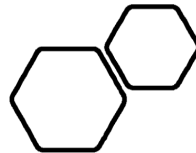


Danny
Saunders

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Investigation Strategies

Scope

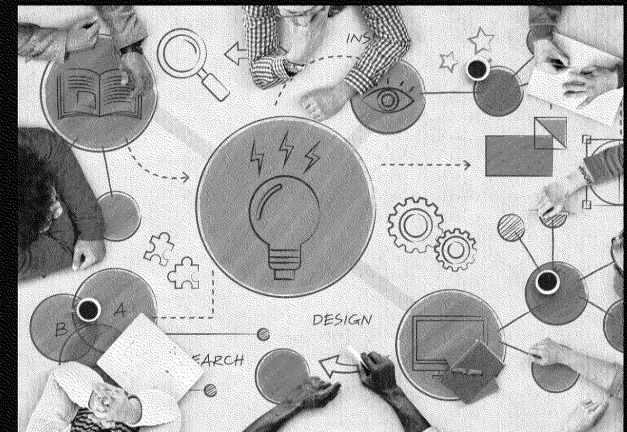


- What is an Investigation Strategy?
- Why do we need a Strategy?
- What should it include?
- When do they need to be completed?
- How to create a strategy
- Practical exercise
- How can you integrate it into your teams?
- Way forward



What is an investigation strategy?

- An overarching and evolving document that explains the **background**, **purpose** and **objectives** of an investigation
- It should be clear:
 - What the case is about?
 - What are you seeking to achieve?
 - How you are going to do it?
 - Sub strategies explain how objectives will be achieved (The detail)



Why is it necessary to have a strategy?

- Auditable
- Accountable
- Transparent
- Provides the investigator with a **plan** to follow
- Evolving** document that describes the **approach to the investigation**
- Review – (Assurance, audit, supervision)
- Helps to ensure all reasonable lines of enquiry are followed



Strategy development



- **The purpose of an investigative strategy is to**
 - Identify the most appropriate line(s) of enquiry to pursue
 - Determine the objective of pursuing particular lines of enquiry
 - Identify the investigative action(s) necessary to efficiently achieve the objectives, taking into account resources, priorities, necessity and proportionality
 - Direct and conduct investigative actions to gather the maximum amount of material which may generate further lines of enquiry



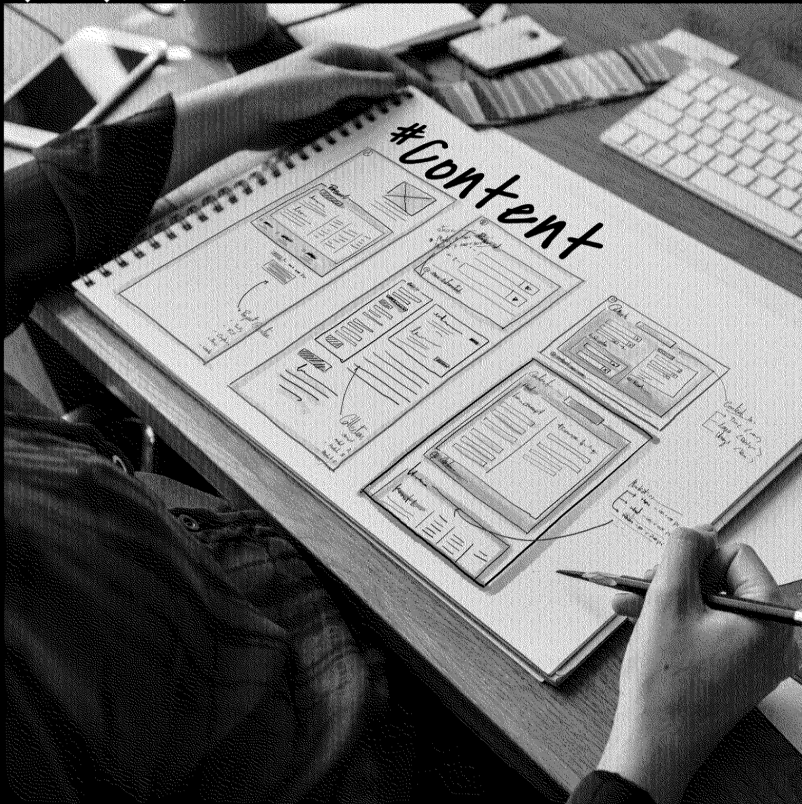
Investigation Strategy considerations

- **Not a check list**
- **Evolving document as case progresses**
- **Unique to each case and circumstances**
- **Objectives detail the purpose**
- **Strategy details how it will be done**
- **Sub strategies provide more granular detail for specific areas (If required)**
- **Engage with SME where appropriate**
- **Supervision (Advice & guidance)**

Advice	A team approach to decision making is recommended when developing the individual elements of the strategy. Investigators should supplement their team with those able to provide authoritative advice when needed.
Material	Investigators should ensure they have all the available information on the material relating to the strategic area under development. They should also ensure that everyone involved understands the material and its meaning to the investigation.
Objectives	Each of the strategies should be underpinned by a clear statement of the objectives that the investigator is trying to achieve. General and ambiguous statements such as 'carry out house-to-house enquiries to obtain information about the offence' should be avoided.
Methods and resources	A broad outline of the methods for achieving objectives and the resources required is needed. This should include sufficient information to enable others to understand how the objectives will be achieved.
Responsibility	Someone should be identified as being responsible for delivering the strategy. If the strategy involves a specialist technique or procedures, the person identified to deliver it should have sufficient understanding to be able to carry out their responsibilities effectively.
Review	The person responsible for each strategy should keep it under constant review in light of the material that is coming into the investigation. Strategies should be formally reviewed on a regular basis. It is not an admission of personal failure to change investigative direction in light of new material.

What should the strategy include?

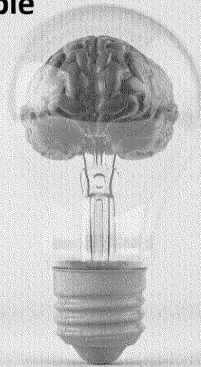
- The purpose of the strategy
 - *To lay out the approach to be taken in the conduct of this investigation and to pull together or reference the separate workstreams required to do so. It is not an action plan; it lays out direction of travel and rationale.*
- Background to the case
 - 5 W's (Who, What, Where, When and Why?)
- Investigation objectives
 - *Understand the full extent of loss and provide a detailed account and supporting evidence to the Met Police in support of their investigation.*
- Investigative strategy
 - *Pursue lines of enquiry from original information and enquiries conducted to date in order to test against the requirements of any applicable laws, code, policy, or regulations by:*
 - *Example:*
 - *a) Obtaining best evidence from the POL data systems and expert witnesses' evidence to provide a detailed understanding of the Branch discrepancy in order to assist with the Met Police investigation.*
- Supporting strategies
- Examples:
 - Digital evidence
 - Disclosure
 - Financial investigation
 - Stakeholders: Branch assurance, Contract team, NFSP, CIU etc



Combined Strategy - Example



- CIU template – just an example
- Introduce
- Adapt
- Integrate
- Review
- Retain



- Combined Strategy - Example - presentation

Scenario and Practical exercise

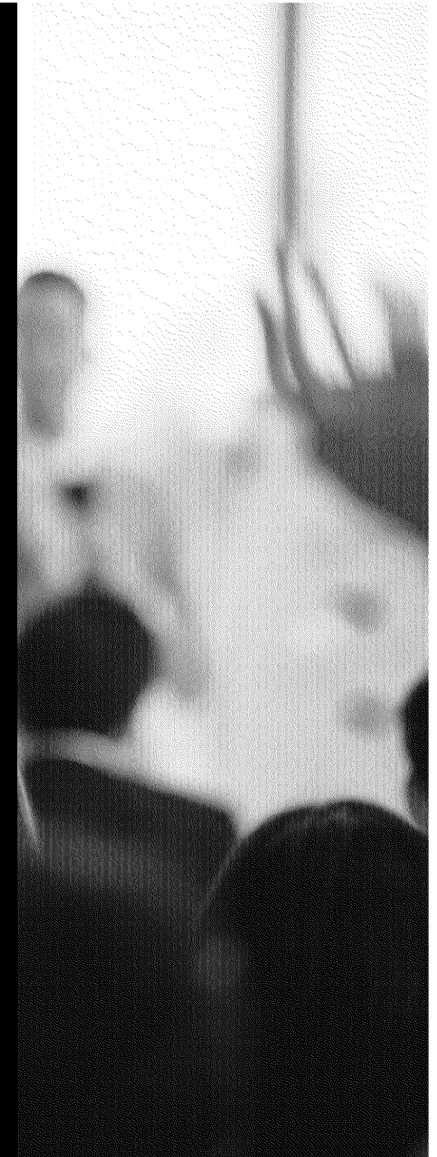


- Whoville Post Office
 - Postmaster – Andrew Grinch
 - Branch discrepancy of £145, 544
 - Suspected issues with stamp reversals (£35k)
 - 2 x missing cash pouches (£55k)
 - Missing cheques (£25k)
 - Physical cash discrepancy (£30,544)
- **In groups of 5/6**
 - **Write elements of the Investigation Strategy to analyse / investigate the discrepancy at Whoville Post Office**
 - **Group 1** – Objectives of the investigation
 - **Group 2** – Investigative strategy (Overarching)
 - **Supporting strategies**
 - **Group 3** – Evidential review & document management
 - **Group 4** - Disclosure
 - **Group 5** – Financial investigation
 - **Group 6** – Communications (Internal / external)
 - **Group 7** – Partners & stakeholders
 - **15 mins – preparation**
 - **Groups to be prepared to provide 2-3 min back brief**

Summary

- What is an Investigation Strategy?
- Why do we need a Strategy?
- What should it include?
- When do they need to be completed?
- How to create a strategy
- How can you integrate it into you teams?
- Way forward

•**QUESTIONS?**



How can it be integrated into your team?

•Practical Exercise

•In your own teams:

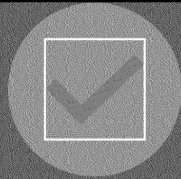
- Network monitoring
- T2/3
- Branch Reconciliation
- Contract Team
- Consider how this could be incorporated into to your current practice.
- **10 mins** - brainstorm session
- Nominated spokesperson to present ideas to the group (**2 min brief**)



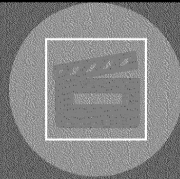
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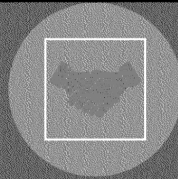
DECISION & ACTION LOGS



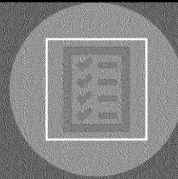
SCOPE



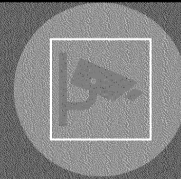
What is a Decision
and Action log?



Why is it necessary?



How TO complete it?



Where is it
recorded?

- **LESSON OBJECTIVES:**

- Understand the necessity and purpose of a D&A log
- Demonstrate how to articulate decisions with supporting rationale and link them to investigative actions
- Understand how to integrate D&A logs in to current investigations / working practice

Key considerations during an investigation

- The key strategic considerations during the investigation phase are:
 - managing material
 - developing hypotheses
 - developing a strategy
 - implementing the strategy.



What is a Decision & Action Log?



Case Ref: Project xxxxxx		Record your decisions and actions on this sheet. Remember to be: Proportionate, Accountable, Consistent, Transparent and Targetted and/or Justified, Authorised, Proportionate, Auditable & Necessary									
No.	Decision Date	What is the decision (Not the action)	Justification and rationale	Name of Decision Maker	No.	Action	Action Owner	Start Date	Target Date	Completed	Comments
D001					A001						
D002					A002						

- **A document to record all of your decisions and actions throughout the investigation**

- **Keys areas:**

- Decision date
- **Decision** (Not the action)
- Justification and rationale for the decision made
- Decision maker
- **Actions**
 - They lead from the decision
 - There can be multiple actions from each decision
 - Start, target and completion dates

Why is the D&A log necessary?

- Record of decisions and actions (Accountable)
- Lawful (Disclosure/CPIA 96 requirements)
- Audit (Assurance / supervision)
- Review (Public inquiry or other proceedings)

To ensure that the decisions are:

- JUSTIFIED
- AUTHORISED
- PROPORTIONATE
- AUDITABLE
- NECESSARY

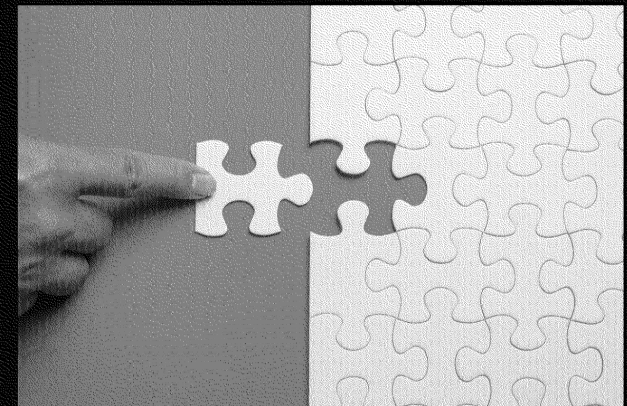


Decision making

- Helicopter approach
- Investigative mindset –
 - ABC (Assume nothing, Believe nothing, Challenge / check everything)
 - Open mind
 - Receptive to alternative suggestions
 - Seek alternative explanations
 - Promotes thoroughness and greater judgement

Golden Hour

Can impact on decision and actions in early stages – data collection, CCTV etc



How to complete the D&A log?



No.	Decision Date	What is the decision (Not the action)	Justification and rationale	Name of Decision Maker	No.	Action	Action Owner	Start Date	Target Date	Completed	Comments
D001	06/05/23	To commence an investigation into the discrepancy at Whoville Post Office	A discrepancy of £9500 has been identified following proactive enquiries from the Network Monitoring Team. It is necessary to establish the root cause of the discrepancy in order to identify what further action may need to be considered. A thorough open and transparent investigation will seek to identify the facts and ensure that the appropriate action is taken.	<u>Joe Bloggs, Head of Network Resolution</u>	A001	John Smith to commence investigation	John Smith	06/06/23	20/06/23		
					A002	Create investigation strategy for approval	John Smith	06/06/23	08/06/23		
D002	06/01/00	Extract Horizon data for analysis	It is necessary, justified and proportionate to recover all relevant and available data in order to conduct a comprehensive review and analysis of the data in order to identify the cause of the discrepancy. It is essential that all data is extracted and saved for future review in accordance with best practice.	John Smith	A003	Extract data from Horizon using NOMAD and save as PDF in secure SharePoint site	John Smith	06/06/23	08/06/23		
					A004	Conduct checks to ensure Horizon data is safe (Known error list)	John Smith	06/06/23	08/06/23		

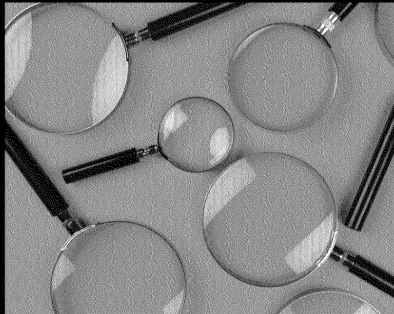
- **Decision**
 - Remember not to confuse with the actions that follow decisions
 - A decision can be changed with new information (New entry - do not delete or overwrite)
 - Can be to not do something – with supporting rationale and justification.
- **Justification**
 - Justification and rationale (JAPAN is a good guide)
- **Decision maker**
 - Person making the decision – doesn't have to make the entry
- **Actions**
 - Task to support the decision
 - Can be multiple actions

Identifying actions

Investigative actions

This is any activity which, if pursued, is likely to establish significant facts, preserve material or lead to the resolution of the investigation. The volume of actions should be proportionate to the type of investigation.

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- **EXPERIENCE** - Investigator should use their knowledge and experience to decide which investigative actions are the most appropriate in the circumstances.

- They should also be aware of the legal and ethical considerations relating to the conduct of any investigative action

- Investigators must prioritise and determine the **proportionality** of the investigative process in accordance with POL policies. (Not the hammer to crack the nut)

- A standard method of developing the elements of the investigative strategy should be adopted



Types of action - examples

- **General trawls for information**

- These can be undertaken in any investigation irrespective of the circumstances of the case, but **usually take place in the early stages** when information about the offence is likely to be vague.

Examples of general trawls include:

- Horizon data
- Branch assurance reports
- Stock Landing
- CFS
- HORice
- NOMAD

- **Tasking other teams**

- Branch assurance – Branch audit
- Contract Advisor – Suspension decision

- **Recover CCTV**

- Grapevine (Time limits)

- **Managing information**

- The investigator should have an effective information management system in place to ensure that all the material gathered by the investigation is recorded, analysed and stored appropriately.
- Taking into account requirements under the Criminal Procedure and investigation Act 1996 (CPIA).
- This will help the investigator to assimilate material about the issue and make effective decisions about how it can be used to progress the investigation.

Practical Exercise



- Groups of 5/6 (Ideally in Depts)
- TASK:
 1. Write 1 entry for the topic provided
 2. Consider how D&A logs can be integrated to your working practice
- Use the following headings only:
 - Decision
 - Justification & Rationale
 - Action
- 15 Mins to complete exercise
- Group be prepared to back brief response (2 mins)

Group 1 – Data extract
 Group 2 – Branch audit
 Group 3 – Contract suspension
 Group 4 – Close case
 Group 5 – Refer to PAST
 Group 6 – Contact Postmaster
 Group 7 – Refer case to CIU



Case Ref: Project XXXXXX		Record your decisions and actions on this sheet. Remember to be: Proportionate, Accountable, Consistent, Transparent and Targetted and/or Justified, Authorised, Proportionate, Auditable & Necessary									
No.	Decision Date	What is the decision (Not the action)	Justification and rationale	Name of Decision Maker	No.	Action	Action Owner	Start Date	Target Date	Completed	Comments
D001					A001						
D002					A002						

Summary & Questions

- Objectives:
- Understand the necessity and purpose for a D&A log in an investigation
- Be able to articulate decisions with supporting rationale and link them to the subsequent investigative actions
- Understand how to integrate D&A logs in to current investigations / working practice

