

Unique Investigation No.
(Caps and underline)

Local Authority Name

v

Name(s) of proposed defendants
(Capitals and underlined)

Investigation No.
(Caps and underline)

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1 Event Form

Investigation:	
<u>Defendants:</u> <i>Full name and addresses of all defendants Number defendants 1,2,3 etc</i>	
<u>Court:</u>	
<u>Court Dates:</u>	
<u>Prosecuting Solicitor:</u>	
<u>Defence Solicitor:</u> <i>Record who conducted the defence. If defendant is self-represented please note</i>	
<u>Costs Requested:</u> <i>Record what costs have been requested. Costs to be broken down into legal costs and investigation costs and, if necessary by defendant.</i>	
<u>Costs Awarded by Court:</u>	
<u>Result of Case:</u> <i>Guilty or not guilty. Penalties imposed by the Court should also be noted</i>	
<u>Appeal:</u> <i>Defendant(s) appeal against the decision of the Court. Type of appeal should be noted</i>	

3 Proposed Charges

Investigation:		
<u>Defendant Name:</u>	<u>Charge 1:</u>	
	Act or Regulation	
	Day & Date	
	Breach of Licence	
	Description:	
<u>Defendant Name:</u>	<u>Charge 2:</u>	
	Act or Regulation	
	Day & Date	
	Breach of Licence	
	Description:	
<u>Defendant Name:</u>	<u>Charge 3:</u>	
	Act or Regulation	
	Day & Date	
	Breach of Licence	
	Description:	

Repeat for other defendant(s)

The proposed charges should be listed against each defendant, that is to say list all charges per defendant against defendant's name. The best practise is to draft the charge (information) but if this is not possible the minimum requirement is that the name of the Act breached, the section of that Act alleged to be breached and the criminalising section of that Act should be recorded.

4 Executive Summary

This section of the casefile should be used to provide a brief on the relevant aspects of the case. It should be sufficiently detailed so that it allows Senior Managers to assess the seriousness of the case and decide what action, if any is needed. It should provide a brief to legal on the facts of the case and should be listed point by point (1.1, 1.2 etc). The brief should be clear and concise setting out not only the evidence supporting the alleged charge but also setting out any apparent defences or mitigation.

Investigation:	

5 Other Information

(This section of the casefile may be used to make legal aware of other information relating to the case. Previous convictions, warnings, and formal cautions should be noted in this part of the casefile.)

Investigation:	
<u>Previous Conviction(s):</u> <i>Court of conviction; the Charge(s) that the defendant(s) were convicted of; the penalty imposed; and the date of conviction.</i>	
<u>Caution(s):</u> <i>Date that formal caution was signed; and the charge that the defendant(s) agreed to be cautioned for. If possible a copy of formal caution(s) included in the file.</i>	
<u>Technical Information:</u>	
<u>Planning Permission(s):</u>	
<u>Site Histories or other relevant information:</u>	

6 Recommendations & Comments

The Investigator may use this section to make recommendations as to the action to be taken. The Investigator should justify these recommendations using the following factors together with any others set out in the Authority's Enforcement and Prosecution Policy.

Investigation:		
<u>Environmental effect</u>		
<u>Nature of the offence</u>		
<u>Intent</u>		
<u>History</u>		
<u>Attitude</u>		
<u>Deterrent effect</u>		
<u>Foreseeability</u>		
<u>Any other factors</u>		
Signed		Investigator
		Date
<u>Team Leader comments</u>		
Signed		Team Leader
		Date

7 Section 9 Statements

List the witness statements in the order they have been placed in the case file

Investigation:	
<u>Statement 1:</u>	
<u>Statement 2:</u>	
<u>Statement 3:</u>	
<u>Statement 4:</u>	
<u>Statement 5:</u>	
<u>Statement 6:</u>	
<u>Statement 7:</u>	
<u>Statement 8:</u>	
<u>Statement 9:</u>	

8 Documentary Exhibits

List the documentary exhibits in the order they have been included in the case file

Investigation:	
<u>Document 1:</u>	
<u>Document 2:</u>	
<u>Document 3:</u>	
<u>Document 4:</u>	
<u>Document 5:</u>	
<u>Document 6:</u>	
<u>Document 7:</u>	
<u>Document 8:</u>	
<u>Document 9:</u>	

9 Costs of Investigation

To be in line with Authority's Enforcement Policy and to include legal and any remediation.

Investigation:	

10 Unused Material

Including any report produced by the disclosure officer to comply with the requirement under the Criminal Procedure and Investigations Act 1996 and the Code of Practice made thereunder.

Investigation:	