



Practical Approaches to Handling Investigations

**Bob
Pointer**







Pan Asia Pharmaceutical and Medical Device Conference Congress 2018



The threats

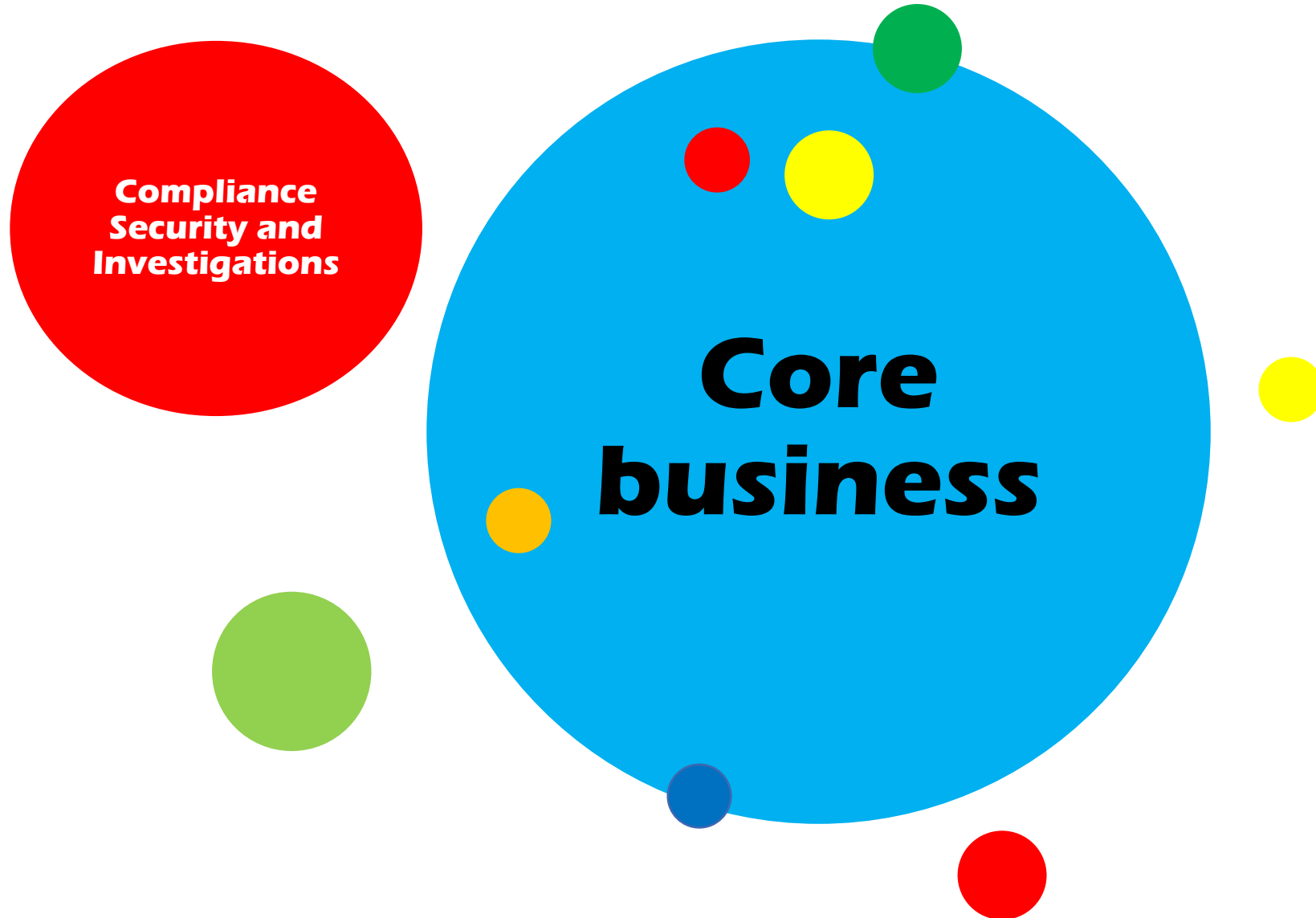


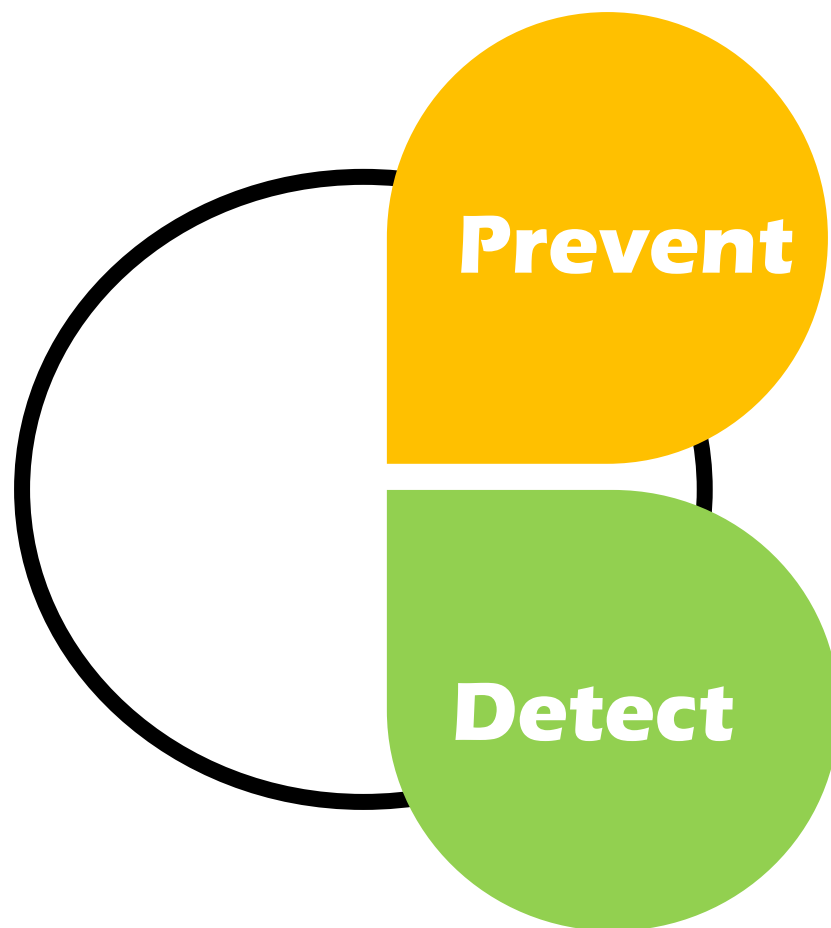
 <p>Consciously competent</p>	 <p>Consciously incompetent</p>
 <p>Unconsciously competent</p>	 <p>Unconsciously incompetent</p>

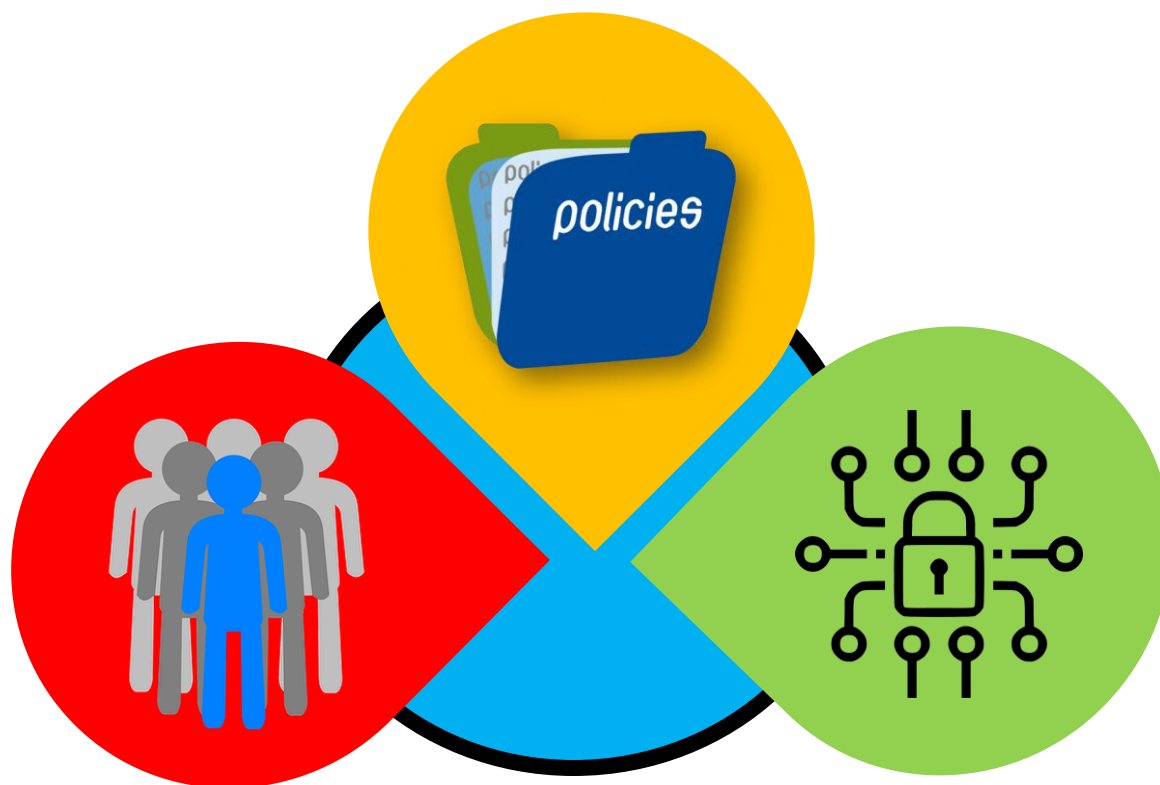
The threats



Different orbits







An effective protective security regime relies on the successful coordination and integration of **physical**, **cyber** and **people** related security measures to keep critical assets secure.

CPNI

Centre for the Protection
of National Infrastructure





Educate why?



Enable how?



Shape the
Environment



Encourage the
action.

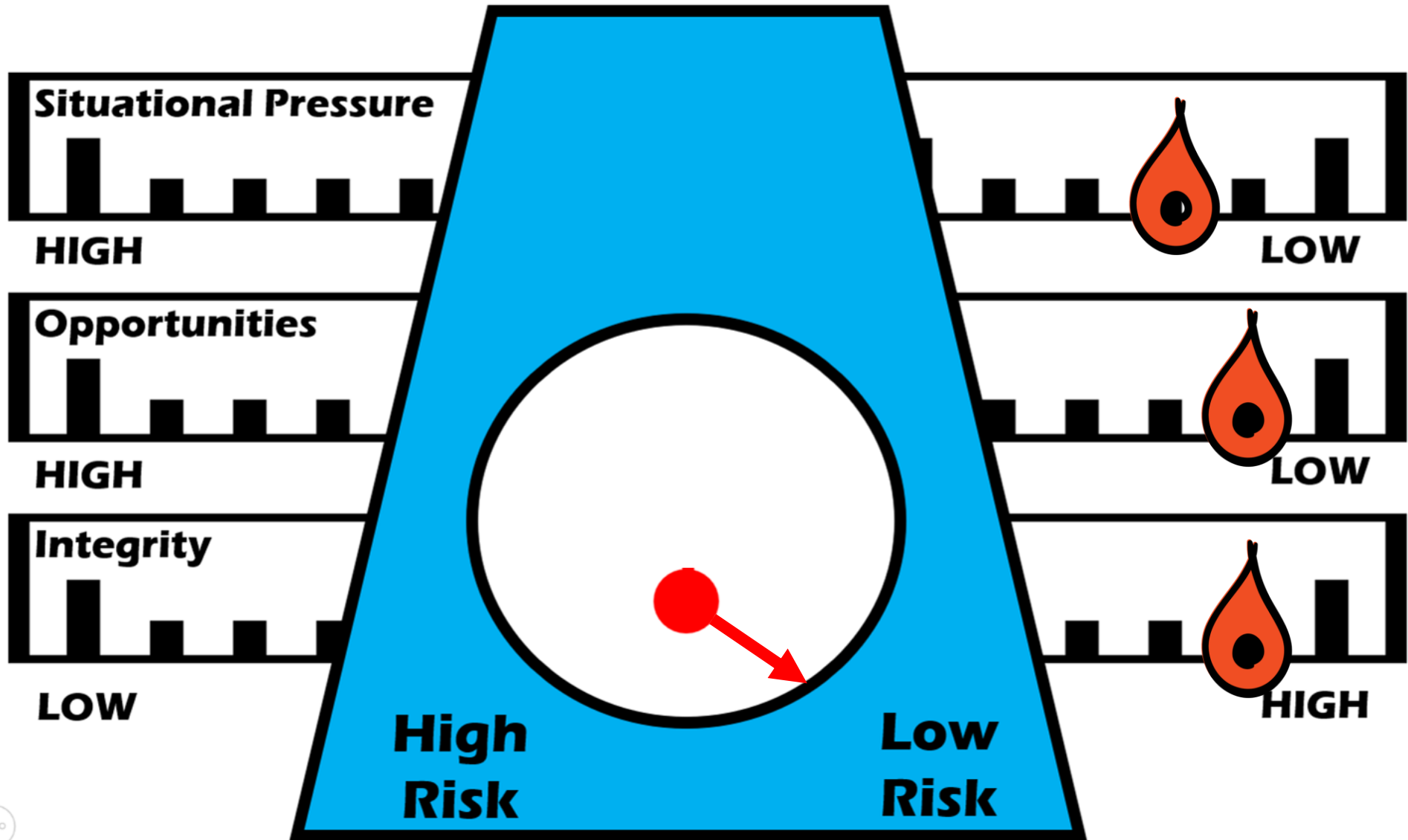


Evaluate the
impact

CPNI

Centre for the Protection
of National Infrastructure

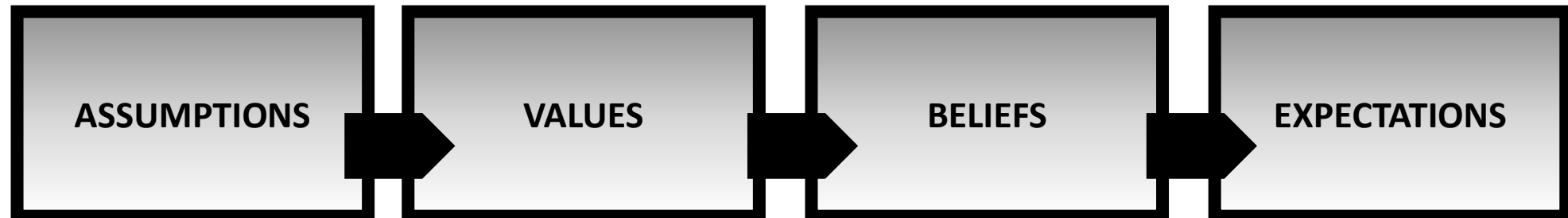




Business culture



The way that things
get done when
no-one is looking



Integrity drift

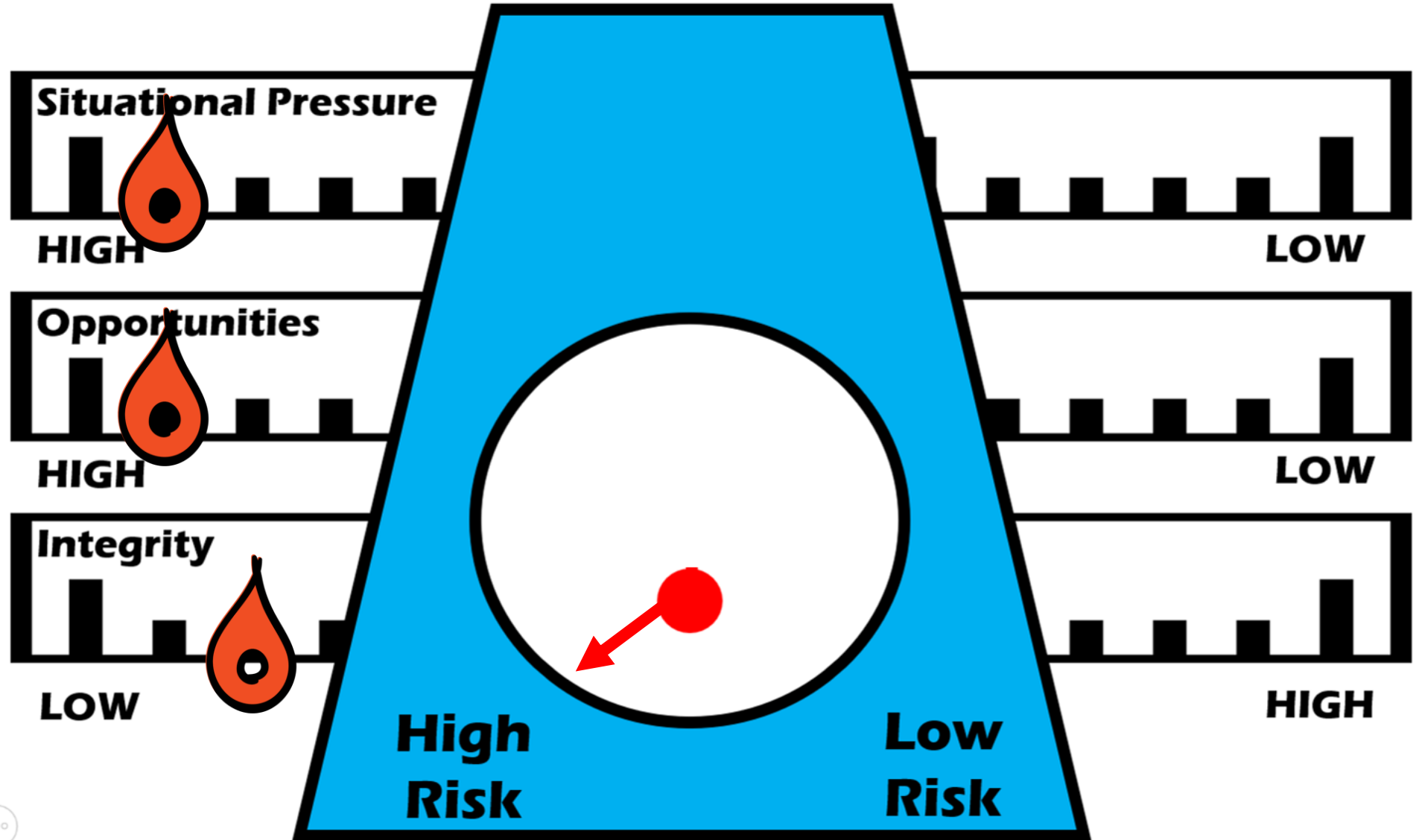
“In a shockingly short amount of time, small cultural compromises can snowball and fundamentally transform the ethos of an organisation.

Leaders of organisations big and small must be aware of the perils of organisational drift and strive to avoid its damaging effects”.

Chris Myers.

Learning From Goldman Sachs: How Organisational Drift Can Transform A Company's Culture.





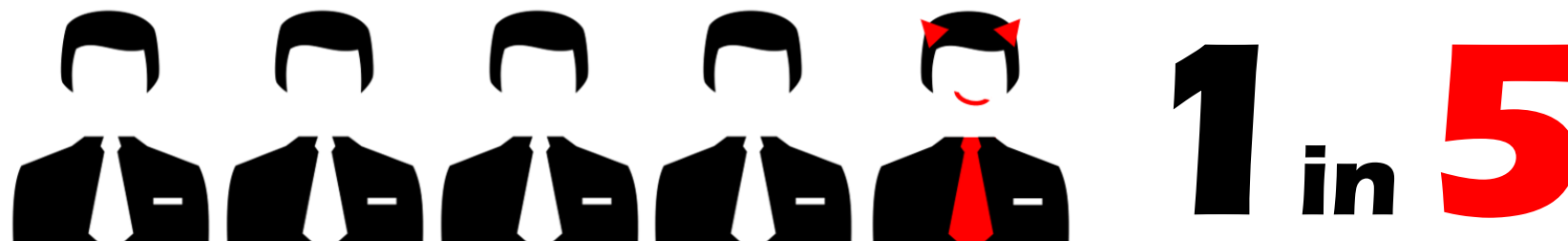
Integrity

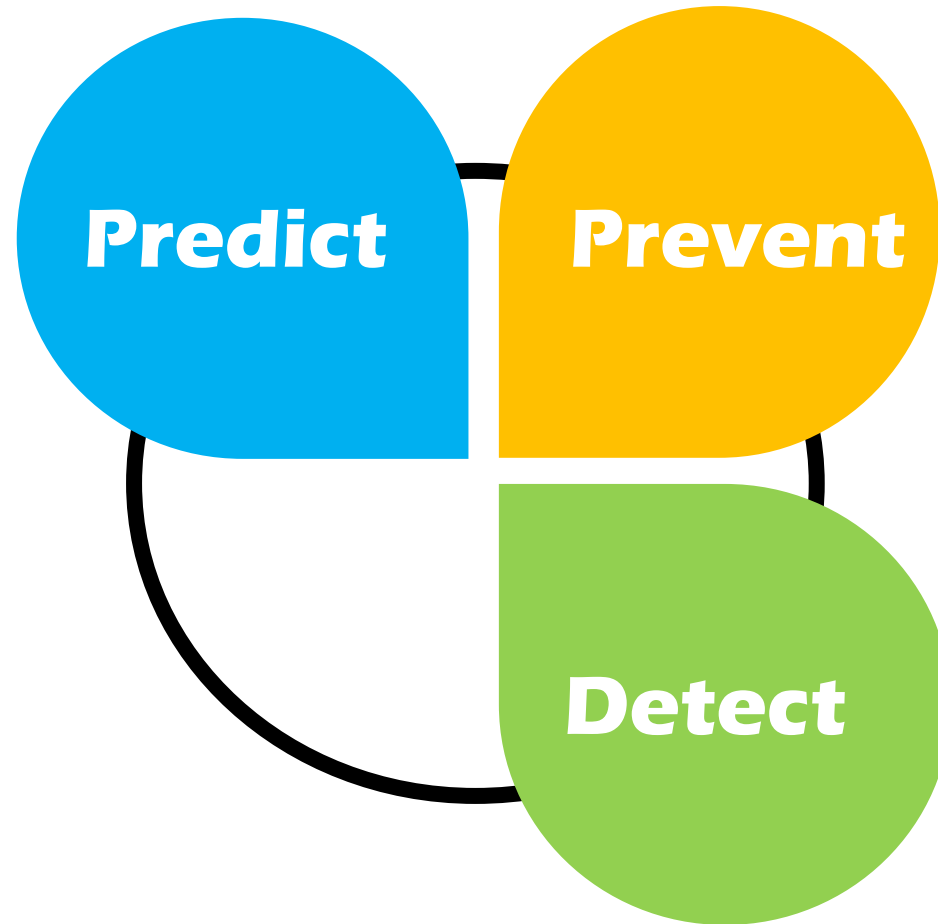
Question – Is unethical behaviour justifiable to achieve a business outcome?

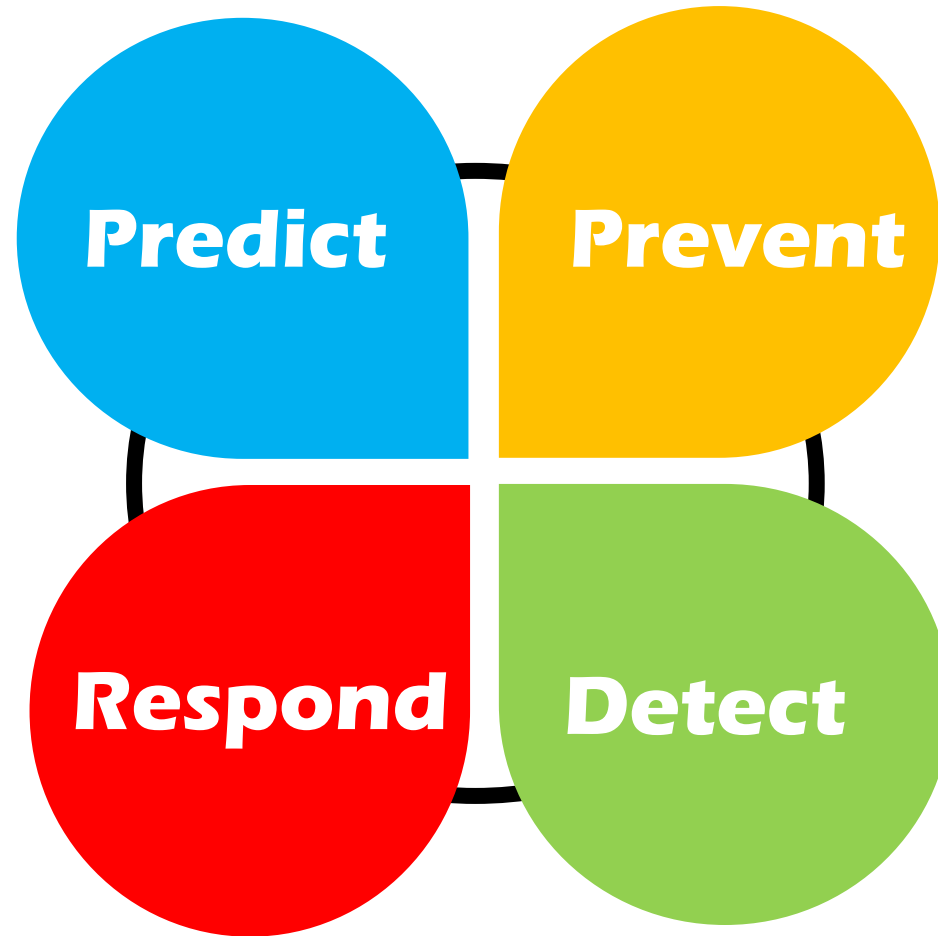
Over 35 years of age.



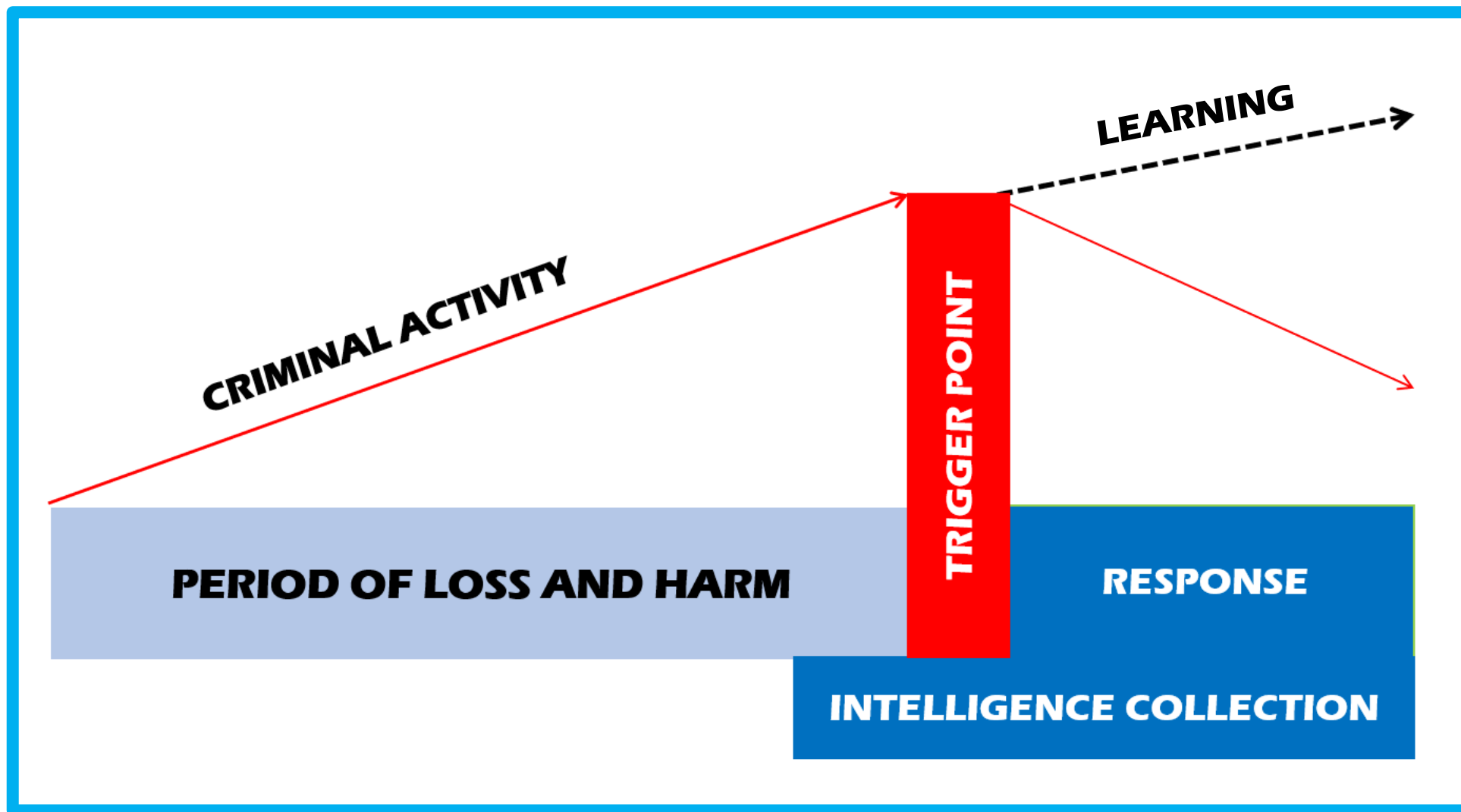
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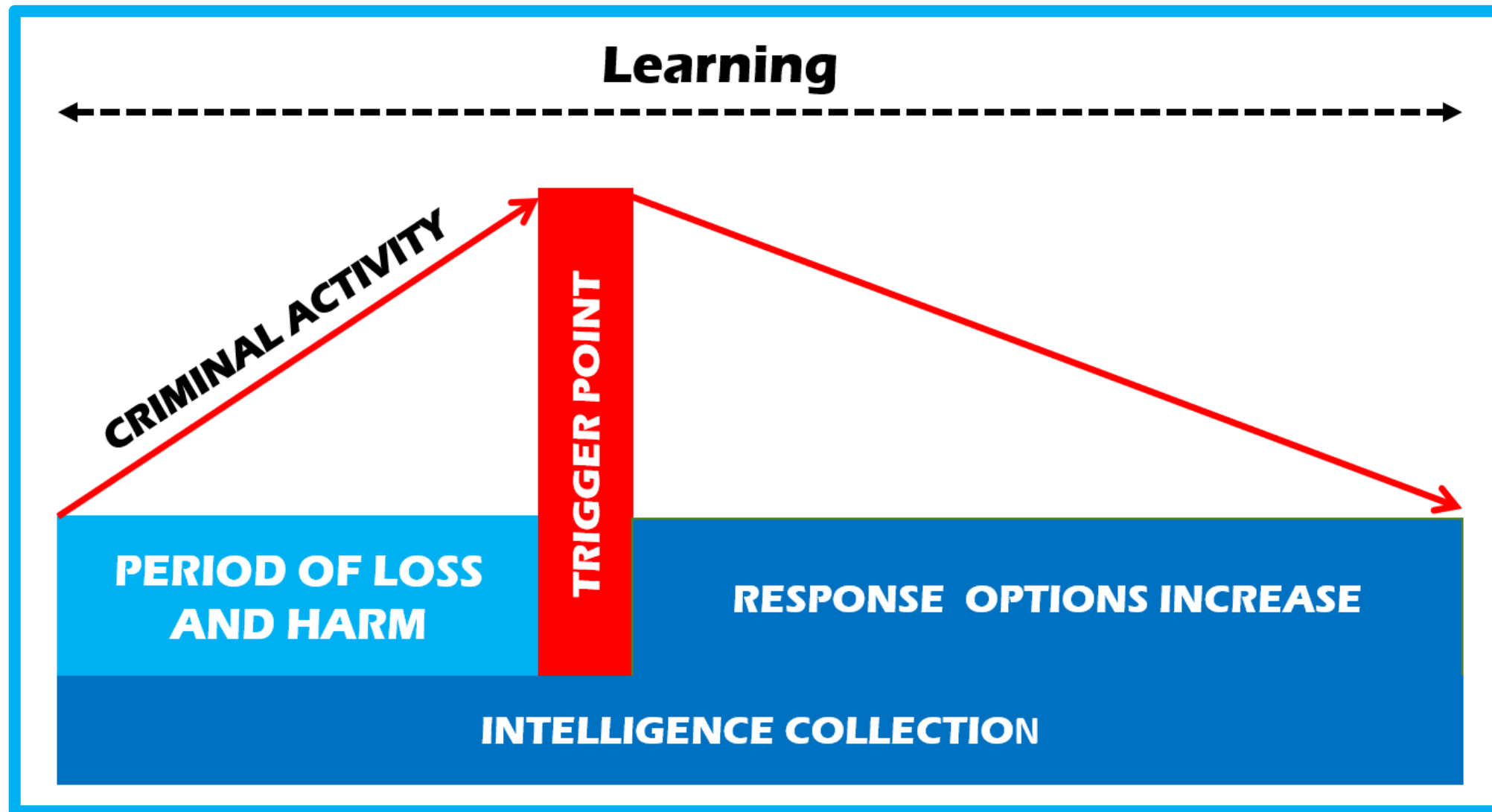




The reactive approach



The pro-active approach





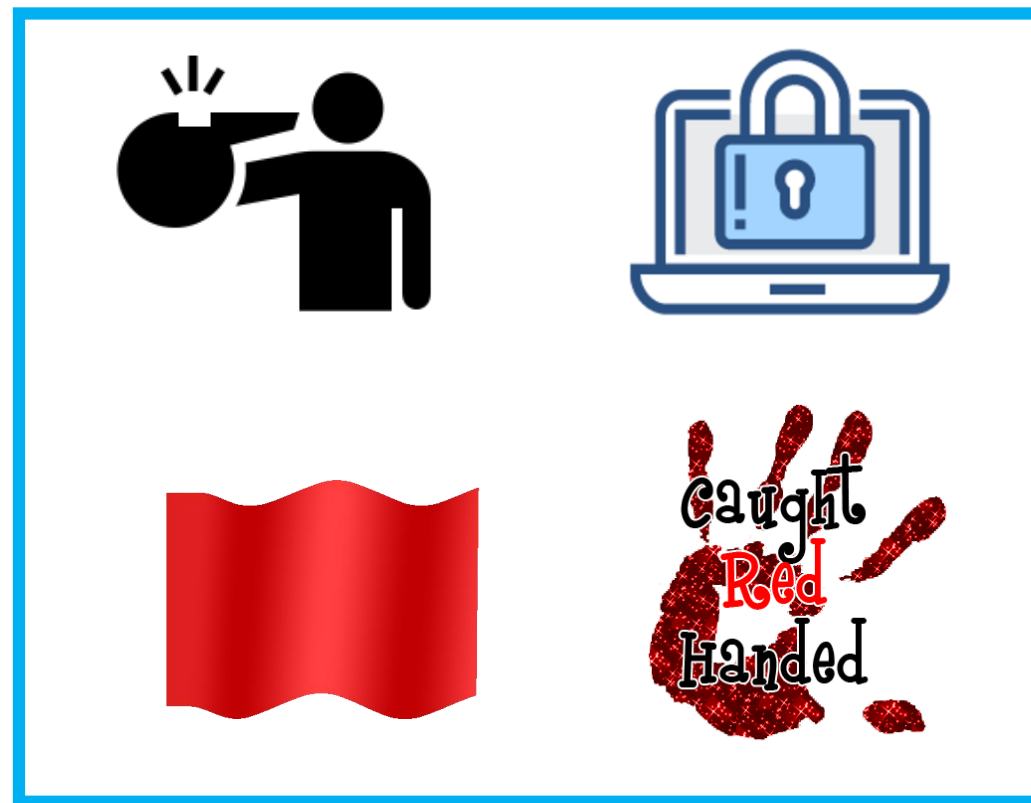
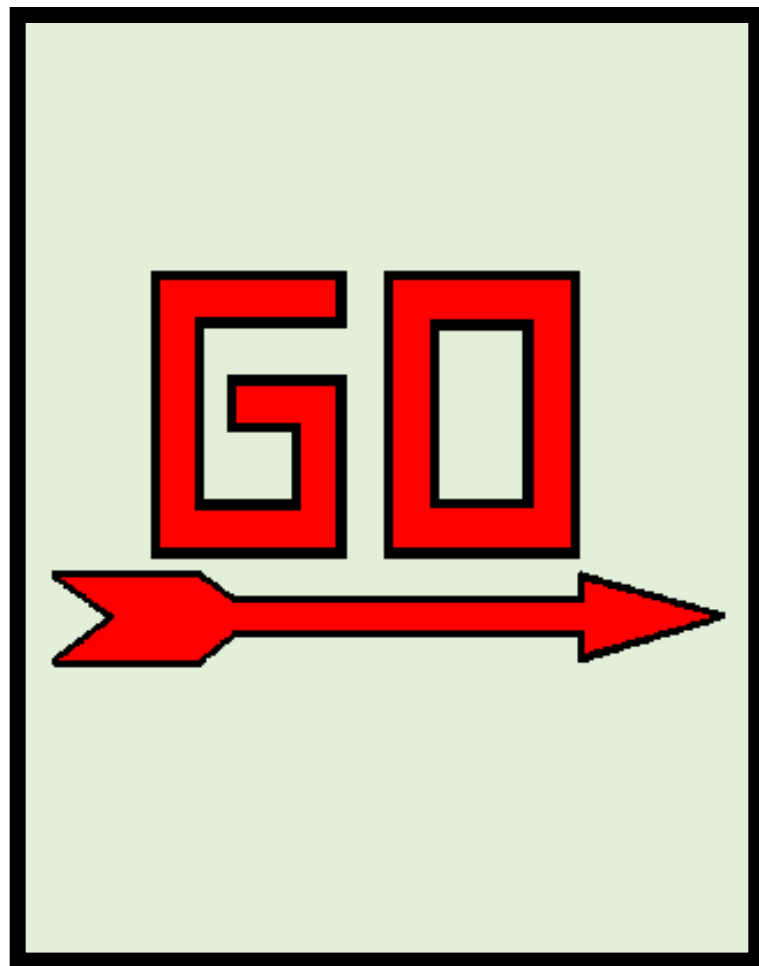
FRAUDOPOLY

GO TO

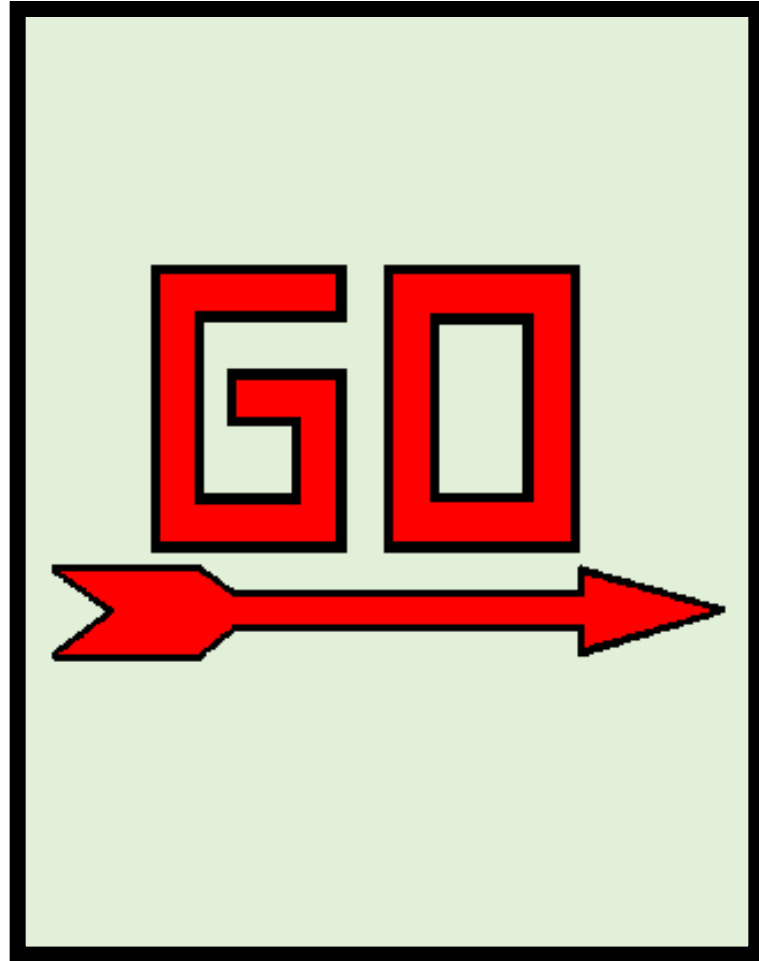


JAIL

Investigation – Step 1

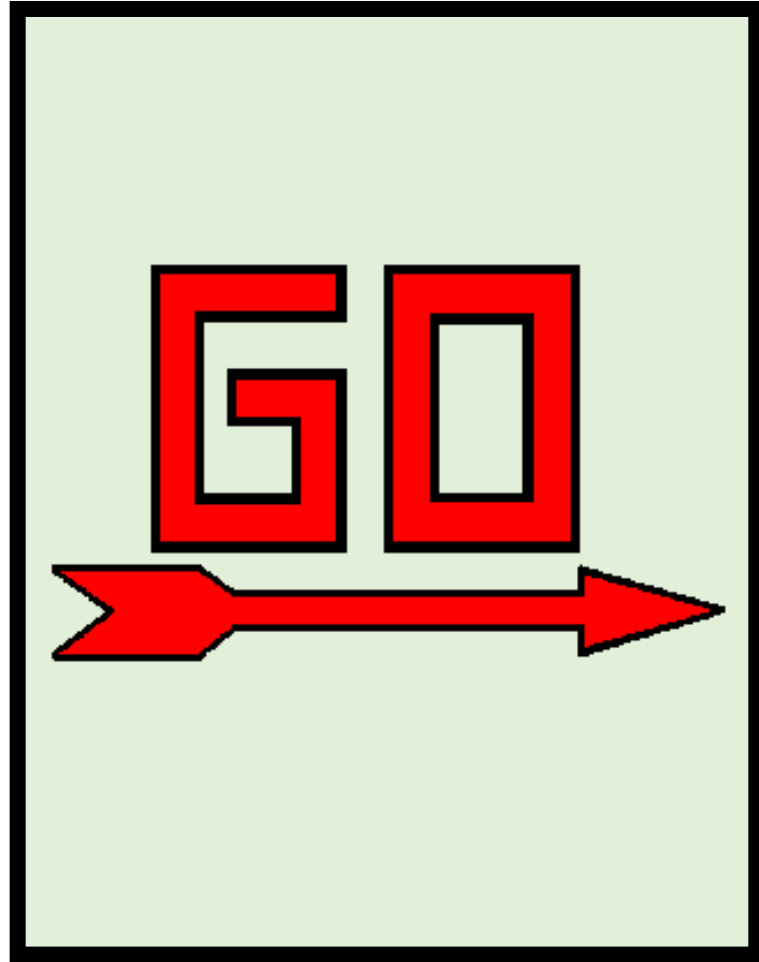


Investigation – Step 1



FRAUDOPOLY

Investigation – Step 1



Square 2 – First line evaluation



Critical decisions

Decisions made in circumstances which present a high level of **risk** and **uncertainty**



The Problem

- Facts
- Information

What is known identifying what is needed

System 1 response

- Feelings
- Hunches
- Instinct
- intuition

Emotional response

System 2 response

- Issues
- Problems
- Difficulties

Rational response

Informed response

- Evidence based
- Verification focused
- Impartial evaluation

Validated decisions

Square 2 – First line evaluation



S		THINK - Don't rush into making a critical decision
L	LOOK	What is the organisational risk and urgency?
A	ASSESS®	What is the information actually telling me?
M		Implement a tactical plan and commence a decision log



Investigation plan -example

Investigation record

Action ☐

Allocated to:

Date issued:

Date completed:

Result

Action ☐

Allocated to:

Date issued:

Date completed:

Result

Interviews

Interview Subject

Aims and objectives

Location:

Date/Time:

Outcome

Interview Subject

Aims and objectives

Location:

Date/Time:

Outcome

A primary source of information will be from the recollection of individuals who have seen, heard or otherwise perceived relevant events.

There are many different ways in which the accounts of different individuals may be relevant to your investigation. When recording the account, it is critical that you capture that person's own uncontaminated account.

How you record a person's account will depend on the circumstances of the person and the evidence they can provide. The prime consideration is to ensure the integrity of the recorded account.

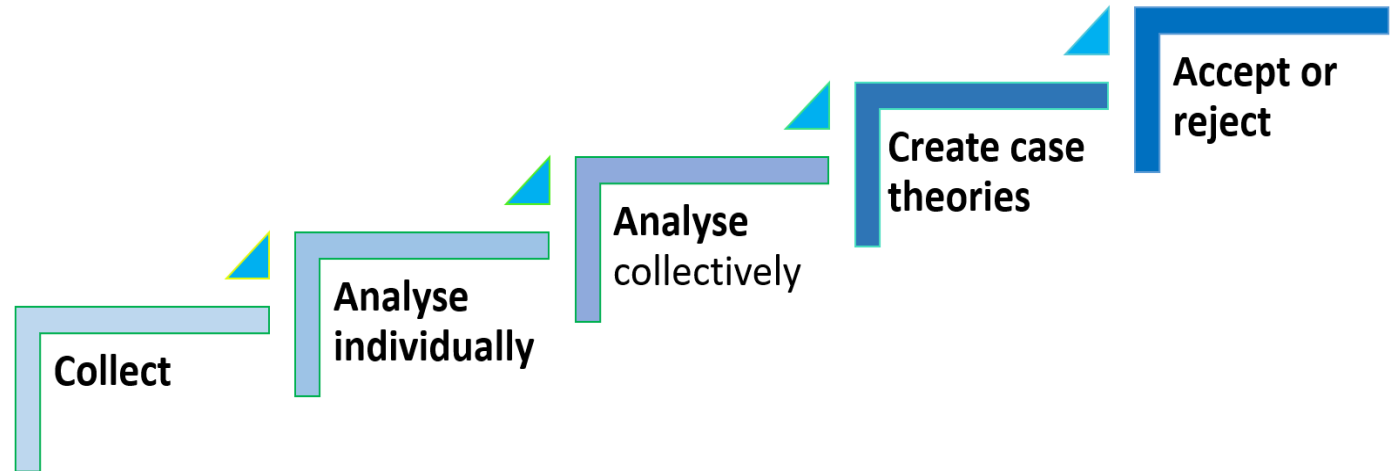
Electronically recorded interviews provide greater assurance as to the integrity of the account, but can be unwieldy and awkward to manage over the length of a protracted investigation process.

The undertaking of interviews both formal and informal should be part of an overarching strategic plan. All interviews should be planned and tactical working to identified aims and objectives.

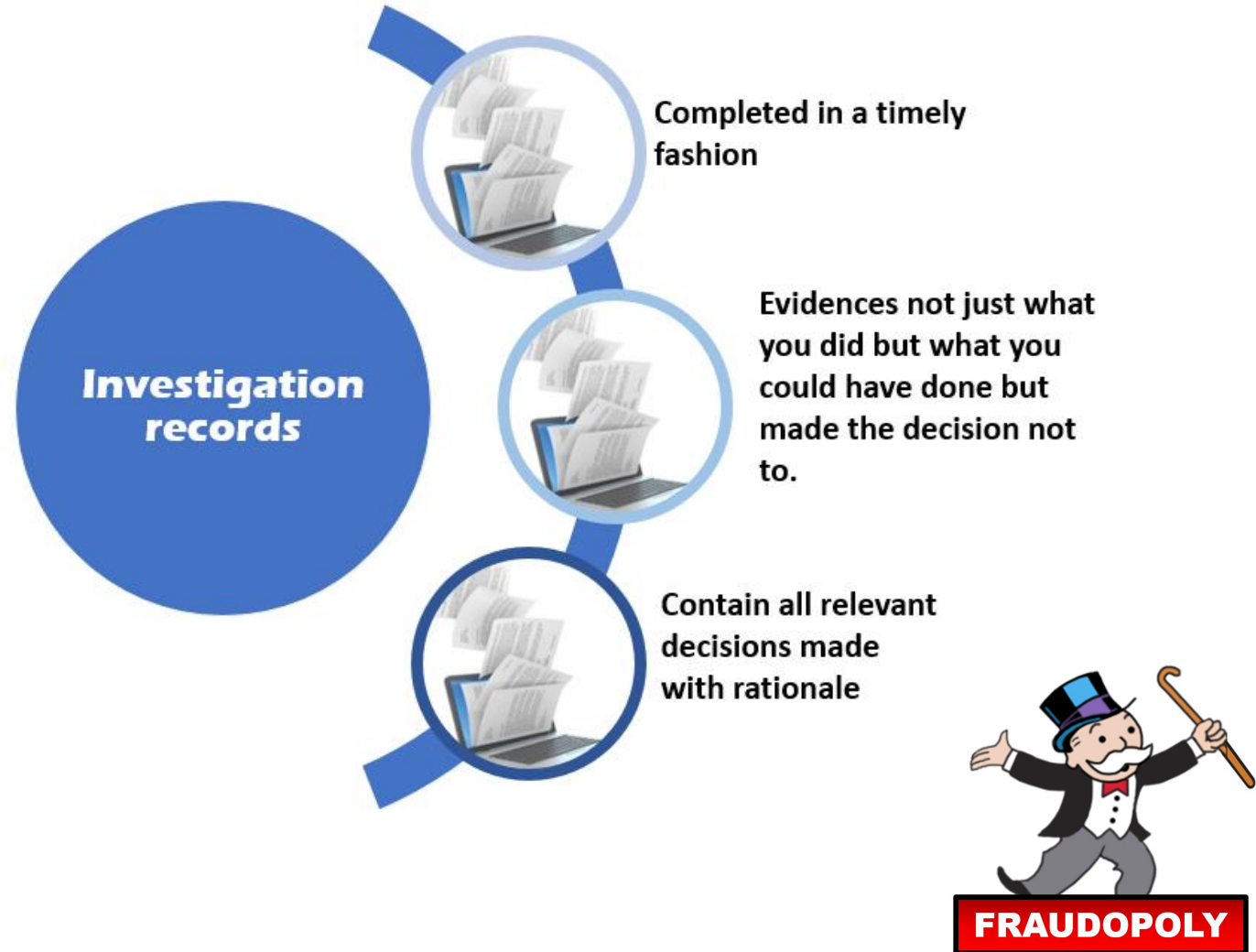


FRAUDOPOLY

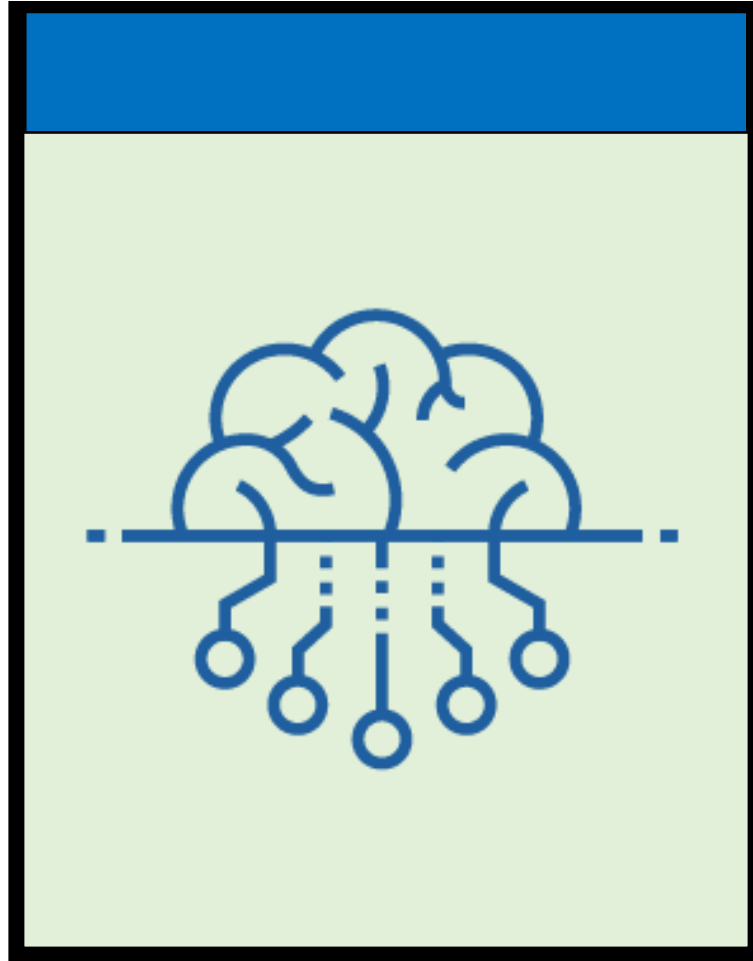
Square 3/4 – Collect and Analysis



Square 3/4 – Collect and Analysis



Square 5 – Predication



An Informed position

What do
we now
know?

What do
we know
believe?

What is
still
unknown?



FRAUDOPOLY

Time for
a Break

