

CASEWORK DOCUMENTATION

CASEWORK POLICY

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Introduction

1. The CCRC maintains a full record of the case review process in every application. This information is important for a number of reasons, not least:
 - (i) For general case management purposes and decision-making assurance.
 - (ii) The CCRC must be able to demonstrate adherence to its own policies and procedures.
 - (iii) The disclosure of casework documentation may be requested in proceedings for judicial review of the CCRC's decisions.
2. Historically, the CCRC has used two specific documents to record steps taken in the casework process: the Case Record and, in more complex cases, the Case Plan. Both are “living documents” and will develop as a review progresses. The responsibility for maintaining the Case Record lies with whoever has taken relevant action in the case. For the Case Plan, responsibility for maintaining lies with the Case Review Manager.
3. In cases beginning life with the CCRC after August 2017, the case history and key steps may be recorded within the case management software programme or the ‘case decision pathway’ document.
4. Case Review Managers must maintain appropriate case planning records. In smaller cases it may be sufficient to make a note on the Case Record or case decision pathway document. In more protracted reviews, or those where there are a number of issues to consider, a separate Case Plan should be used. The accurate recording of the key case history is compulsory in every case, whether

that be within the Case Record, case management software or decision pathway document.

Retention of Core Documents

5. The paper file will generally be retained by the CCRC for three months¹ from the date of the final decision, following which it will be destroyed.
6. The core documents in the case (i.e. those relevant to the decision) will be scanned so that an electronic record is retained. The appropriate retention period is set out in the CCRC's Records Management manual.
7. As a general rule, it is the responsibility of the Case Review Manager to ensure that all core documents are identified and scanned during the course of the review and that all irrelevant information is removed at the end of a review.
8. Core documents are likely to include, where in existence and obtained:

Core Documents
Application form and any enclosures
Form NG
Counsel's advice and/or grounds of appeal
Form SJ
Court of Appeal summary
Court of Appeal judgment
Summing-up
Sentencing Remarks
Witness statements, if relevant to the review/decision: e.g. drawn to the attention of the decision-maker(s) or relied on to produce the Statement of Reasons
Transcripts of evidence, if relevant to the review/decision: e.g. documents drawn to the attention of the decision-maker(s) or relied on to produce the Statement of Reasons
Expert reports, if relevant to the decision
Copy of signed decision documents.

Documents protectively marked **Secret** or above

9. The CCRC has the facility to scan, create and save electronic documents protectively marked "Secret" or above. The CCRC will not, however, routinely scan such material. It is the responsibility of the decision-maker(s) in the case to determine which documents should be retained when a case is closed, and whether those documents are held electronically or in hard copy.

¹ This reflects the CCRC's policy with effect from 1 February 2010. Prior to that date, all paper records were retained for a minimum period of 5 years.