



# STRATEGIC INVESTIGATION PLAN

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# Instigation

Issue as reported:

Date and time received;

Source of referral:

*Include all relevant references*

Summary of referral:

Initial assessment:

Investigator assigned:

Case Manager

Signed

Information that triggers an investigation may come from a variety of sources both from within and outside an organisation.

Regardless of how the information comes into possession, or the form that it takes, it should be closely analysed and evaluated.

This will involve identifying what is fact and what is suspicion, opinion, exaggeration (coloured perspective?). Also consider if the complaint could be malicious.

Information from an anonymous source can be investigated and should be treated with the same degree of professional curiosity as all other information.

In all instances the following questions should be considered.

- Is a fact-finding investigation appropriate?
- Do I have enough information based on the source to conduct an investigation?
- Can I find information elsewhere? „
- Is it a significant issue for the organisation?

# People

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Complainant(s) or victim(s):

*Include all details known*

Person(s) subject of referral:

Other involved parties or agencies:

All investigations will have an initiator. This may be the individual to whom some harm or loss has been caused - hereafter referred to as the victim – or an individual who is not a victim but brings the harm or loss to the attention of the organisation – hereafter referred to as the complainant.

The individual/s identified as being instrumental in the reported complaint will be hereafter referred to as the person subject of enquiry.

Care should be given in relation to the classification of an individual as subject of enquiry. In instances where there is doubt - for instances in cases of cross allegation – It should be clearly recorded that all involved parties hold the status of subject of enquiry until such time that information has been collected.

All known details of the victim/s/witness/es and subject/s should be recorded.

The base level of information to be obtained is;

- Full name
- Date of Birth
- Sex
- Address
- Role and department
- Date of birth
- Contact information

In cases where identity is not known the following details should be recorded;

- Age
- Sex
- Ethnicity
- Height
- Build
- Hair colour
- Distinguishing features

# Risk

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Organisational;

Individual:

Stakeholders

Appropriate risk management strategies help provide an understanding of the threats such episodes represent and provide the basis for formulating strategies to mitigate them.

The risk management assists in identifying identifying risks, assessing their impact, and prioritising actions to control and reduce risks;

- Identify the risk/s
- Understand the risk
- Develop the response
- Implement the response
- Monitor controls
- Review and refine

Once potential risks have been identified, response strategies to can be formulated. Response strategies generally fit within the following categories;

- Risk retention (e.g. choosing to accept small risks)
- Risk avoidance (e.g. Restricting or stopping certain actions or activities to avoid the risk to occurring)
- Risk reduction (e.g. the implementation of controls and procedures)
- Risk transfer (e.g. contractual transfer of risk; transferring risks to insurers).

Before strategies are developed, it is necessary to establish the risk appetite of the organisation. Risk appetite is the level of risk that the organisation is prepared to accept and this should be determined at a senior level. The appetite for risk will influence the strategies to be developed for managing risk. It is worth noting that an organisations appetite may vary for different types of risk and over time.

# Confidentiality

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Is confidentiality an issue? Yes  No

If yes provide details of concerns

Provide details of how confidentiality issues will be managed.

Early consideration should be given as to whether the identity of any person/s who provided information or are subject of enquiry should be kept confidential.

In any case, unless a requirement of regulation or law, do not release any information that might reveal, or tend to reveal, the identity of any individual who should reasonably expect or has requested anonymity

Failing to consider an appropriate disclosure methodology could have detrimental effects on those who provide information and may reduce the trust that people have in the process

All individuals who provide information and seek protection, should be informed of the level of security they could reasonably expect from the organisation.

Even if an individual consents to his or her identity being revealed, disclose of personal identity details should only be made available when it is necessary to do so. This will help protect the integrity of the enquiry, protect the individual, and contribute to a general understanding within the workplace of how those who provide information are treated.

# Verification

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Action

Allocated to:

Date issued:

Date completed:

Result

Action

Allocated to:

Date issued:

Date completed:

Result

The verification stage allows for the collection, preservation and securing of basic evidence but only to the extent of providing the Case manager the opportunity to effectively determine whether an investigation is warranted.

It is important that case managers have sufficient information available to assess the complaint or incident and determine what level of investigation will be required.

Not all complaints or incidents will require formal investigation. For example, workplace complainants may better be resolved at an informal level by supervisors or managers, or through a process such as a grievance handling process, without the need for a formal enquiry.

The verification or pre-investigation stage of the process helps determine and evidence the need for the investigation.

# Predication

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Investigation to be undertaken:

Yes     No

Aims and objectives of investigation

Rationale for decision

Investigation parameters

The decision on whether an investigation should be pursued are made in accordance with the rules, policies and procedures of the Organisation and jurisdictional laws and procedures.

The outcome of the verification process will be either:

1. Case closure – No further action  
Because of insufficient evidence, or for other reasons, an investigation is not warranted.
2. If an investigation is deemed appropriate an investigator should be appointed and the scope and parameters of the enquiry set. All enquiries should be undertaken in order to objectively determine the factual basis, or otherwise, of the allegation(s) and the full and detailed rationale for enquiry should be identified and recorded.

When making decisions regarding the course of action to be followed the following should be borne in mind.

1. The allegation falls within the organisational investigative terms of reference;
2. There is sufficient available information to suggest that the allegation appears to be credible;
3. In all of the circumstances an investigation appears to be warranted

Investigations should commence at the earliest possible time following assignment; however they should be individually assessed within the context of the workload at that time, prioritised and pursued accordingly.



# Investigation record

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Action

Allocated to:

Date issued:

Date completed:

Result

Action

Allocated to:

Date issued:

Date completed:

Result

# Interviews

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Interview Subject

Aims and objectives

Location:

Date/Time:

Outcome

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Interview Subject

Aims and objectives

Location:

Date/Time:

Outcome

The 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 individuals may be relevant to an enquiry. When recording an account, it is critical to capture that person's own uncontaminated account.

How a person's account is recorded will depend on the circumstances of the person and the evidence they can provide. The prime consideration must always be the integrity of the recorded account.

Electronically recorded interviews provide greater assurance 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.

# Subject of interest Interviews

Interview Subject

Location:

Date/Time:

Interviewers:

Method of recording:

Audio  Audio/visual  Notes  First account

Legal/ procedural considerations.

Interview plan completed

Outcome.

Further interview required Yes  No

It should always be born in mind that being interviewed as a subject of enquiry, no matter the nature or severity of the enquiry, will cause an amount of stress and discomfort.

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The process should be conducted in a manner which can be seen to be open, ethical and fair.

However, it should always be born in mind that the aim of the interview is to obtain the individuals perception of the matter subject of enquiry and to test the information known.

The timing of interviews, method of notification and location should all be considered strategically in terms of the enquiry as a whole.

All interviews should be planned and have clear aims and objectives. The plan made should be retained with all other documents collected during the course of the investigation

# Evidence Management

Where will documents and exhibits be stored?

How will documents and exhibits be identified / recorded?

Details of dedicated exhibits manager:

Details of disclosure manager (if different to above)

Location of document/exhibit storage facility

Other

All documents and other tangible articles including audio and electronic documents, devices and drives must be logged and preserved in their original state regardless of the level of investigation.

All items should be given an identifier in the following terms;

- Case reference number
- Initials of the person finding or presenting the item

Where possible items should be kept in sealed bags, envelopes or boxes specifically designed for the purpose and kept in a locked and secure location to preserve integrity.

A log should be kept in which all movements of the items are recorded.

# Costs and budgets

## Investigation costs

No of Investigators		Travel and general expense	
Estimated timespan		Legal services	
Translation		Transcription	
Administration		Forensic services	
Covert activity		Other(Specify)	
		Total expenditure	

# Timetable

Interviews completed.

Day	Month	Year

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Evidence gathering completed.

Day	Month	Year

Investigation report submitted

Day	Month	Year

Signed case officer:

Signed Case manager:

Signed case officer:

Signed Case manager:

Signed case officer:

Signed Case manager:

Outcome.