of records are planned;
  - Significant new collections of records are created that can not be classified using the Standard Subject List;
  - CPS functions are devolved or transferred to other bodies.
- Managers at all levels are accountable for the:
  - Effective management, in accordance with this manual, of the records which they and their staff use in their day-to-day work;
  - Identification of records which are of continuing value and need to be reviewed and the timely disposal of other records in accordance with the relevant retention schedules;
  - Resources, which are necessary to maintain records prior to them, being handed over to the DRO.
  - Compliance with the Data Protection Act and Freedom of Information Act.



## Clear Desk Policy

This policy will be reviewed and expanded when the new EDRMS system is in place.

### The Policy

All documents and computer media should be locked away in suitable locked cabinets and/or other forms of security furniture (inc. off-site storage) when not in use, during a working day and overnight when the level of protection of the office is inadequate.

### Principles

- Desks must be clear of sensitive material when left unattended.

*Sensitive means any material, which can be defined as or is protectively marked as **Restricted** or above:*

- Sensitive material must be stored in filing equipment or file room;
- Desks must be cleared at the end of each working day;
- Desks must be cleared when left unattended for any length of time (e.g. attending Court);
- Unnecessary clutter should be avoided.
- Files and other material with the protective markings **Confidential**, **Secret**, or **Top Secret** should be held in secured containers and an appropriate index of their location must be maintained. **Further information can be obtained in the Security Manual.**
- Filing equipment must be secured.
  - Drawers and doors should be closed;
  - All filing equipment should be locked.
- File rooms in working areas (e.g. open plan) must be locked at night.
  - Access to the rooms should be controlled at all times;
  - All file rooms must be locked at night.
- File rooms outside working areas must be kept locked at all times.
  - Access to the rooms should be controlled at all times;
  - The rooms should be checked frequently to ensure that standards of security are met.
- Computer disks and tapes must be stored securely.
  - Computer disks must be removed from the computer and locked in secure filing equipment or file room.
- Office floor and working areas must be kept clear.
  - Files or documents should not be left on the floor;
  - Rooms must be clutter free and restricted waste should be held securely;
  - Notice boards should be smart and up-to-date.

- Keys to filing equipment and file rooms must be kept secure.
  - Keys must be away in a safe place where any unauthorised attempt to use them would be detected;
  - Keys should not be hidden in desk drawers or elsewhere;
  - Duplicate sets of keys should be held separately.

## Storing All Registered Files

This policy will be reviewed and expanded when the new EDRMS system is in place.

### The Policy

Registered files (administrative or case files) that are active should be stored as close as possible to the person responsible for registering the file.

**Registered files that have closed should be stored outside the working office space (e.g. in a secure basement or other space that is of limited use) or in an off-site managed storage.**

### Principles

- Registered files must not be stored in desk drawers where they are not available to other users.
- Registered files should be stored “laterally” (i.e. side by side on a shelf) in cupboards preferably shutter-fronted.
- Filing cabinets should be avoided but where such storage equipment is used and it is in a good condition it should not be replaced. However, where there is a need for replacement, shutter-fronted cupboards should be purchased.
- Magistrate’s Court files should be stored in hearing date order. If large numbers of files are stored for a specific date, these files should be sorted alphabetically in order of the defendant’s surname.
- Crown Court files should be stored in a file reference number order.
- Other registered files may be sorted:
  - Functionally;
  - Chronologically;
  - Geographically.
- When a registered file is removed from the shelves it should be replaced by a marker (tracker or absence card) on which the name of the person holding the file and the date removed are recorded. Some case tracking systems have the facility to record the location of cases files. These systems are used as an alternative to absence cards.
- Registered files must be returned to the shelves as soon as work on them is completed.
- You should undertake a thorough audit of the filing system every six months to ensure that:
  - Registered files are put away in order;
  - Closed registered files are not stored with current/live files;
  - The tracker (absence) card or computerised system is being operated.
- The findings of the audit report should be reported to the Head of the Unit.

## **Record Store layout**

- The record store should be sited on ground not liable to subsidence or flooding whether of natural or man-made origin (e.g. burst water pipes).
- Seek the DRO's advice, when you want to design a new internal area to store registered files. You must adopt the following general guidelines:
  - Floors should be hard-wearing, level and uninterrupted by steps, door sills or anything that impedes the easy passage of trolleys;
  - Doors should be self-closing and wide enough to allow easy access by trolleys (at least 90cm);
  - Doors should be fitted with locks that may be opened from the inside without a key but can be opened from the outside only with a key;
  - The minimum ceiling height should be 260cm;
  - The files should be stored on static or mobile metal racking strong enough to withstand the potential load;
  - Shelves should be placed at 30cm vertical intervals. The front edge of each shelf should be rounded or turned so that there is no sharp or angular edge.
  - The overall height of the shelves should not exceed 230cm. The bottom shelf should be 15cm off the floor and the width of an aisle should be equal to the depth of the shelf plus 45cm.

## **Use of Record Store**

- Registered files that are stored internally should be given maximum protection against theft, vandalism, unauthorised alteration or damage.
- Registered files must not be left on floors or chairs even temporarily.
- The storage area must only be used for the storage of the registered files and any associated equipment.
- Unauthorised or unsupervised access should not be allowed.
- Registered files should be stored in storage boxes that are 13cm wide. Each box should contain files that have identical destruction date or review date. Each box should be given a unique identification number that is cross-referred to the file reference number.

## **Commercial Record Storage**

- The archiving of closed registered files in HQ and the London Areas has been contracted out to the private sector. Areas that wish to consider commercial archiving companies must contact the DRO at HQ.

## **Glossary of Terms**

This glossary defines the key terms that are used throughout the Records Management Manual.

### **Administrative file**

A file jacket used to hold documents relating to the development, formulation or modification of a policy or practice, which will then be applied to individual cases or instances.

### **Case file**

A file jacket used to hold documents, any correspondence and information relating to a criminal case as originated by the Police.

### **Directive**

A policy or procedure statement not contained in a manual. It may be issued as an office notice, circular, management statement or in an Inform. A directive may:

- Establish or change the Department's structure;
- Delegate authority or assign responsibility;
- Establish or revise a policy;
- Prescribe a method of procedure;
- Establish standards of operation;
- Revise or cancel other directives;
- Promulgate a form or report.

### **Document**

Information, stored on a physical medium, which can be interpreted in an application context. A document may be on paper, microfilm, magnetic or other electronic medium. It may include any combination of text, data, graphics, sound, moving pictures or any other forms of information.

### **Electronic document**

A document which is in electronic form. This is not limited to text-based documents generated by a word-processor, but also includes e-mail messages, spreadsheets, graphics and images, HTML/XML documents, multimedia documents, and other types of office document.

### **Electronic Folder**

A set of related electronic records.

### **Electronic Record**

An electronic document which has been declared as a corporate record.

**Public Record**

A source of recorded information in any form, which is created or received by the Crown Prosecution Service and relates to its function. Public records are:

- Audio and Video tapes;
- Electronic documents (inc. emails, spreadsheets)
- Correspondence;
- Faxes;
- Films;
- Photographs;
- Plans and Maps;
- Policy Directives (inc. manuals);
- Reports.

**Registered file**

An official copy of CPS records to which an index is maintained.

**Version**

(of a document). The state of a document at some point during its development. A version is usually one of the drafts of a document, or the final document. Records cannot exist in more than one version.

## **Criminal Case Files**

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## Single File Systems Shared With The Police (Including IPT For London)

### File Ownership and Retention

Under the single file system, ownership of the file will have been determined during the lifetime of the case and at the conclusion of the case. Whilst the CPS has possession of the file they will assume full responsibility, until the file passes back into police ownership. Whilst this may be difficult to document at a co-located site, the police/CPS should both adhere to information flows set up at the beginning of their respective co-location projects.

Whichever organisation takes ownership of the file at the conclusion of the case must take responsibility for managing the archive. This applies to the management of the archiving of both, business as usual cases and long term interest cases (in most instances, police forces have usually assumed responsibility of the archive owing to their longer retention periods). Therefore, single files will be retained under the Police Authority's retention and disposal schedule.

If the police take on the archiving responsibility of the file at the conclusion of the case, there should be agreements in place that the police allow CPS staff, including the Departmental Records Officer, CPS Inspectorate, Internal Audit and National Audit to inspect files archived upon reasonable agreement. This applies also to where any Data Protection or Freedom of Information requests are received by the CPS.

Where the CPS have agreed to archive the file at the conclusion of the case, similar arrangements will be put in place to ensure that the police have access to the file for the purposes as outlined above.

### Implications of file ownership

Once ownership of a file is established, corporate responsibility for the owning organisation is determined. Files should be retained in accordance with the policy of the file owner. Retention of data shall be for the minimum period required to achieve objectives and purposes. The review and weeding of data is to be agreed by the units in accordance with their existing organisational policies and procedures. Whoever assumes responsibility of the file upon finalisation will assume responsibility as the data controller of the information contained within that file.

*The Data Protection Act defines a data controller as being:*

*"...a person who (either alone or jointly or in common with other persons) determines the purposes for which and the manner in which any personal data are, or are to be, processed."*



## **Freedom of Information and Data Protection requests**

Where cases are still live, the organisation best placed to deal with the request should respond to the applicant. Where it is determined that the CPS is the best organisation to handle the request, it should immediately be referred to the Information Management Unit at HQ to handle. All requests should be sent to:

Information Management Unit

2nd Floor

50 Ludgate Hill

London

EC4M 7EX

Or: [foiunit@cps.gsi.gov.uk](mailto:foiunit@cps.gsi.gov.uk)

## **Long term interest criteria**

Where a single file meets the CPS Long Term Interest criteria (as defined in the criminal case file retention schedule), all the single file material should be copied and then prepared for dispatch to the RMU at the conclusion of the case, and no later than 3 months following the conclusion of the case.

### *File Security*

All staff will need to also bear in mind principles laid out in the Manual of Protective Security. Additionally, CPS staff should also refer to the SAFE leaflet they have been issued with regarding security guidance for the documentation in their occupied sites. All staff working in units shall comply with the building owners, i.e. Police or CPS, policy for the secure disposal and collection of confidential waste according to its security classification. Casework material should not be disposed of in waste bins. Any material classified above 'RESTRICTED' should be shredded on site prior to secure disposal. (See CPS Security Manual for further details.)

## **Dual File systems**

These systems require the CPS to take responsibility for their copy of the file, provide a jacket and manage, retain and destroy it under the terms of the Public Records Act and the department's retention/destruction policy.

In this situation the Crown Prosecution Service is acting as a separate data controller given that the CPS decides the purposes for which processing takes place as well as how the personal data supplied by the police will be used.

### *Long term interest criteria*

Where a file under the dual file meets the CPS Long Term Interest criteria (as defined in the criminal case file retention schedule), all file material should be prepared for dispatch to the RMU as instructed by the guidance presented in the Records Management Manual.

### *File security*

All staff will need to also bear in mind principles laid out in the Manual of Protective Security. Additionally, CPS staff should also refer to the SAFE leaflet they have been issued with regarding security guidance for the documentation in their occupied sites. All staff working in units shall comply with the building owners, i.e. Police or CPS, policy for the secure disposal and collection of confidential waste according to its security classification. Casework material should not be disposed of in waste bins. Any material classified above 'RESTRICTED' should be shredded on site prior to secure disposal. (See CPS Security Manual for further details.)

## Creating New Case Files

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### When to perform this procedure

Perform this procedure when you receive a separate (dual) case file from the police.

### The procedure

*This is the minimum approach that will be applied irrespective of Case Tracking System or local support arrangements.*

1. Record the case details on the Case Tracking System.
2. Record the defendant's first name, surname, date of birth, and, at least, the lead offence.
3. Record the police Unique Reference Number (URN) (e.g. 53/AX/7325/98).

*A police URN is composed of the following elements:*

*PP is the Police Force (Area) (e.g. 53);*

*SS is the Police Station(s) (e.g. AX);*

*NNN is the number of cases within PP, SS and Year (e.g. 7325);*

*YY is the Year that the case file was opened (e.g. 98).*

4. Allocate a case reference number.
5. If the case is transferred/committed to a Crown Court, record the Crown Court reference number (e.g. 99/133) on the file jacket.
6. Mark any photographs and plans with the case reference number or if it is Crown Court case mark with the Crown Court reference number.
7. Place any photographs and plans in a brown envelope and secure envelope in case file using a treasury tag.
8. Produce the file jacket label and fix label on file jacket.
9. Secure documents in case file using a treasury tag.

*The CPS Records Management Unit recommends that child abuse case files are coloured pink and youth cases are coloured green. However the choice of jacket colours is a matter of local discretion. The choice of colours and usage must be well documented to all staff within an Area.*

## Adding Documents To Files Out Of Sequence



### When to perform this procedure

Perform this procedure when you need to file a record in a case file or administrative file and the record is older than the most recent record in the file.

*This is an exception procedure. Usually, a record you file will be the newest record in a file.*

### The procedure

1. Retrieve the file.
2. Find the place in the file where the document will be filed (in date order).

*For example, if the document is dated 14 July 2002, it might be filed between documents dated 12 July 2002 and 17 July 2002.*

3. Write at the top right corner of the first page of the document its Document Number, which is the number of the immediately preceding document, followed by a forward slash, followed by a sequence number.

*Continuing the above example: if the 12 July document is numbered "51" then number the new document "51/1". If there is more than one document to be inserted, number them "51/2", "51/3" etc.*

4. Circle the Document Number.
5. Place the document in the file.

## Removing A Document From A File

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### When to perform this procedure

Perform this procedure when a document has been misfiled, or when you have some other valid need to remove a document permanently from a case file or administrative file.

*This is an exception procedure, as removing documents is not routine. It should rarely be used.*

### The procedure

1. Retrieve the file.
2. Locate the document to be removed.
3. Remove the document.
4. Insert in its place a paper which states:
  - Your name;
  - The date;
  - The number of the document you have removed;
  - (Optionally) a brief reason for its removal.
5. Destroy or re-file the removed document, as appropriate (**see Filing Paper-Based Administrative Documents** when re-filing a document).

*If you re-file it, be sure to cross through the original document number.*

### Links

Filing Paper-Based Administrative Documents

## Appeals To Courts Above The Crown Court

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### When to perform this procedure

Perform this procedure when further action is required on a case post-trial (for example, the receipt of appeal documents).

### The procedure

*This is the minimum approach that will be applied irrespective of Case Tracking System or local support arrangements.*

1. Locate original case file.

*As a minimum, the system (where available) should be able to locate the case file, by means of the defendant's name and the reference number of the file.*

2. Obtain a new case file jacket.
3. Mark the new file with the same reference numbers as the original.

*If a system is used, you should print a label with the reference number on it, otherwise you write the reference number on the new file jacket.*

4. Mark the new file as a sub-file by writing the words "sub-file" next to the case reference number.
5. Secure appeal documents in the new case file using a treasury tag.
6. Keep the original and the new case file together using a CPS tape.

## Reviewing and Storing Warrant Files

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### When to perform this procedure

Perform this procedure when any of the following criteria is satisfied:

- A warrant has been issued and the defendant has not appeared for trial; or
- A period of six months has passed following the issue of the warrant.

### The Procedure

1. Locate warrant file.
2. Review the file to determine whether to withdraw the file or proceed with the substantive offence. **(See Section 2: Withdrawal of Bench Warrants in the CPS Legal Guidance).**

3. Store the warrant file in date of warrant order.

*Check local storage arrangements with your Area Business Manager. Warrant files should be easily accessed and readily available.*

4. If the warrant is not executed or the case has not been terminated, review the file every six months.

*When closed, files should be retained in accordance with the **Criminal Case File Retention Schedule**.*

## Closing Case Files



### When to perform this procedure

Perform this procedure when an action on a case file is complete and the related documents need to be placed back in order.

### The Procedure

1. Locate the case file.
2. Destroy surplus copies of documents (e.g. jury copies of exhibits) which are attached to the file but they are not in the file.

*Check destruction arrangements with your local Area Business Manager, as different arrangements exist within areas.*

3. When a document is misfiled, remove the document and re-number remaining documents in the file. **(See Removing A Document From A File).**

*This step is an exception as misfiling and removing documents is not routine.*

4. Return original exhibits, and copy tapes to the police.

*Tapes relating to police complaint cases should be returned to the police via the CPS area that had initially dealt with the case.*

*Check storage and control arrangements of tapes in child abuse cases with your local Area Business Manager.*

5. If the case file is a Long Term Interest File **(see Long Term Interest File Criteria)**, send the case file to the Records Management Unit (RMU) **(see Sending Long Term Interest Case Files to the Records Management Unit (RMU))**.
6. If the case file is not a Long Term Interest File, mark the file with a destruction date and retain for a pre-defined period **(see The Criminal Case Files Retention Schedule or the Casework Directorate Retention Schedule if you are in a Casework Directorate)**.

*Check storage arrangements with your Area Business Manager. Depending on storage arrangements case files should be either put into boxes for off-site storage marked with a destruction date, or kept on-site in destruction date order.*

### Links

Removing A Document From A File

National Long Term Interest Criteria – Criminal Files

Sending Long Term Interest Files To The Records Management Unit (RMU)



## Sending Long Term Interest Case Files To The Records Management Unit (RMU)



### When to perform this procedure

Perform this procedure when action on a Long-Term Interest File (LTI) is complete (**see Long-Term Interest file Criteria**).

### The Procedure

1. Locate the case file.
2. Obtain standard 14 cm boxes (code: 020 9200).
3. If you are in an Area, obtain and complete a **Long Term Interest File Certificate – Area** or if you are in HQ obtain and complete a **Long Term Interest File Certificate – HQ**.
4. Place the original Long Term Interest File Certificate on top of the case file.
5. If the documents within the file are not already in date order, arrange the documents in date order (oldest at the back).
6. If case is thicker than 12 cm, break the case down to 12 cm bundles and complete a **File Continuation Sheet** for each bundle.
7. If there is a photograph album related to the case file
  - Write the reference number and lead defendant's name on the album cover and on the envelope which will contain it;
  - Place photograph album in the envelope;
  - Place envelope securely in the file using a treasury tag.
8. If there is an audio/video tape related to the case file, send the original to the police.
9. If the file contents occupy more than five boxes, index the case file contents.
10. Place case file and/or bundle(s) into standard 14 cm boxes.
11. Destroy spare copies and draft documents.

*When destroying draft documents and spare copies, you should shred or tear the documents and dispose in restricted waste sacks*

**Confidential, Secret & Top Secret** material should be destroyed by using Security Equipment Assessment Panel (SEAP) approved equipment and methods (i.e. shredding, incineration, and disintegration).

Further information can be found in the **CPS Security Manual: Destruction of Protectively Marked Material** and in the **Handling of Protectively Marked Material** leaflet "A Guide for CPS Staff".
12. Seal standard boxes using either Banner packaging tape (code: 931 0021) or Closure Tape (code: 931 0023).

13. Write the destination area (i.e. RMU) in the Public Records Act Recommendation box on the case file.
14. Send sealed box(es) to:

Records Management Unit (RMU)  
2<sup>nd</sup> Floor  
CPS Headquarters  
DX 300850 Ludgate EC4

*Guidance on how to transport protectively marked documents can be found within the **CPS Security Manual - "Carriage of Protectively Marked Assets"**.*

*Arrangements for sending files to the Records Management Unit (RMU) will vary from area to area but they are usually via DX.*

15. Photocopy the Long-Term Interest File Certificate and send it to your Area Business Manager or your Unit's Head if you are in HQ.
16. Send the file to the Records Management Unit (RMU) no later than 3 months after its conclusion.
17. If the file contents are contained in more than one box, number each box consecutively, e.g. Box 1 of 5 etc.
18. Do not write the defendants name on the box.

## **Links**

National Long Term Interest Criteria – Criminal Files  
Long Term Interest File Certificate  
File Continuation Sheet

## Request For File From Records Management Unit (RMU)

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### When to perform this procedure

Perform this procedure when you need to access a case file and/or associated documents in order to respond to queries or appeals relating to case files held by the Records Management Unit (RMU).

### The procedure

*Although arrangements for requesting the return of files that have been sent to the RMU vary from area to area, the following general guidelines should be followed.*

1. Obtain and complete a **Request For File From Records Management Unit** form.
2. Send the completed form to the RMU by email, DX or fax.
3. The Records Management Unit (RMU) will dispatch the case file to the Area within 48 hours of receipt of the request form.

*The RMU can in an emergency obtain the file within 2 hours and fax small quantities of material. The service pays a high charge for this. If this service is required please contact the Departmental Record Officer based in the RMU.*

### Links

Request for File From Records Management Unit

## HQ Casework Divisions - Retention Schedule

### Criminal Case Files And Related Documents/Material

**Do not destroy files** that are subject to a preservation order under section 17(2) of the Criminal Appeal Act 1995 unless the order has been lifted by the Criminal Cases Review Commission (CCRC).

Categories of case files	Send to
<input type="checkbox"/> Cases finalised in HQ Casework Divisions -classified as Long-Term Interest (LTI) (see criteria set out on page 4)	<input type="checkbox"/> Records Management Unit no later than 3 months after the conclusion of the case
Categories of case files	Retain for
<input type="checkbox"/> Cases finalised in HQ Casework Divisions (not classified as LTI)	<input type="checkbox"/> <b>5 years</b> or <input type="checkbox"/> <b>the length of the sentence</b> if this is longer than 5 years
<input type="checkbox"/> Potential Double Jeopardy proceedings ( <i>see further guidance on page 3</i> )	<input type="checkbox"/> <b>25 years</b> and then reviewed at Divisional level. (If the file is no longer of operational value – destroy. Contact the RMU if the file is perceived to have continuing value)
<input type="checkbox"/> Cases resulting in an Indeterminate / Indefinite Sentence not captured by LTI criteria	<input type="checkbox"/> <b>25 years</b> and then reviewed at Divisional level. (If the file is no longer of operational value – destroy. Contact the RMU if the file is perceived to have continuing value)
<input type="checkbox"/> Cases in which restraining order was made under the Protection from Harassment Act 1997 (POHA 1997)  <input type="checkbox"/> Cases in which restraining order was made for a notification requirement under the Sex Offenders Act 1997 (SOA 1997)	<input type="checkbox"/> <b>The period of the restraining order</b> (POHA 1997) or the minimum period set out for finalised cases  <input type="checkbox"/> <b>The applicable period</b> (SOA 1997) or the minimum period set out for finalised cases  <input type="checkbox"/> If the restraining or applicable period is for an indefinite period, mark the file for destruction: <ul style="list-style-type: none"> <li>○ In the year that the defendant reaches the age of 85; or</li> </ul>

	<ul style="list-style-type: none"> <li>○ In the year that the sentence is complete, if the completion date of the sentence exceeds the age of 85</li> </ul>
<input type="checkbox"/> Cases in which an order was made under the Proceeds of Crime Act 2002 (POCA)  <i>Note: The original file should be retained for the same period as the POCA file</i>	<input type="checkbox"/> Order under the sum of £1 million <ul style="list-style-type: none"> <li>○ <b>7 years</b> following the date of the order or</li> <li>○ <b>the length of the order</b> if this is longer than 7 years</li> </ul> <input type="checkbox"/> Order over the sum of £1 million <ul style="list-style-type: none"> <li>○ <b>10 years</b> following the date of the order or</li> <li>○ <b>the length of the order</b> if this is longer than 10 years</li> </ul>
Categories of Correspondence	Retain for
<input type="checkbox"/> General correspondence relating to a criminal case file	<input type="checkbox"/> <b>5 years</b> from the date of the most recent correspondence
<input type="checkbox"/> Complaint(s) relating to a criminal case file	<input type="checkbox"/> <b>Review 5 years</b> from the date of the most recent correspondence. Before destruction, check with HQ Correspondence Unit to ensure nothing further has occurred.
Categories of Documents	Retain for
<input type="checkbox"/> Direct Communications with Victim (DCV) - <b>where held separately</b> from the main file	<input type="checkbox"/> <b>3 years</b> locally
<input type="checkbox"/> MG3s <b>where held separately</b> from the main file	<input type="checkbox"/> <b>3 years</b> locally

## Double Jeopardy– Criminal Files

The following offences, if fully acquitted, are categorised as potential Double Jeopardy cases, which do not form part of the national LTI criteria and must be retained at Divisional Level for 25 years:

### Double Jeopardy (offences to be retained at Divisional Level)

- ☐ Attempted murder
- ☐ Soliciting murder
- ☐ Rape
- ☐ Attempted rape
- ☐ Intercourse with a girl under thirteen
- ☐ Incest by a man with a girl under thirteen
- ☐ Assault by penetration
- ☐ Causing a person to engage in sexual activity without consent
- ☐ Rape of a child under thirteen
- ☐ Attempted rape of a child under thirteen
- ☐ Assault of a child under thirteen by penetration
- ☐ Causing a child under thirteen to engage in sexual activity
- ☐ Sexual activity with a person with a mental disorder impeding choice
- ☐ Causing a person with a mental disorder impeding to engage in sexual activity
- ☐ Producing or being concerned in production of Class A drug
- ☐ Arson endangering life
- ☐ Conspiracy (to commit an offence in this list)

## Area Retention Schedule

(Excluding HQ Casework Divisions – see separate schedule)

### Criminal Case Files And Related Documents/Material

**Do not destroy files** that are subject to a preservation order under section 17(2) of the Criminal Appeal Act 1995 unless the order has been lifted by the Criminal Cases Review Commission (CCRC).

Categories of case files	Send to
<input type="checkbox"/> Long-Term Interest (LTI) case files - see criteria set out on page 5  <input type="checkbox"/> Area operating <b>Single file</b> cases classified as LTI	<input type="checkbox"/> <b>Records Management Unit</b> no later than <b>3 months</b> after the conclusion of the case  <input type="checkbox"/> <b>Records Management Unit</b> no later than <b>3 months</b> after the conclusion of the case. <i>N.B. the file should be a copy of the original file. See separate instructions at page 18 of the Records Management Manual</i>
Categories of case files	Retain for
<input type="checkbox"/> Single file cases (not LTI)	<input type="checkbox"/> See separate instructions on page 18 (of the Records Management Manual)
<input type="checkbox"/> All cases involving complaints against the Police (where a complaint has been made against the Police or where the Police Officer is the defendant)	<input type="checkbox"/> <b>3 years</b> following date of advice / discontinuance; or  <input type="checkbox"/> <b>3 years</b> following any final court date; or  <input type="checkbox"/> <b>the length of the sentence</b> if this is longer than 3 years
<input type="checkbox"/> Advice cases where no full file has been provided and advised NFA (no further action).  <input type="checkbox"/> Advice / discontinued cases where the full file has been provided and no proceedings	<input type="checkbox"/> <b>1 year</b> following the date of advice / discontinuance  <input type="checkbox"/> <b>5 years</b> following the date of advice / discontinuance

have taken place or where the case was discontinued before trial										
<input type="checkbox"/> Cases that were finalised at magistrates' court.	<input type="checkbox"/> <b>1 year</b> following the final court date; or  <input type="checkbox"/> <b>the length of the sentence or order</b> if the court sentence or order is longer than 1 year - see examples below: <table border="1" data-bbox="719 636 1422 896"> <thead> <tr> <th>Case finishes</th> <th>Sentence</th> <th>Due destroy date</th> </tr> </thead> <tbody> <tr> <td>July 2007</td> <td>£500 fine</td> <td><b>July 2008</b></td> </tr> <tr> <td>July 2007</td> <td>16 months' probation</td> <td><b>November 2008</b></td> </tr> </tbody> </table>	Case finishes	Sentence	Due destroy date	July 2007	£500 fine	<b>July 2008</b>	July 2007	16 months' probation	<b>November 2008</b>
Case finishes	Sentence	Due destroy date								
July 2007	£500 fine	<b>July 2008</b>								
July 2007	16 months' probation	<b>November 2008</b>								
<input type="checkbox"/> Cases that were finalised at Crown Court	<input type="checkbox"/> <b>3 years*</b> following the final court date; or <input type="checkbox"/> <b>the length of the sentence or order*</b> if the sentence or order is longer than 3 years - see examples below: <table border="1" data-bbox="719 1142 1422 1415"> <thead> <tr> <th>Case finishes</th> <th>Sentence</th> <th>Due destroy date</th> </tr> </thead> <tbody> <tr> <td>July 2007</td> <td>Conditional discharge</td> <td><b>July 2010</b></td> </tr> <tr> <td>July 2007</td> <td>9 years imprisonment</td> <td><b>July 2016</b></td> </tr> </tbody> </table> <p>* EXCEPT CASES not classified as LTI but resulted in an <b>Indeterminate Sentence</b> or categorised as a potential <b>Double Jeopardy</b> offence – see below for retention instructions</p>	Case finishes	Sentence	Due destroy date	July 2007	Conditional discharge	<b>July 2010</b>	July 2007	9 years imprisonment	<b>July 2016</b>
Case finishes	Sentence	Due destroy date								
July 2007	Conditional discharge	<b>July 2010</b>								
July 2007	9 years imprisonment	<b>July 2016</b>								
<input type="checkbox"/> Potential Double Jeopardy proceedings (see <i>further guidance</i> )	<input type="checkbox"/> <b>25 years</b> and then reviewed at Area level. (If the file is no longer of operational value – destroy. Contact the RMU if the file is perceived to have continuing value)									
<input type="checkbox"/> Cases resulting in an Indeterminate / Indefinite Sentence that are not captured by LTI criteria	<input type="checkbox"/> <b>25 years</b> and then reviewed at Area level. (If the file is no longer of operational value – destroy. Contact the RMU if the file is perceived to have continuing value)									



<input type="checkbox"/> Cases in which restraining order was made under the Protection from Harassment Act 1997 (POHA 1997)  <input type="checkbox"/> Cases in which restraining order was made for a notification requirement under the Sex Offenders Act 1997 (SOA 1997)	<input type="checkbox"/> <b>The period of the restraining order</b> (POHA 1997) or the minimum period set out for finalised cases  <input type="checkbox"/> <b>The applicable period</b> (SOA 1997) or the minimum period set out for finalised cases  <input type="checkbox"/> If the restraining or applicable period is for an indefinite period, mark the file for destruction: <ul style="list-style-type: none"> <li>○ In the year that the defendant reaches the age of 85; or</li> <li>○ In the year that the sentence is complete, if the completion date of the sentence exceeds the age of 85</li> </ul>
Categories of case files	Retain for
<input type="checkbox"/> Cases in which an order was made under the Proceeds of Crime Act 2002 (POCA)  <i>Note: The original file should be retained for the same period as the POCA file</i>	<input type="checkbox"/> Order under the sum of £1 million <ul style="list-style-type: none"> <li>○ <b>7 years</b> following the date of the order or</li> <li>○ <b>the length of the order</b> if this is longer than 7 years</li> </ul> <input type="checkbox"/> Order over the sum of £1 million <ul style="list-style-type: none"> <li>○ <b>10 years</b> following the date of the order or</li> <li>○ <b>the length of the order</b> if this is longer than 10 years</li> </ul>
Categories of Correspondence	Retain for
<input type="checkbox"/> General correspondence relating to a criminal case file	<input type="checkbox"/> <b>3 years</b> from the date of the most recent correspondence
<input type="checkbox"/> Complaint(s) relating to a criminal case file	<input type="checkbox"/> <b>Review 3 years</b> from the date of the most recent correspondence by checking the complaints log in the Area complaints section  <input type="checkbox"/> If the complaint went to third tier, check last date of action with HQ Correspondence Unit

	and amend to 3 years following that date
Categories of Documents	Retain for
<input type="checkbox"/> Direct Communications with Victim (DCV) <b>where held separately</b> from the main file	<input type="checkbox"/> <b>3 years</b> locally
<input type="checkbox"/> MG3s <b>where held separately</b> from the main file (e.g. in charging centres)	<input type="checkbox"/> <b>3 years</b> locally

## Double Jeopardy– Criminal Files

The following offences, if fully acquitted, are categorised as potential Double Jeopardy cases, which do not form part of the national LTI criteria and must be retained at Area Level for 25 years:

### Double Jeopardy (offences to be retained at Area Level)

- ☐ Attempted murder
- ☐ Soliciting murder
- ☐ Rape
- ☐ Attempted rape
- ☐ Intercourse with a girl under thirteen
- ☐ Incest by a man with a girl under thirteen
- ☐ Assault by penetration
- ☐ Causing a person to engage in sexual activity without consent
- ☐ Rape of a child under thirteen
- ☐ Attempted rape of a child under thirteen
- ☐ Assault of a child under thirteen by penetration
- ☐ Causing a child under thirteen to engage in sexual activity
- ☐ Sexual activity with a person with a mental disorder impeding choice
- ☐ Causing a person with a mental disorder impeding to engage in sexual activity
- ☐ Producing or being concerned in production of Class A drug
- ☐ Arson endangering life
- ☐ Conspiracy (to commit an offence in this list)

## National Long Term Interest Criteria (Criminal Files)

Send to the Records Management Unit for retention

A criminal or advice case file that has been finalised at magistrates' court or Crown Court is categorised as a Long Term Interest (LTI) file when it satisfies any of the following criteria:

<p><b>Significant legal interest</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Significant legal precedent value</li> <li><input type="checkbox"/> Demonstrating new or revised legal or investigative procedure</li> <li><input type="checkbox"/> Demonstrating early operation of new legislation</li> <li><input type="checkbox"/> Unusual or rarely charged offences</li> </ul>	<p><b>Life/unlimited order sentences</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Life imprisonment</li> <li><input type="checkbox"/> Unlimited hospital orders (Section 37, Section 41 orders under the Mental Health Act 1983)</li> <li><input type="checkbox"/> Offences committed by life licensee or person subject to hospital order</li> </ul>
<p><b>Specific offences (charged or where advice given, including acquittals)</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Murder</li> <li><input type="checkbox"/> Manslaughter – (except Road Traffic Accident offences)</li> <li><input type="checkbox"/> Infanticide</li> <li><input type="checkbox"/> Euthanasia</li> <li><input type="checkbox"/> Riot (large scale public disorders regardless of charges)</li> <li><input type="checkbox"/> Kidnapping</li> <li><input type="checkbox"/> Terrorism</li> <li><input type="checkbox"/> Piracy/Hijacking</li> <li><input type="checkbox"/> Offences against security of state</li> <li><input type="checkbox"/> Criminal libel</li> <li><input type="checkbox"/> War Crimes</li> <li><input type="checkbox"/> Conspiracy (to commit an offence in this list)</li> </ul>	<p><b>Double Jeopardy Proceedings</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Where the defendant has been tried twice for the same offence</li> </ul>
	<p><b>Notable people and events (excluding minor summary matters)</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Famous, eminent or notorious people (international or national)</li> <li><input type="checkbox"/> 'Disaster' cases</li> </ul>
	<p><b>Cases requested by RMU</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Cases identified by the Records Management Unit as potentially suitable for permanent preservation. <i>Areas will receive notification of specific cases required</i></li> </ul>
	<p><b>Highly sensitive</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Protectively marked Secret or Top Secret</li> </ul>

Long-term Interest cases finalised on CMS or X-CMS must be transferred to the RMU using the 'Transfer Case' facility. The paper file, which should contain a copy of all the CMS or X-CMS documents created for the case, should then be sent to the RMU using the DX system (see page 58 of the Records Management Manual – sending cases to the RMU).

## Checklist For Sending LTI File Material To The RMU

<b>Task</b>	<b>Task complete</b>
Check the file meets the LTI criteria	
Print off all related CMS / X-CMS documents and place in the file	
Complete the LTI certificate indicating why the file is LTI and attach it to the front of the main file	
Prepare the file in accordance with the instructions for sending a file to the RMU (see page 58)	
Transfer the CMS / X-CMS record to the RMU	
Notify the RMU if there is a large volume of paper file material to be transferred	
Identify whether sensitive material is contained so that papers can be stored appropriately	

## **Administration Files**

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## Managing Administrative Files

This policy will be reviewed and expanded when the new EDRMS system is in place.

### The policy

The Unit, which opens an administrative file, is responsible for managing the registered file and all its related documents.

### Principles

- The Unit must maintain an index of all its administrative files.
- The Unit must have procedures in place to ensure that it is able to identify, trace and control all documents and other information relating to an administrative file.
- The Unit must ensure that arrangements are in place to ensure that:
  - Documents are arranged in an administrative file in an orderly way;
  - Important information is recorded clearly on the file. This includes any decision taken by, or undertaking given on behalf of the CPS.
- Administrative files must be returned to the Unit or section-filing system as soon as possible after immediate action on them has been completed.
- Units must not hold files, which they are not responsible for.
- Administrative files should be closed five years after the date of the earliest record they contain. Further information can be obtained from the **Retention Schedule for Administrative Files**.
- Files are divided into “file parts” for convenience. When an administrative file part reaches 4cm in thickness, the file part must be closed and a new file part must be opened.
- When an administrative file or file part has been closed, no documents must be added to the file or file part.
- Administrative files must be retained so long as there is administrative or research value attached to them. Further information can be obtained from the **Retention Schedule for Administrative Files**.
- Administrative files, which are Personnel files, must be retained according to the **Retention Schedule for Personnel Files**.
- Administrative files, which are Finance files, must be retained according to the **Retention Schedule for Finance Files**.

### Links

[Retention Schedule For Administrative Files](#)

[Retention Schedule For Personnel Files](#)

[Retention Schedule For Finance Files](#)

## Organising Documents Into Administration Files

This policy will be reviewed and expanded when the new EDRMS system is in place.

### The policy

All documents, correspondence and information that support a Unit's functions should be held in an administrative registered file to which an index must be maintained.

### Principles

- An administrative registered file can contain documents that relate to any of the following:
  - Incoming correspondence relating to the function of CPS (exc. Advertising literature);
  - Copies of outgoing correspondence relating to the functions of the CPS;
  - Reference copies of information relating to projects and meetings that produced policy decisions, procedural or structural changes or undertaking;
  - Reference copies of manuals and directories;
  - Reference copies of CPS publications, circulars, films and publicity material;
  - Reference copies of financial management information;
  - Reference copies of budgetary information;
  - Reference copies of any other document recording, supporting or providing background to an action of, or decision or undertaking by, the CPS;
  - A full set of papers relating to the Department's interest in, or submissions to, Royal Commissions, enquiries etc;
  - Accounting documents.
- The decision process as depicted in the “**Deciding Whether to File a Document Or Not**” flowchart should be followed when a document is received.
- Each administrative file must have a Theme and Sub-Theme. The **Standard Subject List** should be used to select the Theme and Sub-Theme of the administrative file.
- Each administrative file must have a title describing its contents as accurately as possible.
- Documents that are received in electronic format should be printed out and placed in the appropriate administrative file (these can be kept in electronic format if necessary, but in addition to – not instead of – the paper copy in a registered file).
- Drafts, copies and working papers should be destroyed as soon as possible.
- The following types of documents should **NOT** be held in an administrative file:
  - Documents marked “Do Not File”
  - Working documents unless they materially contribute to the information held in a registered file;



- Notes and drafts relating to completed projects unless they contain significant information not recorded elsewhere;
- Copies of documents, where the original or only Departmental copy is already filed;
- Documents sent for information or comment;
- Meeting documents if and only if one copy has already been kept by the secretary on a registered file;
- Copy circulars;
- Printed material excluding the reference copy of material prepared for or on behalf of the department;
- Commercial and trade information;
- Mail shots;
- Invitations and appointments for events which have taken place;
- Acceptances and regrets.

## **Links**

Deciding Whether To File A Document Or Not

Standard Subject List

## Receiving Paper-Based Administrative Documents

This policy will be reviewed and expanded when the new EDRMS system is in place.

### When to perform this procedure

Perform this procedure when you receive a paper-based document, which is not a Personnel document, a Finance document or a criminal case related document.

### The procedure

1. Decide whether you need to file the document in a file or not (**see Deciding Whether to File a Document Or Not**).
2. If it is necessary to file the document in a file, check the file index to determine whether an appropriate file exists
  - If an appropriate file exists
    - Locate it;
    - Read and file document (**see Filing Paper Based Administrative Documents**).
  - If an appropriate file does not exist
    - Create a new file (**see Creating New Administrative Files**);
    - Read and file document (**see Filing Paper Based Administrative Documents**).

### Links

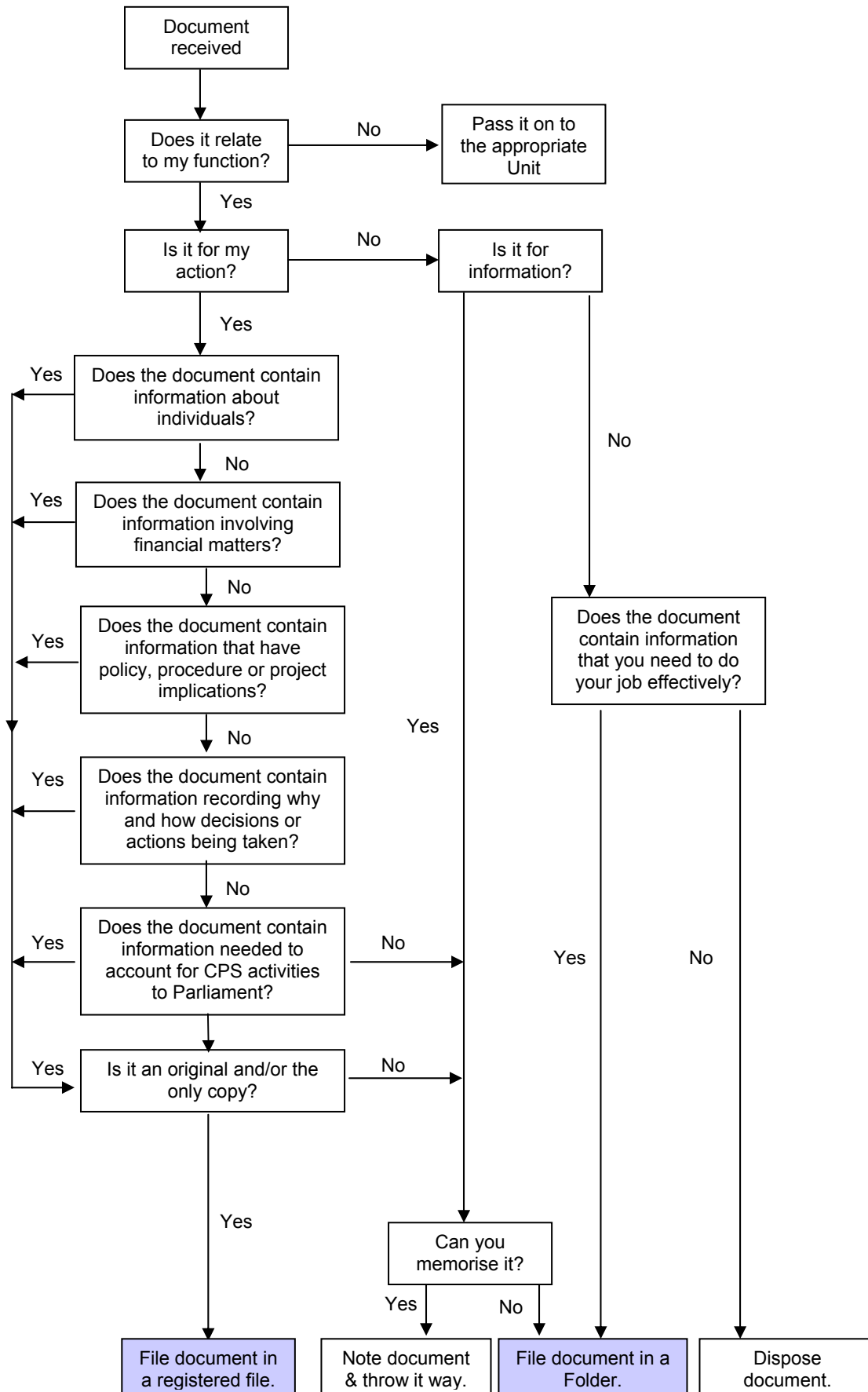
[Deciding Whether To File A Document Or Not](#)

[Filing Paper-Based Administrative Documents](#)

[Creating New Administrative Files In Area](#)

[Creating New Administrative Files in HQ](#)

## Deciding Whether To File A Document Or Not



## Indexing a Document in an Administrative File

This policy will be reviewed and expanded when the new EDRMS system is in place.

### When to perform this procedure

When you are filing a document (**see Filing Paper-Based Administrative Documents**).

### The procedure

1. If there is no **File Index Sheet** in the file jacket or there is insufficient space on the file index sheet
  - Add a new file index sheet;
  - Securely place the file index sheet on the left-hand side of the file using a treasury tag.
2. Write the serial number of the document on the file index sheet (Column Header "No").
3. Write the date of the document on the file index sheet (Column Header "Document Date").
4. Write the name of the sender and the name of the recipient on the file index sheet (Column Header "From/To").

*Write the subject of the document on the file index sheet (Column Header "Document Title").*

### Links

Filing Paper-Based Administrative Documents

File Enclosure Index

## Creating New Administrative Files In Area

This policy will be reviewed and expanded when the new EDRMS system is in place.

### When to perform this procedure

Create a new file when you are located in an Area and receive or create a document which needs to be stored as a record, but for which there is no suitable file.

### The procedure

1. Obtain a new file jacket.
2. Write your Area and Unit in the appropriate box.
3. Select the Theme that best represents the subject of the file (**see Standard Subject List**) (e.g. C1 for Criminal Casework) and write it as the first portion of the File Reference Number.
4. Select the Sub-Theme (within the selected Theme) that best represents the contents of the file (**see Standard Subject List**) (e.g. 1 for Casework Standards) and write it as the second portion of the File Reference Number.

*The Standard Subject List is not exhaustive. If you wish to add to it, contact the Records Management Unit (RMU).*

5. Select a sequential number that represents the number of the file within the Theme and Sub-Theme (e.g.001) and write it as the third portion of the File Reference Number.

*Sequential numbers are linked to the Theme/Sub-Theme combination so the same sequential number can be used for different Theme/Sub-Themes combinations (e.g. C1/1/001, C1/1/002 etc).*

6. Assign a title to the file, so that it can be easily distinguished within its Theme and Sub-Theme (e.g. Correspondence with J. Bloggs) and write it in the File Title box.
7. Assign a Part Number of 1, and write this in the Part Number space in the File Reference box.

*As files consist of one or more file parts, a file part number must always be allocated when a file is created. The number of the first part is always 1.*

*An example of a file reference number is **C1/1/001 Part 1** where:*

**C1** is the 2-character Theme code representing the Theme C1 Criminal Casework;

**1** is the-numeric Sub-Theme code representing the Sub-Theme 1 Casework Standards within the Theme C1 Criminal Casework;

**001** is the number of the file within Criminal Casework C1 and Casework Standards 1;

**Part 1** is the part number.

8. Write the date that the file is opened on the file jacket.

9. Delete one of the protective markings (Restricted or Unclassified) at the top and bottom of the jacket.

*Once the file is created, documents can be placed into the file.*

*When a document that is to be inserted in a file has a higher protective marking than the file, the changes to the file should be managed in accordance with the instructions as stipulated in the **CPS Security Manual**.*

*For information relating to the marking of files, refer to **CPS Security Manual - Protective Marking System**.*

*When the file reaches 4cm in thickness, you should:*

- Close the file part (**see Closing Administrative Files And Parts**)
- Create a new file part (**see Opening Administrative File Parts**).

## **Links**

Standard Subject List

Opening Administrative File Parts

Closing Administrative Files And Parts

## Creating New Administrative Files In HQ

This policy will be reviewed and expanded when the new EDRMS system is in place.

### When to perform this procedure

Create a new file when you are located in HQ and you receive or create a document, which needs to be stored as a record, but for which there is no suitable file.

*This procedure assumes that the ReMs system is used to index administrative files and print labels.*

### The procedure

1. Select a letter code that best represents your Unit (e.g. RM - Records Management, SP – Personnel, D – Private Office).
2. Select the year that the file is opened (e.g. 2002).
3. Select a sequential number (e.g. 01) that represents the number of the file both within your Unit and the Year.
4. Select the sequential number that represents the part number (e.g. 1) in the appropriate ReMs field.

*As files consist of one or more file parts, the file part number must always be allocated when a file is created. An example of a file reference number is RM/01/2002 Part Number: 1 where:*

*RM is the 2-character code representing your Unit (**R**ecords **M**anagement);  
01 is the number of the file within the Unit RM and the Year 2002;  
2002 is the year that the file is opened;  
Part 1 is the part number.*

5. Write the name of the colleague who has requested the file to be opened and the current Holder to whom the file is sent in the appropriate ReMs field.
6. Mark the file with the appropriate protective marking.

*For information relating to the marking of files, refer to **CPS Security Manual - Protective Marking System**.*

*When the file reaches 4cm in thickness, you should:*

- Close the file part (**see Closing Administrative Files and Parts**)
- Create a new part (**see Opening Administrative File Parts**).
- Use the ReMs database to print label.

*The ReMs database automatically generates the latest closure date.*

- Stick the label on the top left corner of the front cover of the file jacket.
- Place the file jacket in the active/current filing area.

## **Links**

Opening Administrative File Parts

Closing Administrative Files And Parts



## Filing Paper-Based Administrative Documents

This policy will be reviewed and expanded when the new EDRMS system is in place.

### When to perform this procedure

When you have received or created a document that needs to be stored as a record and for which there is a suitable administrative file.

### The procedure

1. Obtain the appropriate file or file part.
2. Write at the top right corner of the first page of the document its Document Number, which is the next sequential number of the immediately preceding document.
3. Circle the Document Number.
4. If the document:
  - Can be hole-punched, punch the document;
  - Cannot be hole-punched, place in an envelope and punch the envelope;
  - Contains enclosures, number the enclosures in the format <Document No>, Enc. <Enclosure No> <Enclosure Letter>(e.g. 1, Enc. 1A, Enc 1B etc).
5. Place the document/envelope (with any enclosures) on the right-hand side of the file.  
*Ensure that the document/envelope and enclosures are securely placed using a treasury tag.*
6. Index the contents in the file (**see Indexing A Document In An Administrative File**).
7. Place the file in the active/current filing area.

### Links

Indexing A Document In An Administrative File

## Creating Draft Administrative Documents Electronically For Comment

This policy will be reviewed and expanded when the new EDRMS system is in place.

### When to perform this procedure

Perform this procedure when you create a draft document and you seek another colleague's view.

*This procedure assumes that Microsoft Word is used as the corporate Word Processing package and that the appropriate training has been provided.*

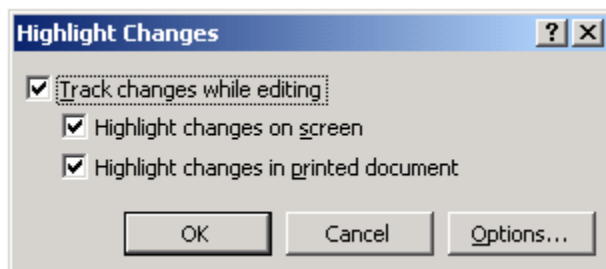
### The procedure

1. Create the document in Microsoft Word.
2. Type the document's appropriate version number in the document's footer (e.g. v1.0), and make sure that MS Word's Track changes while editing is checked.

*To ensure that MS Word's Track changes while editing is checked you should:*

*Select Tools: Track Changes;*

*Click on Highlight Changes and tick the following boxes:*



*Click OK*

3. Save document under the name <Document Name> - DRAFT Version <version number>.extension (e.g. Records Management Manual –DRAFT Version 0.1.doc) and in the electronic folder that the document relates to.

*Save documents in appropriate electronic folders only if the document contains significant information or there is a need to keep the document for a period relevant to the file that it relates to. If you are located in an Area, you should refer to **Creating New Administrative Files In An Area** in order to decide the naming of the electronic folder. Refer to the "Virtual Tutor" or Help Desk if you do not know how to create a folder on your desktop.*

4. If you don't use the e-mail application
  - Print document;
  - Write on the front page of the document the word DRAFT in capital letters and send the document;

## 5. If you use the e-mail application

- E-mail and print the document to paper;
- If the document contains significant information (i.e. a CPS business activity), insert the document in the relevant file.

*Currently, CPS' corporate policy is paper-based. Therefore, all electronic documents that contain a record of CPS business activity should be printed out on to paper and stored within the appropriate file. CPS business activity can contain information:*

- About individuals;
- Involving financial matters;
- That have policy, procedure or project implications;
- Recording why and how decisions or actions were taken;
- Needed to account for CPS activities to Parliament.

## Links

Creating New Administrative Files In Area

## Receiving Draft Electronic Documents For Review

This policy will be reviewed and expanded when the new EDRMS system is in place.

### When to perform this procedure

Perform this procedure when you receive an electronic document that you do not have responsibility for and that you are required to review.

*This procedure assumes that Microsoft Word is used as the corporate Word Processor and that the appropriate training has been provided.*

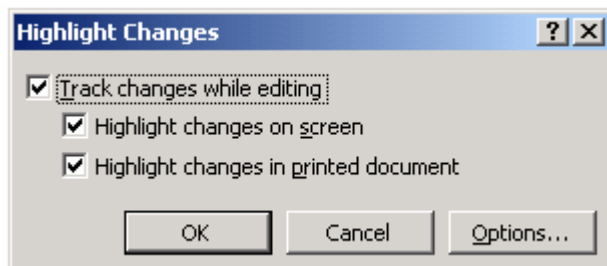
### The procedure

1. Open the received document in Microsoft Word.
2. Update the version of the document by increasing the version number in the footer by 0.1 (e.g. if the document is at v1.0, change it to v1.1).
3. Make sure that the Track changes while editing and the Highlight changes tracking are on.

*To ensure that MS Word's Track changes while editing is checked you should:*

Select Tools: Track Changes;

Click on Highlight Changes and tick the following boxes:



*Click OK.*

4. Make your changes.
5. If changes are considered to be substantial, save document in the relevant electronic folder.

*Save documents in appropriate electronic folders only if the document contains significant information or there is a need to keep the document for a period relevant to the file that it relates to. If you are located in an Area, you should refer to **Creating New Administrative Files in an Area** in order to decide the naming of the electronic folder. Refer to the "Virtual Tutor" or Help Desk if you do not know how to create a folder on your desktop.*

6. If you don't use the e-mail application
  - Print document and send the document to the author.

## 7. If you use the e-mail application

- E-mail document;
- If the document contains significant information (i.e. a CPS' business activity), print document and insert it in the relevant file.

*Currently, CPS' corporate policy is paper-based. Therefore, all electronic documents that contain a record of a CPS business activity should be printed out on to paper and stored within the appropriate file. A CPS business activity can contain information:*

- About individuals;
- Involving financial matters;
- That have policy, procedure or project implications;
- Recording why and how decisions or actions were taken;
- Needed to account for CPS activities to Parliament.

## Links

Creating New Administrative Files In Area

Creating New Administrative Files In HQ

## Finalising A Draft Document

This policy will be reviewed and expanded when the new EDRMS system is in place.

### When to perform this procedure

Perform this procedure when you are the author of a document that is final and no more changes are required.

### The procedure

1. Open the document in Microsoft Word.
2. Update the version of the document by increasing the version number in the footer by 0.1 (e.g. if the document is at v1.1, change it to v1.2).
3. Save document under the name <document name> -FINAL Version <version number>.extension (e.g. Records Management Manual –FINAL Version 1.2.doc) within the appropriate electronic folder.

*Save documents in appropriate electronic folders only if the document contains significant information or there is a need to keep the document for a period relevant to the file that it relates to. If you are located in an Area, you should refer to **Creating New Administrative Files In An Area** in order to decide the naming of the electronic folder. Refer to the “Virtual Tutor” or Help Desk if you do not know how to create a folder on your desktop.*

4. If the document contains significant information (i.e. a CPS’ business activity), print the document and insert it in the appropriate file jacket.

*Currently, CPS’ corporate policy is paper-based. Therefore, all electronic documents that contain a record of a CPS business activity should be printed out on to paper and stored within the appropriate file. A CPS business activity can contain information:*

- *About individuals;*
- *Involving financial matters;*
- *That have policy, procedure or project implications;*
- *Recording why and how decisions or actions were taken;*
- *Needed to account for CPS activities to Parliament.*

### Links

Creating New Administrative Files In Area

Creating New Administrative Files In HQ

## Registering Committees And Working Group Related Documents And Papers

This policy will be reviewed and expanded when the new EDRMS system is in place.

### The Policy

All documents (inc. papers and reports) that relate to Departmental committees and working groups must be held in a registered file. The secretary of the departmental committee or working group is responsible for registering, keeping and maintaining the official set of all documents, papers and reports in an administrative file.

### Principles

- The Secretary of a Departmental committee or working group must register the file with the HQ Group with policy responsibility for the subject under discussion.
- The Secretary of a Departmental committee or working group must also notify the Communications department of
  - The title of the Committee or Group;
  - Terms of reference;
  - Date Group established;
  - Name and Area of the Chairperson, Secretary and members.
- The title of the administrative file must include the name of the committee or group and the terms of reference.
- You must immediately destroy documents and/or working drafts held by other members of the group as soon as possible after the committee or working group has ceased to exist.
- Original documents must be allocated a unique reference number in the format of AAA/NN/YY where:

*AAA is the initial of the Committee Title (e.g. SWG for Security Working Group);*

*NN is the number of the file within a year (e.g. 10);*

*YY is the year in which the paper was issued (e.g. 02)*

- The reference number should appear at the top left-hand corner of the document.
- There are seven main types of documents that will be generated by a committee or working group:
  - Notices of meetings (e.g. a list of future meeting dates);
  - Agendas (e.g. a list of the business matters to be discussed at the meeting);
  - Minutes (e.g. a record of what was discussed at the meeting);
  - Papers (e.g. additional information that should be issued with the agenda);

- Reports;
  - Correspondence.
- Notices of meetings should contain at least the following items:
  - Date;
  - Time;
  - Venue.
- Agendas should contain at least the following items:
  - Minutes of the previous meeting to be confirmed as a true record;
  - Matters arising from previous minutes that need to be reported back;
  - Specific items suggested by the Chairperson, secretary or other members;
  - Date of the next meeting before the meeting is closed.
- Minutes must at least contain the following parts:
  - Date, time and venue of the meeting;
  - People present;
  - Business transacted and decisions made.
- People who were present at the meeting should be recorded in the order of:
  - Chairperson;
  - Committee or Group members (in alphabetical order);
  - Visitors or representatives;
  - Secretary;
  - Apologies for absence.
- The minutes of the business transacted should follow the order of the agenda and the record of each item should provide:
  - A brief explanation of the facts, or background to the item;
  - The main points for or against an item;
  - A conclusion or decision in bold or capital letters for each item;
  - The name of the person responsible for carrying out the decision.
- You should always use the impersonal style (e.g. *"It was reported that ..."* rather than J. Smith suggested that ...) to describe what was said in the meeting.
- Minutes typed up by a secretary are always in draft format. Each page of the minutes should include the word "DRAFT" in either the header or the footer.
- When the Chairperson reviews the minutes and the necessary amendments are made, you should remove the word "DRAFT" prior to issuing the minutes.
- When a committee or working group finish with their meeting, minutes must be created so that a record of the meeting can be kept. The **Minutes Template** should be followed each time minutes are created.



- Before issuing an agenda the Secretary of the committee or group should consider, in discussion with the Chairperson, whether additional information on any items of the agenda should be issued with it. These could be:
  - Background information (e.g. annual reports, graphs, budget statements);
  - A paper giving information gathered on a particular item.
  - Files that contain documents and papers relating to committees and/or working groups should be destroyed in accordance with the Retention Schedules for Administrative Files.

## **Links**

Minute Template

## Registering Policy Directives, Circulars, And Forms Related Documents

This policy will be reviewed and expanded when the new EDRMS system is in place.

### The Policy

It is the responsibility of each Unit to register, maintain and record the history and development of the information relating to its activities and which information is copied and issued to many users. Such information includes:

- Manuals (inc. Directories);
- Policy Directives;
- Notices, Circulars and publications;
- Publicity material;
- Forms;
- Films & videos created by and for the CPS (e.g. training documents).

### Principles

#### Manuals

- Manuals that are in use should only contain currently relevant information.
- The Unit responsible for the manual should maintain a reference source to past contents that have been superseded.
- The file that is used to register a manual should contain:
  - The original copy of the manual; and
  - Copies of subsequent amendments to the manual.
- An HQ Unit should open an annual file to store major departmental manuals. This annual file should contain the version of the manual that was current on 1st January together with the amendments that were made during the following twelve months.
- When you amend a section, mark the file with the date of cancellation and cross-reference the file to the relevant amendment notice.
- Previous file titles should include the name of the manual and the words "Version File at YYYY". For example:

Records Management Manual: Version File at 2002.
- When the file reaches 4 cm in thickness open a new file part.

#### Policy Directives

- Policy directives that relate to specific functions carried out by a Unit should be kept in a file owned by the Unit.
- Policy directives authority for issue and cancellation should be kept in a file owned by the Unit.

- The file must have a title that consists of the following elements:

*Department* – e.g. *Records Management Unit*

*Standard Subject List* – e.g. *Information Management*

*Subject* – e.g. *Security*

*Policy Directive issued YYYY* – e.g. *Policy Directive Issued 2002*

*For example:*

Records Management Unit – Information Management – Security – Policy  
Directive Issued January 2002.

- Each directive that is kept in a file should be numbered and an index of contents maintained in the file.
- When a directive is cancelled, mark the file with the word “Cancelled”, the cancellation date and cross-reference the file to the cancellation notice.
- If a directive is an item in a publication (e.g. Inform), annotate the copy of the item with the publication details (e.g. Inform No 25 of 1994) before filing.
- Policy directives files should be destroyed in accordance with the Retention Schedules for Administrative Files.

### **Circulars, Notices and Publications**

- Circulars, notices, and publications (e.g. Inform, CPS Journal) should be kept in a file owned by the Unit responsible.
- The file must have a title that consists of the title of the circular, notice, or publication and the dates of issue. For example:  
CPS Journal: Reference Copies: 2002
- Circulars, notices, and publications registered files should be destroyed in accordance with the Retention Schedules for Administrative Files.

### **Publicity material**

- Copies of publicity materials should be kept in a file.
- The file should contain the following:
  - A copy of the publicity material;
  - Drafts sent for clearance;
  - Significant working papers;
  - Signed issue authorisation.
- Publicity material files should be destroyed in accordance with the Retention Schedules for Administrative Files.

### **Forms**

- Communication Division (Corporate Communication Team) should maintain forms that are not temporary or have local interest. This includes any forms that are included in the National Forms Register (NFR).

- Areas that have the need for a new form should contact the Communication Division at HQ to determine whether a suitable form exists.
- All already existing and newly created forms should be given a unique reference number.
- If details relating to a living individual user are entered on the form, these must comply with the requirements of the Data Protection Act. In particular:
  - The form must make clear the purpose for which the information is to be used;
  - The information must only be used for that purpose;
  - The information requested must be adequate, relevant and not excessive in relation to that purpose.
- National CPS forms must be kept in a file maintained by the Communication Division at HQ.
- The file should contain:
  - Copies of the current and previous editions of the form;
  - Working papers showing stages of development;
  - The reasons for the creation of the form.
- Communication Division at HQ maintain the National Forms Register. The register includes the following details for each form:
  - Purpose;
  - Owner;
  - Issue date;
  - Cross-reference to the system the Form supports.
- Form files should be destroyed in accordance with the Retention Schedules for Administrative Files.
- Films that created by or on behalf of the CPS (e.g. training videos) should be sent to the DRO.
- When sending a film to the DRO, you should provide:
  - The Unit that has sponsored the creation of the film;
  - The title of the file;
  - The Subject matter;
  - The Date of production;
  - The audience that the film is intended to;
  - Anything else that is of particular interest.

## Requesting Archived Administrative Files From Records Management Unit (RMU)

This policy will be reviewed and expanded when the new EDRMS system is in place.

### When to perform this procedure

Perform this procedure when you need to request a file that you own and it has been closed.

### The procedure

1. Obtain and complete a Request For File From Records Management Unit.
2. Write the file reference and part number.
3. Write the file title.
4. Tick reason for request.
5. Tick the anticipated length of time the file will be needed.
6. Write the officer's name requesting the recall of the file.
7. Write the officer's telephone number, Division, Unit and Room number.
8. Send the form to the Records Management Unit (RMU).

### Links

Request For File From Records Management Unit

## Closing Administrative Files And Parts

This policy will be reviewed and expanded when the new EDRMS system is in place.

### When to perform this procedure

Perform this procedure

- When action on a file is complete;
- When the part is 4cm thick and a new part needs to be opened;
- Annually, if the file relates to a continuing business function.

*When a file or file part is closed, do not add any new documents to the closed file or file part.*

### The procedure

1. Locate the file jacket.
2. Ensure that the document with the most recent date representing the last action recorded on the file is on the top.
3. If the file needs to be destroyed in less than five years, insert the number of years in row 1 of the box at the foot of the file jacket, then sign and date it.
4. If the file needs to be retained for five years, sign and date the "Consider at first review" row in the box in the front at the foot of the file jacket.
5. Archive the file (**See Archiving Administrative Files**).
6. If the file is a Long Term Interest File (**see Long Term Interest Criteria for Administrative files**), sign and date the 'Retain for second review' row in the box at the foot of the file jacket.
7. Send the file to the Records Management Unit (RMU), (**see sending Administrative files to the RMU**).
8. If an indexing system is used (currently HQ only)
  - Select the file and the part number that you want to close;
  - Update the indexing system with the file's closed date, storage location, file status and box number;
  - If the Closed Out status is used (e.g. in the ReMs system), then type the date that file was returned to the user.

*Closed Out: means that a file is closed and it is returned to the owner.*

*Closed In: means that a file is closed and is stored on behalf of a user.*

**See Retention Schedule for Finance Files, Retention Schedule for Administrative Files, and Retention Schedule for Personnel Files for more detail.**

### Links

Retention Schedule For Administrative Files

Retention Schedule For Finance Files

Retention Schedule for Personnel Files

Archiving Of Administrative Files

Long Term Interest Criteria –Administration/Policy Files

Sending Administrative LTI Files to the Records Management Unit (RMU)

## Opening Administrative File Parts

This policy will be reviewed and expanded when the new EDRMS system is in place.
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### When to perform this procedure

Perform this procedure when a file part reaches 4cm in thickness.

### The procedure

1. Obtain a new file jacket.
2. Insert an index sheet.
3. Mark the new file part with the same reference numbers as the closed file part.

*The new file part reference number must be the same as that of the closed file part number but show the part number sequentially.*

*For example if the old file part is C1/1/004, the new part must be C1/1/004, part no. 2 and so on.*

4. Secure documents in new file part using a treasury tag.



## Archiving Of Administrative Files

This policy will be reviewed and expanded when the new EDRMS system is in place.

### When to perform this procedure

Perform this procedure when an administrative file is closed and needs to be archived.

### The procedure

1. Locate the file jacket.
2. If you are located in HQ
  - Locate a storage box and a box label.
  - Write the Unit code, Team code, Box number (a sequential number), and Year (that file is put to storage) on the box label.
  - Indicate whether the file is to be Destroyed or Reviewed by drawing a line through the word that represents the reverse action.
  - Write the month and the Year that the file is to be destroyed or reviewed (e.g. Feb 2007) in the month and year space on the box label.
  - Stick box label on box.
  - Place files with the same Review Date together in a box until the box is full.
  - When a box is full, seal it with CPS tape (if available), and start a new box if necessary.
  - Send the box to local storage.
3. If you are located in an Area
  - Check storage arrangements with your Local Record Officer/Area Business Manager. Depending on storage arrangements Administration files should be either put into boxes for off-site storage marked with a review date, or kept on-site in review date order.
  - Send the file to Local storage, if it is marked as **Restricted or Confidential**;
  - Send to the DRO, if the file is marked as **Secret**.

*Guidance on how to transport protectively marked files can be found within the **CPS Security Manual – Carriage of Protectively Marked Assets**.*

## Reviewing And Retaining Administrative Files

This policy will be reviewed and expanded when the new EDRMS system is in place.

### When to perform this procedure

Perform this procedure when administrative files have completed their First Review and are returned from storage for a Second Review

*Boxes of HQ units are returned from storage to the Records Management Unit (RMU) when the Review Date on the box label is reached.*

### The procedure

#### 1. Open box and retrieve the file

- If the administrative value of the contents of the file is considered to be of no value
  - Locate the **Review Sheet**;
  - Complete the Review Sheet;
  - File the Review Sheet for future reference;
  - Destroy the file and note the destruction date on the appropriate electronic database or a card index system (**see CPS Security Manual - Document Security**).
- If the administrative value of the contents of the file is considered to be of Long Term Interest value (**see Long Term Interest Criteria for Administrative files**)
  - Sign and date the “Retain For Second Review” row in the Disposal Directions box in the front of the file jacket.
  - Send the file to the Records Management Unit (RMU) (**see Sending Administrative Files to the RMU**).

*Files should be retained in accordance with the **Retention Schedule for Administrative Files, Retention Schedule for Finance Files, and Retention Schedule for Personnel Files**.*

### Links

Retention Schedule For Administrative Files

Retention Schedule For Finance Files

Retention Schedule for Personnel Files

Archiving Of Administrative Files

Long Term Interest Criteria –Administration/Policy Files

Sending Administrative LTI Files to the Records Management Unit (RMU)

## Long Term Interest Criteria – Administration/Policy Files

A Long Term Interest file in relation to administrative or policy matters should be sent to the Records Management Unit (RMU) if it fulfils the following criteria:

<b>HQ Administration/Policy files</b> <ul style="list-style-type: none"><li>• The service initiates a change to legislation;</li><li>• Show the services views/responses to a major piece of legislation;</li><li>• The service carries through a major programme of change with other CJS partners;</li><li>• The service introduces significant internal changes of structure/administration;</li><li>• Any file requested by the DRO.</li></ul>	<b>Area LTI Criteria</b> <ul style="list-style-type: none"><li>• A significant change to either the way the service introduced new legislation on procedures;</li><li>• Significant changes to the way the Area is run;</li><li>• Any file requested by the DRO.</li></ul>
--	--

The whole aspect of LTI files for Administration/Policy is a new area of interest. The above list is not exhaustive and will be reviewed at regular intervals. If you have files which it is felt are of significant interest please contact the Departmental Record Officer/Assistant DRO to discuss your view.

## **Sending Long Term Interest Administrative Files To The Records Management Unit (RMU)**

This policy will be reviewed and expanded when the new EDRMS system is in place.

### **When to perform this procedure**

Perform this procedure when action on a Long Term Interest Administrative file is complete **(see Long Term Interest Criteria for Administrative files)**

### **The Procedure**

1. Locate case file jacket.
2. Sign and date the 'Retain for second review' row in the Disposal Directions box in the front of the file jacket.
3. Complete a **Long Term Interest File Certificate**.
4. Place the original Long Term Interest File Certificate on top of the file.
5. Double wrap the file securely in brown paper or place in a standard 14cm box (code:020 9200) if the file is bulky.
6. Seal standard boxes using either Banner packaging tape (code:931 0021) or Closure Tape (code:931 0023).
7. Photocopy the Long term Interest Certificate and send it to your Area Business Manager or your Unit's Head of you are in HQ.
8. Send sealed box to:

Records Management Unit (RMU)

2<sup>nd</sup> Floor

CPS Headquarters

DX 300850

Ludgate EC4

*Guidance on how to transport protectively marked documents can be found within the **CPS Security Manual - "Carriage of Protectively Marked Assets"**.*

*Arrangements for sending files to the Records Management Unit (RMU) will vary from area to area but they are usually via DX.*

### **Links**

Long Term Interest Certificate

## Retention Schedule For Finance Files

- All documents including batches connected with processing and payment are accounting documents and must remain available for inspection subsequent to payment.
- All current accounting year documents should be immediately accessible.
- The disposal date should be after the 31 March of the financial year to which the documents relate.

Type	Description	Dispose of in
• Cheques & Associated Records	• Cheque book/butts, cancelled cheques	• 3 years
• Banking Records	• Cash books, Petty cash books, Bank statements, reconciliation etc.	• 3 years
• Paymaster Records	• Reconciliations, Schedules etc.	• 3 Years
• Electronic Banking and Funds Transfer	• Pay-run files, EFT transfer forms	• 3 Years
• Statements	• Supplier statements	• 3 Years
• Invoices	• Batches for all divisions	• 3 Years
• Journals	• GL Journals batches	• 3 Years
• Trial Balance & Reconciliations	• Monthly & Quarterly Reconciliations	• 3 Years
• Purchase Orders	• Noffs, Requisitions, Purchase order invoices	• 3 Years
• Batch Books		• 1 year
• Fixed Assets	• Asset registers	• 3 years after asset or last one in the register, is disposed of
• Any Other Accountable Documents		• 3 Years

All VAT-related records and documents must be retained for 3 years plus the current year, unless the Commissioners of Customs and Excise impose a longer retention period of up to 6 years.

## Retention Schedule For Administrative Files

- Government policy, as adopted by CPS, dictates that a file can remain open for up to a maximum of 5 years.
- When a file is closed, review the file and either retain it for a further 5 years or destroy it if it is no longer required.
- At the end of the 5 years period, retrieve the file and either consider for Second Review or destroy the file.
- If the file is considered to be of Long Term Interest administrative value, send the file to the DRO.
- Destroy an administrative file in a period of no later than 15 years from its opening date unless it is of high administrative value.
- Please note certain information has separate retention schedules.

<b>Court related work</b>	<b>Destroy after</b>
<ul style="list-style-type: none"> <li>• Crown Court daily</li> </ul>	<ul style="list-style-type: none"> <li>• 3 years</li> </ul>
<ul style="list-style-type: none"> <li>• Early warning lists</li> <li>• Running lists</li> </ul>	<ul style="list-style-type: none"> <li>• 1 year</li> </ul>
<ul style="list-style-type: none"> <li>• Records listing archived files</li> </ul>	<ul style="list-style-type: none"> <li>• 15 years</li> <li>or</li> <li>• length of sentence if the sentence is longer than 15 years</li> </ul>
<b>Performance</b>	<b>Destroy after</b>
<ul style="list-style-type: none"> <li>• Branch performance indicators</li> <li>• Corporate performance measures</li> <li>• File submission forms (TQ3s)</li> <li>• Discontinuance analysis forms (DNIAs)</li> <li>• Crown Court acquittal forms (CCA1s &amp; CCA2s)</li> <li>• Failed case reports (FCRs)</li> </ul>	<ul style="list-style-type: none"> <li>• 1 year</li> </ul>
<b>Finance</b>	<b>Destroy after</b>
<ul style="list-style-type: none"> <li>• Case Finance files</li> </ul>	<ul style="list-style-type: none"> <li>• 1 year</li> </ul>

<ul style="list-style-type: none"> <li>• LWACs – Yellow copy (when apart from file)</li> </ul>	<ul style="list-style-type: none"> <li>• 18 months</li> </ul>
<ul style="list-style-type: none"> <li>• Requisitions for supply</li> </ul>	<ul style="list-style-type: none"> <li>• 2 years</li> </ul>
<ul style="list-style-type: none"> <li>• Photocopies of travel and subsistence forms</li> </ul>	<ul style="list-style-type: none"> <li>• Destroy immediately</li> </ul>
<ul style="list-style-type: none"> <li>• Budget record sheets</li> <li>• Management reports</li> </ul>	<ul style="list-style-type: none"> <li>• 2 years</li> </ul>
<ul style="list-style-type: none"> <li>• Contract files</li> </ul>	<ul style="list-style-type: none"> <li>• The length of contract plus 2 years</li> </ul>
<ul style="list-style-type: none"> <li>• Accommodation files</li> </ul>	<ul style="list-style-type: none"> <li>• 3 years</li> </ul>
<b>Staff Management</b>	<b>Destroy after</b>
<ul style="list-style-type: none"> <li>• Commitment files</li> </ul>	<ul style="list-style-type: none"> <li>• 3 years</li> </ul>
<ul style="list-style-type: none"> <li>• Overtime files</li> <li>• Flexible working hours files</li> </ul>	<ul style="list-style-type: none"> <li>• 1 year</li> </ul>
<ul style="list-style-type: none"> <li>• Annual leave files</li> </ul>	<ul style="list-style-type: none"> <li>• 1 year following the last date of the annual leave</li> </ul>
<ul style="list-style-type: none"> <li>• Photocopies of travel and subsistence forms</li> </ul>	<ul style="list-style-type: none"> <li>• Destroy immediately</li> </ul>
<b>Security</b>	<b>Destroy after</b>
<ul style="list-style-type: none"> <li>• Visitors' Books</li> </ul>	<ul style="list-style-type: none"> <li>• 2 years</li> </ul>
<ul style="list-style-type: none"> <li>• Register of attractive items</li> </ul>	<ul style="list-style-type: none"> <li>• 3 years then review and update</li> </ul>
<b>Health &amp; Safety</b>	<b>Destroy after</b>
<ul style="list-style-type: none"> <li>• Files</li> </ul>	<ul style="list-style-type: none"> <li>• 5 years</li> </ul>
<ul style="list-style-type: none"> <li>• Accident Books</li> </ul>	<ul style="list-style-type: none"> <li>• 8 years after last entry</li> </ul>
<ul style="list-style-type: none"> <li>• Accident forms</li> </ul>	<ul style="list-style-type: none"> <li>• 8 years</li> </ul>

<b>Complaints</b>	<b>Review after</b>
<ul style="list-style-type: none"> <li>• Complaints files</li> <li>• To be kept in wallets</li> </ul>	<ul style="list-style-type: none"> <li>• 5 years from the last contact with the complainant</li> </ul>
<b>Parliamentary</b>	<b>Review after</b>
<ul style="list-style-type: none"> <li>• Parliamentary Questions</li> <li>• To be kept in green files</li> </ul>	<ul style="list-style-type: none"> <li>• 5 years from the date of the answer</li> </ul>
<ul style="list-style-type: none"> <li>• Parliamentary Correspondence</li> <li>• To be kept in yellow files</li> </ul>	<ul style="list-style-type: none"> <li>• 5 years from the date of the last reply to the MP</li> </ul>

- All parliamentary and complaints files should be kept for five years.
- After five years each file should be reviewed. If a file is no longer required, it can be destroyed. If a file is required for longer than five years, it should be kept for a further five years.
- After a maximum of ten years in storage all files must be reviewed again. If a file is no longer required, it should be destroyed. If a file needs to be retained for over ten years, then it must be sent to the Records Management Unit.



## Retention Schedule For Personnel Files

Subject and Colour of Folder or Divider	Content examples	Destroy after	Ownership	Comments
Recruitment and Personal Details  <b>- Orange -</b>	<ul style="list-style-type: none"> <li>• Application Forms</li> <li>• Loans &amp; secondees</li> <li>• Pre-Employment enquiries (e.g. NIS, Health Dec etc);</li> <li>• Personal details;</li> <li>• Official Secrets Act;</li> <li>• Re-employment applications;</li> <li>• Applications to vary working patterns;</li> <li>• Confirmation of appointment (probation).</li> </ul>	<ul style="list-style-type: none"> <li>• 6 years following the date of last action<sup>1</sup></li> </ul>	Area Administration – Personnel	This subset should contain all documentation that supports changes to contract of employment and personal details.
	<ul style="list-style-type: none"> <li>• Local Authority/OGD transfer documents</li> <li>• Letters of appointment (inc. notification of changes e.g. on promotion)</li> <li>• Legal trainee contracts</li> </ul>	<ul style="list-style-type: none"> <li>• <b>80 years</b> from date of birth</li> </ul>		
Pay  <b>- Yellow -</b>	<ul style="list-style-type: none"> <li>• Pay Forms;</li> <li>• Excess fares: Original application form;</li> <li>• Housing Advance documents;</li> <li>• WWCS applications;</li> <li>• Bank Account details;</li> <li>• PRP awards and calculations;</li> <li>• Pay on promotion including periods of TP;</li> <li>• Pay queries;</li> </ul>	<b>80 years</b> from date of birth	Area Administration – Personnel and NHQ Pay Unit – Personnel 3	NHQ Pay Unit will hold the file for pay audit purposes. The Area file should contain correspondence and original papers, for audit purposes, on subjects where Areas have devolved responsibility (e.g. overtime and excess fare payments).

<sup>1</sup> As a guide the last date of action refers to the subset and not to individual documents.

Subject and Colour of Folder or Divider	Content examples	Destroy after	Ownership	Comments
	<ul style="list-style-type: none"> <li>Central pool papers;</li> <li>Claims for additional hours for P/T staff;</li> <li>Sick pay at pensionable rate;</li> <li>Any other document that constitutes a Payroll record.</li> </ul>			
	<ul style="list-style-type: none"> <li>Mortgage references;</li> <li>Special bonuses;</li> <li>Applications for salary advances;</li> <li>Attachment for earnings orders;</li> <li>Claims for overtime (if not batched);</li> <li>Claims for excess fares (if not batched);</li> <li>Overpayment documents &amp; correspondence.</li> </ul>	<ul style="list-style-type: none"> <li>6 years following the date of last action</li> </ul>		
Performance Management  <b>- Blue -</b>	<ul style="list-style-type: none"> <li>Probation reports;</li> <li>PARs</li> <li>PAR Grievances (inc. relevant PAR);</li> <li>FJPs;</li> <li>Break reports;</li> <li>Inefficiency action by poor performance;</li> <li>Trawl applications;</li> <li>Progression/promotion application and results;</li> <li>Transfer applications;</li> <li>Secondments/loans;</li> <li>Changes of Job or Unit;</li> <li>Detached duty</li> </ul>	<ul style="list-style-type: none"> <li>3 years on a rolling basis from the last date of action (always retain last 3 on file)</li> </ul>	Area Administration – Personnel	

Subject and Colour of Folder or Divider	Content examples	Destroy after	Ownership	Comments
	<ul style="list-style-type: none"> <li>Commendations</li> </ul>	<ul style="list-style-type: none"> <li><b>3 years</b> following resignation or retirement</li> </ul>		
Attendance  <b>- Pink -</b>	<ul style="list-style-type: none"> <li>Sick history;</li> <li>Absence prints;</li> <li>Unauthorised absence;</li> <li>Special leave;</li> <li>Career break details;</li> <li>Inefficiency – poor attendance;</li> <li>Maternity;</li> <li>Flexible working hours;</li> <li>Part-time attendance on medical grounds;</li> <li>Personal injury claims;</li> </ul>	<ul style="list-style-type: none"> <li><b>10 years</b> from date of last action</li> </ul>	Area Administration – Personnel	
	<ul style="list-style-type: none"> <li>BMI papers (Grey folder)</li> </ul>	<ul style="list-style-type: none"> <li><b>80 years</b> from date of birth</li> </ul>		
Conduct  <b>- Red -</b>	<ul style="list-style-type: none"> <li>Discipline papers/records/cases and results;</li> <li>Equal Opportunity complaints;</li> <li>Non-PAR grievances.</li> </ul>	In accordance with the retention schedule in Vol. 2 of the Personnel Management Manual.	Area Administration – Personnel	
	<ul style="list-style-type: none"> <li>Any documentation relating to Disciplinary Action, which has resulted in a change of Terms &amp; Conditions of Service, pay or allowances.</li> </ul>	<ul style="list-style-type: none"> <li><b>80 years</b> from date of birth (required for pension purposes).</li> </ul>		
Training	<ul style="list-style-type: none"> <li>Applications for courses;</li> <li>Records of courses attended;</li> </ul>	<ul style="list-style-type: none"> <li><b>5 years</b> from date of last action</li> </ul> or	Area Administration – ATO	

Subject and Colour of Folder or Divider	Content examples	Destroy after	Ownership	Comments
- Purple -	<ul style="list-style-type: none"> <li>COTS details;</li> <li>Accredited hours' details.</li> </ul>	<ul style="list-style-type: none"> <li><b>12 months</b> if recorded on computer</li> </ul>		
Pensions/ Leavers  - Buff -	<ul style="list-style-type: none"> <li>Death Benefit form;</li> <li>Pension questionnaire;</li> <li>Leavers forms;</li> <li>Marriage/Death Certificates &amp; Decree Absolutes (copy docs)</li> </ul>	<ul style="list-style-type: none"> <li><b>80 years</b> from date of birth</li> </ul>	NHQ – Pensions Unit Personnel 3	All original forms should be sent to Superannuation Unit (NHQ, Personnel 3. Area Personnel may wish to keep a subset for correspondence.

*This schedule is intended as a guide, and does not therefore contain every document likely to be placed on a personal file.*

*Personal files for level E staff and those in the SCs are retained by National HQ – Personnel, Training and Development Division.*

*Personal files for all categories of paid and unpaid casual staff are retained locally with retention period of 5 years following the end of the contract, placement or last date of action.*

## Minutes Template

Data Protection Working Group

**\*\* DRAFT \*\***

### DATA PROTECTION WORKING GROUP MEETING

29 April 2002, Room 302, Ludgate Hill

Duration: 1 hr 15 mins

#### Working Group Members present

Surname (initials in brackets)

Surname (initials in brackets)

Surname (initials in brackets)

The following actions are either carried forward from the previous meeting or there are new actions arising from the meeting. To denote a previous action number, put the action numbers in brackets.

Action No	Description	Action by

Direct Communications with Victims

## Standard Subject List

### **A1 ACCOUNTING**

- A1/1 Accounting/Resource Accounting
- A1/2 Audit – Internal
- A1/3 Audit – External
- A1/4 Write-Offs
- A1/5 Payments
- A1/6 Receipts
- A1/7 Financial Delegation

### **A2 ADVOCACY**

- A2/1 Advocacy Standards
- A2/2 Rights of Audience & HCA
- A2/3 Advocacy/Counsel Monitoring
- A2/4 Designated Caseworkers

### **A3 APPEALS**

- A3/1 Court of Appeal Cases/General, Divisional Court Service/Cases/  
Stated/Judicial Reviews

### **C1 CRIMINAL CASEWORK**

- C1/1 Casework Standards
- C1/2 Charging Standards
- C1/3 CCRC- Preservation Orders & Correspondence
- C1/4 Cases referred to CCP
- C1/5 Sensitive Casework List
- C1/6 Regulation of Investigatory Powers Act 2000

### **C2 CHILDREN (AS VICTIMS & YOUTH OFFENDERS)**

- C2/1 Child Abuse
- C2/2 Child Video Evidence
- C2/3 Youth Justice/Persistent Young Offenders

C2/4 Child Witness Monitoring Scheme

C2/5 Anti Social Behaviour Orders

### **C3 COMMUNICATIONS**

C3/1 Communications Strategy & Procedures

C3/2 Telecommunications - General

C3/3 Telecommunications - Damovo

C3/4 Communications & Media – Cuttings & Correspondence

C3/5 Directories – Internal

C3/6 Directories - External

C3/7 Speeches

### **C4 COSTS IN CRIMINAL CASES**

C4/1 Case Management Plans / High Cost Cases

C4/2 Counsel Fees (Year)

C4/3 Graduated Fees Scheme (Year)

C4/4 Costs Against CPS

C4/5 Costs Against Convicted Defendants

C4/6 Witness Expenses – General Public

C4/7 Witness Expenses – Experts

C4/8 Witness Expenses - Professional

### **C5 COURTS**

C5/1 Operation of Magistrates Courts – (Specific)

C5/2 Operation of Crown Court – (Specific)

C5/3 Operation of Youth Courts – (Specific)

C5/4 Court of Appeal

C5/5 Crown Court Guidelines

C5/6 Crown Court Liaison

C5/7 Court Interpreters

C5/8 Court User Groups

C5/9 House of Lords

C5/10 Transcript of Judgements

**C6 CRIMINAL PROCEDURE**

- C6/1 The Code for Crown Prosecutors
- C6/2 Crown Court Procedures
- C6/3 Magistrates Court Procedures
- C6/4 Bail
- C6/5 Bindovers
- C6/6 Mode of Trial
- C6/7 Private Prosecutions and Prosecution by Local Authorities
- C6/8 Transfer Provisions & Sent Cases. Section 51 Indictable Only
- C6/9 Health & Safety Executive & Work Related Deaths
- C6/10 Traffic Offence Policy
- C6/11 Video Links
- C6/12 Domestic Violence
- C6/13 Victims & Witnesses – Policy
- C6/14 Warrants
- C6/15 Acceptance of Pleas
- C6/16 Committals
- C6/17 Disclosure
- C6/18 Discontinuance
- C6/19 Cautioning
- C6/20 Deaths in Custody
- C6/21 Wildlife & Countryside
- C6/22 Criminal Procedure & Investigation Act 1996
- C6/23 Crime & Disorder Act 1998
- C6/24 Human Rights Act 1998
- C6/25 Indictments
- C6/26 PII (Public Immunity Interest)
- C6/27 International Law
- C6/28 Custody Time Limits
- C6/29 Sentencing
- C6/30 Terrorism Act 2000
- C6/31 Race Relations Act
- C6/32 Racial Attack Monitoring
- C6/33 Racially Motivated Attacks



C6/34 Macpherson Report

C6/35 Proceeds of Crime Act 2002

## **E1 ESTATES MANAGEMENT**

- E1/1 Accommodation – (Specific Sites)
- E1/2 First Aid Certificates & Accident Book
- E1/3 Health & Safety
- E1/4 Car Parking
- E1/5 Contractors (e.g. cleaners)
- E1/6 COSHH
- E1/7 Manual Handling
- E1/8 Health & Safety Advice
- E1/9 Health & Safety Instructions/Procedures

## **E2 EVIDENCE**

- E2/1 Audio & Video Evidence
- E2/2 Documentary Evidence
- E2/3 Interviews
- E2/4 Photographs
- E2/5 Fingerprints
- E2/6 ID Parades/ID Evidence/Facial Mapping
- E2/7 PACE (Police & Criminal Evidence Act 1984)
- E2/8 Corroboration
- E2/9 Exhibits Policy
- E2/10 Computer Related Evidence

## **E3 EQUALITY & DIVERSITY**

- E3/1 Race Equality Scheme
- E3/2 Diversity Events/Seminars
- E3/3 Policy Work on Equality and Diversity
- E3/4 The Equality and Diversity Library
- E3/5 Discrimination in the Prosecution Process

**F1 FACILITIES MANAGEMENT**

- F1/1 Facilities Management – general
- F1/2 Business Continuity Plan – (inc. Disaster Control Plan)
- F1/3 Fire Precautions/Instructions
- F1/4 Post Arrangements – (DX, Royal Mail)
- F1/5 Equipment – Maintenance
- F1/6 Disposal Arrangements
- F1/7 Physical Security
- F1/8 Car Hire
- F1/9 Photocopying
- F1/10 Couriers

**F2 FINANCE**

- F2/1 Finance Guidance
- F2/2 Budget Reports
- F2/2 T&S General Policy
- F2/3 Banking
- F2/4 Public Expenditure Survey (PES)
- F2/5 Hotels & Maps
- F2/6 Gifts & Hospitality
- F2/7 Mid Year Review & Estimates

**H1 HUMAN RESOURCES**

- H1/1 HR Notices
- H1/2 Annual Leave & Privilege Days
- H1/3 Career Break & KITS
- H1/4 Childcare
- H1/5 Civil Service Pension Scheme – Early Exit Scheme's
- H1/6 Counselling & Support Service/Stress Audit
- H1/7 Designated Caseworkers
- H1/8 Ethnic Monitoring
- H1/9 Equal Opportunities & Diversity
- H1/10 Flexitime
- H1/11 Investors in People

H1/12 liP Review  
H1/13 Maternity Information  
H1/14 Official Secrets Act  
H1/15 Overtime  
H1/16 Pay & Payroll Ops  
H1/17 Pay Notices  
H1/18 Performance Appraisal Reporting (PAR) (inc. Interim Review Log Sheet)  
H1/19 Practising Certificates  
H1/20 Probation & Staff  
H1/21 Recruitment – General  
H1/22 External Recruitment Exercises  
H1/23 Internal Selection – General  
H1/24 Internal Selection Exercises  
H1/25 References  
H1/26 Security Clearance (NIS)  
H1/27 Sick Absence Management  
H1/28 Special Leave  
H1/29 Staff in Post  
H1/30 Promotion, Temporary Promotion & Deputising  
H1/31 Succession Planning  
H1/32 Transfer Register  
H1/33 Interchange  
H1/34 Typists (inc. typing tests)  
H1/35 Weekend & Public Holiday Court Coverage Scheme  
H1/36 Area Whitley Council  
H1/37 Departmental Whitley Council  
H1/38 Facility Time  
H1/39 Work Experience  
H1/40 Research Requests  
H1/41 Working Time Directive  
H1/42 Honours Nominations  
H1/43 Freemasonry  
H1/44 Disciplinary/Inefficiency Proceedings  
H1/45 Terminations

- H1/46 Disability
- H1/47 Employment Law
- H1/48 Higher Court Advocates – Selection & Training Sponsorship
- H1/49 Human Resource Strategy
- H1/50 Political Activities (inc. outside interests & school governors)
- H1/51 Rotation
- H1/52 Complaints (Staff)
- H1/53 Expenses (Entitlement)
- H1/54 Industrial Action/Health & Safety: PI Claims
- H1/55 Trade Unions
- H1/56 Sports & Social Club
- H1/57 Retirement
- H1/58 Job Descriptions
- H1/59 Security Passes
- H1/60 Core Competency Framework
- H1/61 Denman Report
- H1/62 CRE Report into Croydon
- H1/63 Travel & Subsistence
- H1/64 HR IT Systems (PIMMS & Payroll)

## **I1 INFORMATION MANAGEMENT**

- I1/1 Records Management
- I1/2 Security
- I1/3 Long Term Interest Cases
- I1/4 Data Protection Act 1998
- I1/5 Freedom of Information Act 2000
- I1/6 CCRC – Procedures (x-ref: C1/3)
- I1/7 Library
- I1/8 Legal Guidance for CPS on Legislation Issues
- I1/9 Storage

## **I2 INTERNATIONAL LAW**

- I2/1 Commission Rogatories

- I2/2 Cross Border Regulations
- I2/3 European Court
- I2/4 Extradition
- I2/5 Interpol
- I2/6 War Crimes
- I2/7 Eurojust

### **I3 INFORMATION TECHNOLOGY**

- I3/1 Hardware
- I3/2 Software
- I3/3 IT Security
- I3/4 Case Tracking/Management Systems
- I3/5 E-mail & Internet
- I3/6 CPS Modernisation Programme – Connect 42/COMPASS
- I3/7 IT Strategy/IT Strategy for CJS
- I3/8 Corporate Information System (CIS)
- I3/9 Intranet
- I3/10 Personnel Database - SPIRE
- I3/11 Accounts IT System – ROSS
- I3/12 SCOPE
- I3/13 FARMS
- I3/14 Crown Court Case Preparation Package
- I3/15 Indictment Package

### **I4 INSPECTORATE**

- I4/1 Inspectorate – General
- I4/2 HMCPsi Quarterly Law Officer's Reports
- I4/3 Area & Inspectorate Report

### **J1 JUDICIARY**

- J1/1 Correspondence – General

J1/2 Magistrates' Courts Association

## **J2 JURISDICTION**

J2/1 Channel Tunnel

J2/2 Coroner

J2/3 DTI

J2/4 DSS

J2/5 Scotland & Military Lands

## **L1 LAW ENFORCEMENT**

L1/1 Forensic Science Service

L1/2 Police

L1/3 Police - Complaints

L1/4 MOD Police & British Transport Police

L1/5 Criminal Justice Chief Officers

L1/6 Customs & Excise Prosecutions

L1/7 Police - Corruption

L1/8 National Crime Squad

L1/9 Police – Disciplinary Matters

L1/10 Safer Communities Chief Officer Group

L1/11 National CPS/ACPO Liaison Meetings

L1/12 Antecedents

L1/13 Criminal Records

L1/14 DNA Profiling

L1/15 ID Parades

L1/16 Informants

## **L2 LAW OFFICERS**

L2/1 Attorney General/Solicitor General

L2/2 DPP

L2/3 Legal Officers (Non CPS)

## **L3 LAWYERS (NON CPS)**

- L3/1 Agents
- L3/2 Counsel
- L3/3 Law society
- L3/4 Law Officers
- L3/5 Regional Duty Solicitor
- L3/6 Criminal Defence Service
- L3/7 CPS/Bar Meetings

## **M1 MANAGEMENT OF THE CPS**

- M1/1 CPS strategic & Business Plan
- M1/2 CPS Annual Reports
- M1/3 CJS Annual Reports
- M1/4 TU Reports
- M1/5 CPS/CJU/TU Strategy/CPS/Police/CJU/TU Protocol
- M1/6 CJ Strategic Planning Group
- M1/7 Glidewell & CJU/TU Planning
- M1/8 Criminal Justice Strategy Planning
- M1/9 HQ Review
- M1/10 Service Level Agreement with Service Centre
- M1/11 Narey (DCWs, Narey Courts, Indictable Only)
- M1/12 CPS Board
- M1/13 Director's Group
- M1/14 Chief Executive's Management Committee
- M1/15 Chief Executive's Sounding Board
- M1/16 Family Group Meetings
- M1/17 Better Quality Service/Modernising Govt/Risk Assessment/Peer Review/  
Business Excellence
- M1/18 Senior Management Conferences
- M1/19 Implementation of Auld Report
- M1/20 Crime & Disorder Audit
- M1/21 BID – Business Improvement

## **M2 MANAGEMENT PERFORMANCE OF CPS (AREA LEVEL)**

- M2/1 Area Business Plan & Targets

M2/2 End of Year/Mid Year Assessments  
M2/3 AMT Meetings  
M2/4 Area Secretariat Meetings  
M2/5 CJU Team Meetings  
M2/6 TU Team Meetings  
M2/7 Area Consultative Committee  
M2/8 Official Visits  
M2/9 Area Handbook/Instructions  
M2/10 Performance Indicators – General  
M2/11 Adverse Cases  
M2/12 Cracked & Ineffective Cases – Mags Court  
M2/13 Domestic Violence Monitoring  
M2/14 Racist Incident Monitoring  
M2/15 Criminal Justice Business Quarterly PI's  
M2/16 CPM's  
M2/17 JPM's – Figures & Protocol with Police  
M2/18 Certificate of Assurance  
M2/19 Citizen's Charter – inc. Telephone Answering  
M2/20 Arrangements for Christmas & Bank Holidays  
M2/21 Complaints Against CPS – General  
M2/22 Activity Based Costings (ABC)  
M2/23 Staffing – Area Issues  
M2/24 ABM Issues

## **O1 OFFENCES/OFFENDERS**

O1/1 General – Domestic Violence/Drink Driving/Drugs/Immigration/Racially  
Motivated/Road Traffic/Sexual Offences/Theft/Violence, etc  
O1/2 Mental Health Act – Mentally Disordered Offenders  
O1/3 Persistent Offenders  
O1/4 ECHR

## **P1 PARLIAMENT**

P1/1 General – Parliamentary Correspondence & Procedure, P.Q's



**P2 PURCHASING AND PROCUREMENT**

- P2/1 Contract Management
- P2/2 External Consultancy
- P2/3 Furniture & Equipment
- P2/4 Purchasing
- P2/5 Stationery

**T1 TRAINING & DEVELOPMENT**

- T1/1 HCA Training
- T1/2 COTS
- T1/3 Legal Trainee Scheme
- T1/4 Management Training
- T1/5 General Training
- T1/6 Training Course Log & Evaluations
- T1/7 Induction Training
- T1/8 Diversity Training
- T1/9 CPD – Solicitors
- T1/10 Princes Trust Volunteers Scheme
- T1/11 DCW Training

**T2 TRIAL ISSUES**

- T2/1 Pre-Trial Issues
- T2/2 Area Trial Issues
- T2/3 National Trial Issues Group
- T2/4 Prisons
- T2/5 Probation
- T2/6 Sentencing
- T2/7 CPS Charging and Early Advice
- T2/8 Persistent Offender Initiatives

**V1 VICTIMS & WITNESSES**

- V1/1 Liaison with Victim Support

- V1/2 General – Expert Witnesses/Victim’s Charter/Victim support/Witness Care/Witness Waiting Times/Witness Warning (refer to C6/13 for procedure)
- V1/3 Witness Allowances
- V1/4 Vulnerable & Intimidated Witnesses
- V1/5 Victim Personal Statement Scheme
- V1/6 CPS Direct Communications with Victims