



*Financial
Investigations
Partnership for
Recovery*

*Ged Harbinson
Graham Ward*

Compliance



You don't have to be ill to get better.

- 1. Compliance. What's That All About Then ?**
- 2. Compliance Exercise.**
- 3. A Model for Improvement.**
- 4. Compliance Pre 4th October 2005.**
- 5. Compliance Post 4th October 2005.**
- 6. A Look Forward.**
- 7. Any Questions.**

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Presentation Title

Compliance What's That All About Then.
Compliance Exercise.
A Model for Improvement.
Compliance Pre 4th October 2005.
Compliance Post 4th October 2005.
A Look Forward.
Any Questions.

Compliance



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- **What is compliance.**
- **A tendency to do what others want**
(Collins English dictionary 2002)
- **What do you perceive compliance as.**
- **?**
 - **What do we want you to perceive compliance as**
- **Your partner in raising and maintaining professional standards.**

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Presentation Title

What is compliance.
A tendency to do what others want (Collins English dictionary 2002)
What do you perceive compliance as.
? (Question to group)
What do we want you to perceive compliance as
Your Partner in raising and maintaining professional standards.

Compliance



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Analysis of compliance to date

- **Compliance consists of 34 mainly quantitative assessments.**
- **Covering – file construction ,submission timescales, offender report, discipline report, taped Interview record, and committal bundles.**
- **Compliance has improved standards.**

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Presentation Title

Analysis of compliance to date

Compliance consists of 34 mainly Quantitative assessments.


Covering - file construction ,submission timescales, offender report, discipline report, taped Interview record, and committal bundles.

Compliance has improved standards.

It is important to note that compliance is in its embryonic stages and there is no implied criticism of compliance past

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Exercise

- **Score**
- **100%**
- **Why?**
- **Because the quantitative assessment was too narrow.**
- **Because there is no qualitative assessment.**

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File to read as a team leader

Invite comments

File to read as compliance manager with compliance sheet.

Not the file is supposed to have been received within the 12 working days.

The file is a composite of errors and is not from one source or one person and no criticism of any person is implied.

Check scores

Ask why it passed compliance seek comment.

Compliance



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Analysis shows there are.

- **Inconsistencies in quantitative standards through out all stages.**
- **Inconsistencies in qualitative standards through out all stages.**
- **Some lack of understanding of business requirement and process.**
- **Failure to develop following identification of improvement opportunities.**

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Presentation Title

Analysis shows there are still.

Inconsistencies in quantitative standards through out all stages.

Inconsistencies in qualitative standards through out all stages.

Some lack of understanding of business requirement and process.

Failure to develop following identification of improvement opportunities.

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Compliance development.

Maintain and Improve quantitative assessment.

- ✓ **9 on file construction (to eliminate inconsistencies)**
- ✓ **1 on submission timescales**
- ✓ **25 on offender report (dealing with new statistical data requirements and reporting of failures)**
- ✓ **3 on tape recorded interviews**
- ✓ **17 on appendices (to eliminate**

inconsistencies)

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Presentation Title

✓ **18 on discipline reports (to eliminate**

Compliance development.

Maintain and Improve quantitative assessment.

9 on file construction

1 on submission timescales

25 on offender report

3 on tape recorded interviews

17 on appendices

18 on discipline reports

Total of 73 compliance checks

Compliance



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Compliance development.

**Move to a more qualitative
assessment.**

- ✓ **on file construction - accuracy-
detail.**
- ✓ **on offender report - chronological
reports-length or brevity-relevance-
accuracy.**
- ✓ **on discipline reports - chronological
reports-length or brevity-relevance-**

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Compliance development.

Move to a more qualitative assessment.

on file construction - accuracy-detail.

on offender report - chronological reports-length or brevity-relevance- accuracy.

on tape recorded interviews - summary or transcription-questions and and supplementary questions

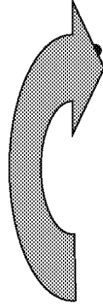
on discipline reports - chronological reports-length or brevity-relevance- accuracy.

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A model for improvement



Advice help Support

- Monitor
- Evaluate
- Review



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Presentation Title

A model for improvement
Advice help Support
Monitor
Evaluate
Review

Compliance



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A model for improvement

Advice help Support

- **Policies and standards.**
- **POLTD. Investigation circulars.**
- **Guidance notes.**
- **Feed back.**
- **Work shops, ITM meetings, team meetings and 1-2-1s.**
- **Coaching, Shadowing and direct support.**

GRO

[DateTime]

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Presentation Title

Advice help Support
Policies and standards
POLTD. Investigation circulars
Guidance notes
Feed back
Work shops and ITM meetings
Attendance at team meetings

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A model for improvement Monitor

- **Compliance checks covering-**
- **Quantitative assessment.**
- **Qualitative assessment.**

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Presentation Title

Monitor
Compliance checks
Quantitative assessment.
Qualitative assessment.

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A model for improvement

Evaluate

- **Strengths and weaknesses identified within the area subject to compliance.**
- **At whole group level.**
- **At team level.**
- **At individual investigation manager level.**

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Presentation Title

Evaluate

Strengths and weaknesses identified within the area subject to compliance.

At whole group level

At team level

At individual Investigation Manager level

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A model for improvement Review

- **The development need.**
- **At whole group level.**
- **At team level.**
- **At individual investigation manager level.**

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Presentation Title

Review

The development need

At whole group level

At team level

At individual Investigation Manager level

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A model for improvement

Advice help support

- **Policies and standards.**
- **POLTD. Investigation circulars.**
- **Guidance notes.**
- **Feed back.**
- **Work shops, ITM meetings, team meetings and 1-2-1s.**
- **Coaching, Shadowing and direct support.**

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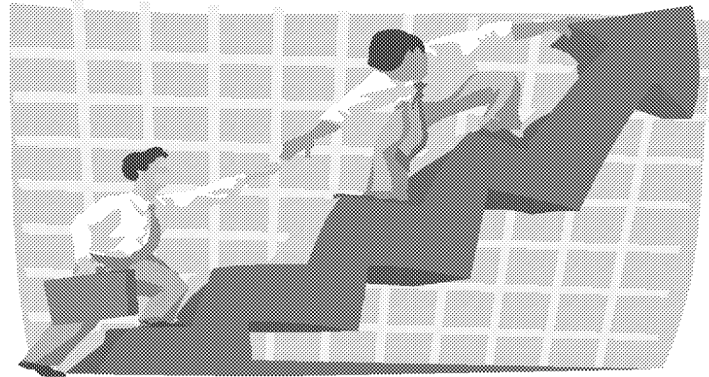
A model for improvement
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Rise



Standards

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Presentation Title

Best clip art I could find

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Items Currently subject to central compliance checks

- **Offender file construction.**
- **Timings of submissions for offender reports.**
- **Offender report.**
- **Tape summaries or transcriptions.**

• **Committal bundles.**

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Items from 4th October 2005 subject to central compliance checks

- Time specific case progress against case category.
- Time specific case progress offender reports.
- Offender file construction.
- Offender report.
- **Tape summaries or transcriptions.**

Items from 4th October 2005 subject to central compliance checks
Time specific case progress against case category.
Time specific case progress offender reports.
Offender file construction.
Offender report.
Tape summaries or transcriptions.

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Continued.

- **Business reports both offender and non offender reports. Specifically relating to details of failures in security, supervision, procedures and product integrity.**
- **TOR forms.**
- **Non offender case closed.**
- **Committal bundles.**

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Presentation Title

Continued.

Business reports both offender and non offender reports. Specifically relating to details of failures in security, supervision, procedures and product integrity.

TOR forms.

Non offender case closed.

Committal bundles.

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The future

How the compliance process could assist you in raising and maintaining professional standards.

-You only have to ask

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The future

How the compliance process could assist you in raising and maintaining professional standards.

Qualitative compliance on tape-recorded interviews.

Quantitative compliance on Investigative processes.

Qualitative compliance on Investigative processes.

Qualitative compliance during offender inquiry.

Qualitative compliance during open inquiry.

Qualitative compliance during court processes

And so on and so on.....You only have to ask

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Any Questions

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Told this job is the Poison Challis

Told every one will hate me

Told to try and be a friend to all the team leaders to keep them on side

So I've brought you all some sweets