

Case Planning

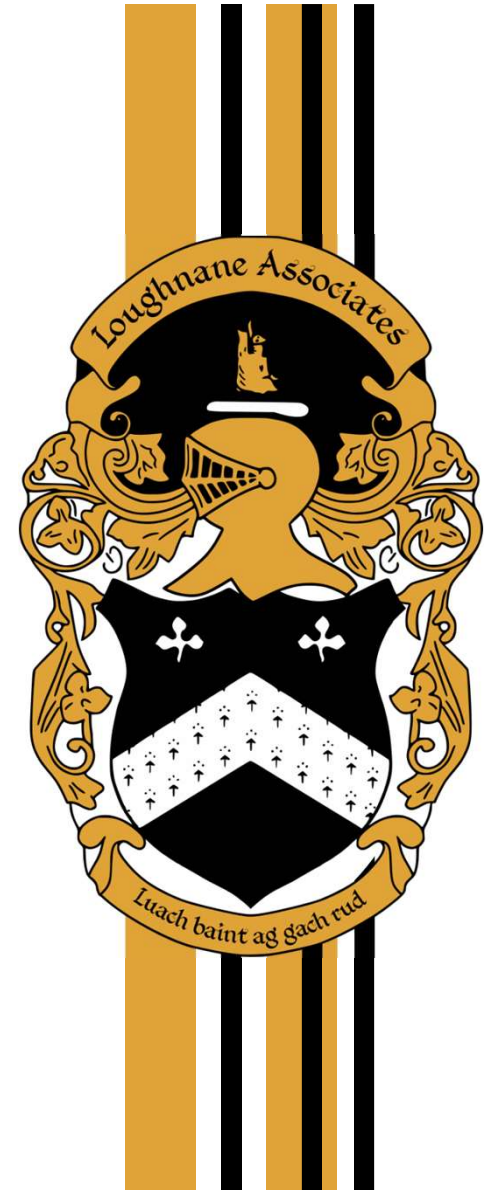
“Begin with the end in mind”



Loughnane Associates LLC
Value Touches Everything



Huxley Orion



Agenda

- Begin with the End in Mind:
 - Why are we here?
 - The importance of case planning
- Critical thinking in case planning
- Violation mapping
- Work your case plan
- Managing expectations



The Value of Case Planning: You Will Be Scrutinized

Planning Must Consider:

- ✓ An investigative plan says what you plan to do
- ✓ Investigate within guidelines, policy, procedure, law
- ✓ Management reviews
- ✓ Management approved
- ✓ Ability to update and revise
- ✓ And therefore, also protects YOU



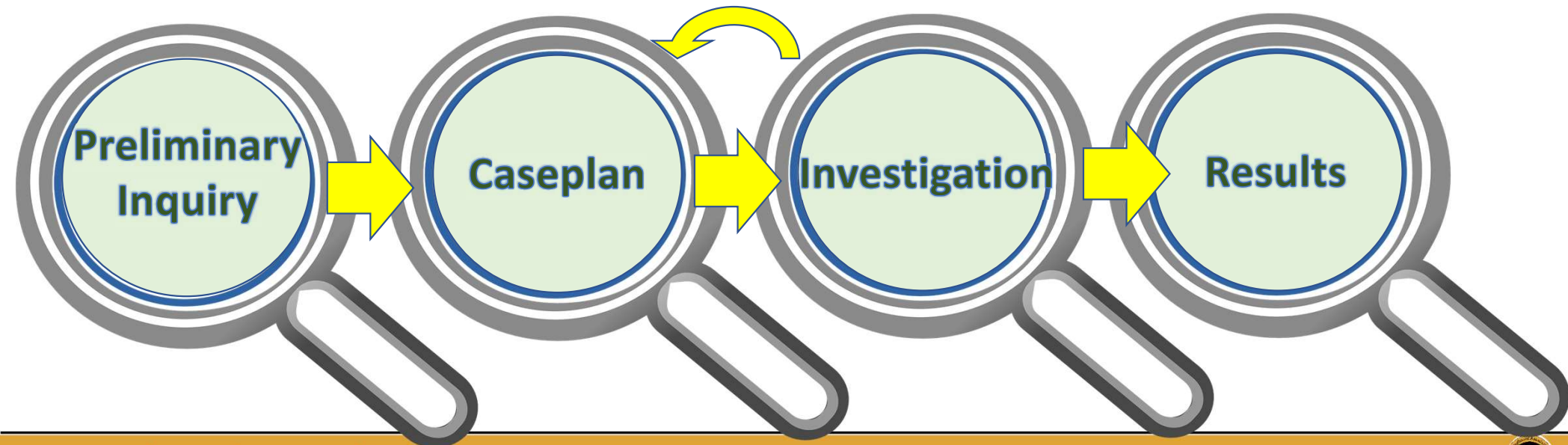
Expectations Drive Case Planning

- ✓ **Predication/referral (a reactive process)**
- ✓ **Investigation status reviewed/revised**
- ✓ **Determine relevant documentation**
- ✓ **Contemporaneous notes retention**
- ✓ **Methods to use and resources needed**
- ✓ **Exculpatory information documented**
- ✓ **Moving forward to resolve the allegation**



Case Planning Drives the Process

- Structured approach
- Flexible and subject to change
- Comprehensive and thorough
- Clear purpose and intent
- “Expeditious”
- “Management simple”
- Review



Planning Considerations

More than the “Regular Suspects:”

Who
What
When
Where
Why
How

Must also consider:

Case value? time it takes?

Seriousness/impact(s) - Primary
Secondary
Tertiary

Resource needs and costs?

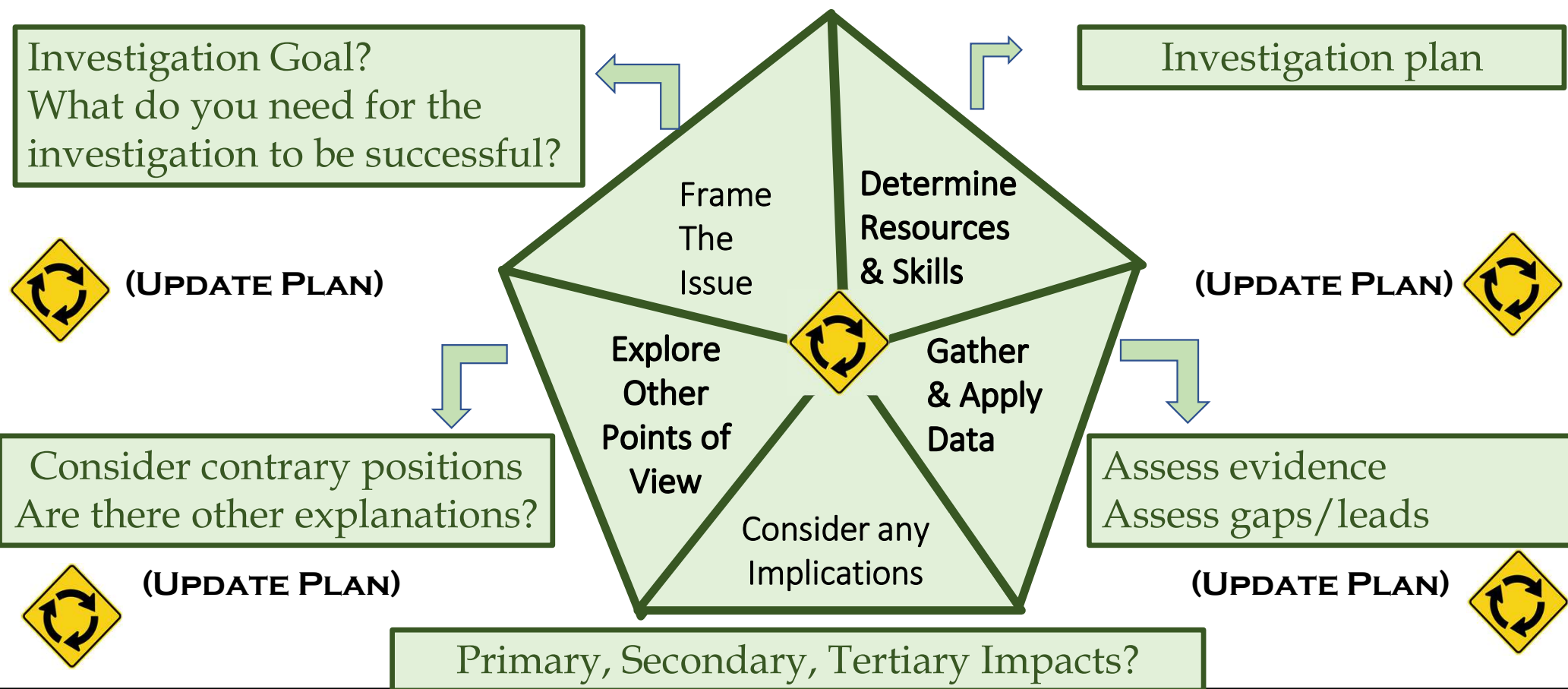
Understandability - Supervisor
Prosecutor
Action official

Ability to resolve- evidence?

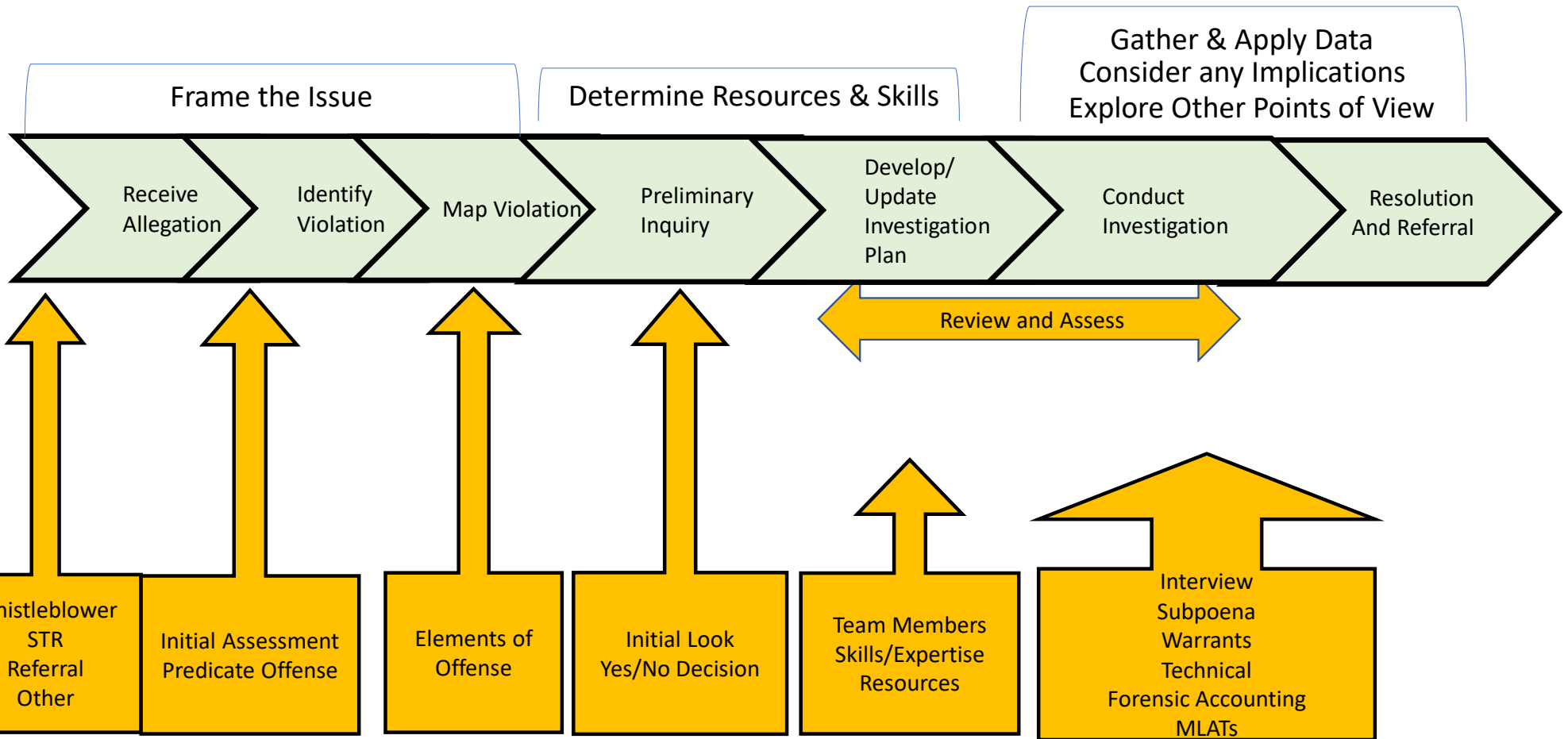
Other options - Civil
Administrative
No action

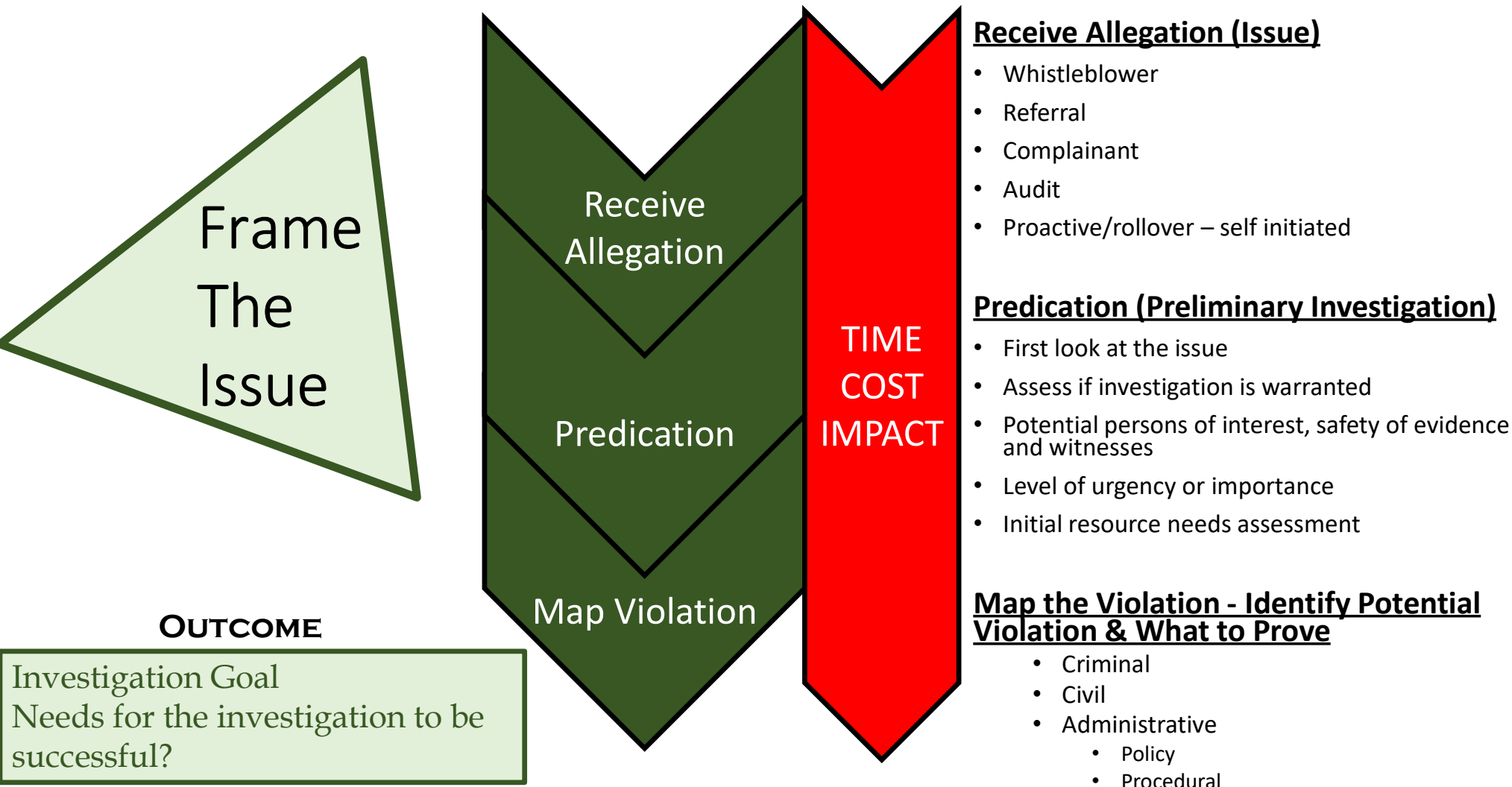


Apply critical thinking to Case Planning



Critical Thinking as a part of Case Flow

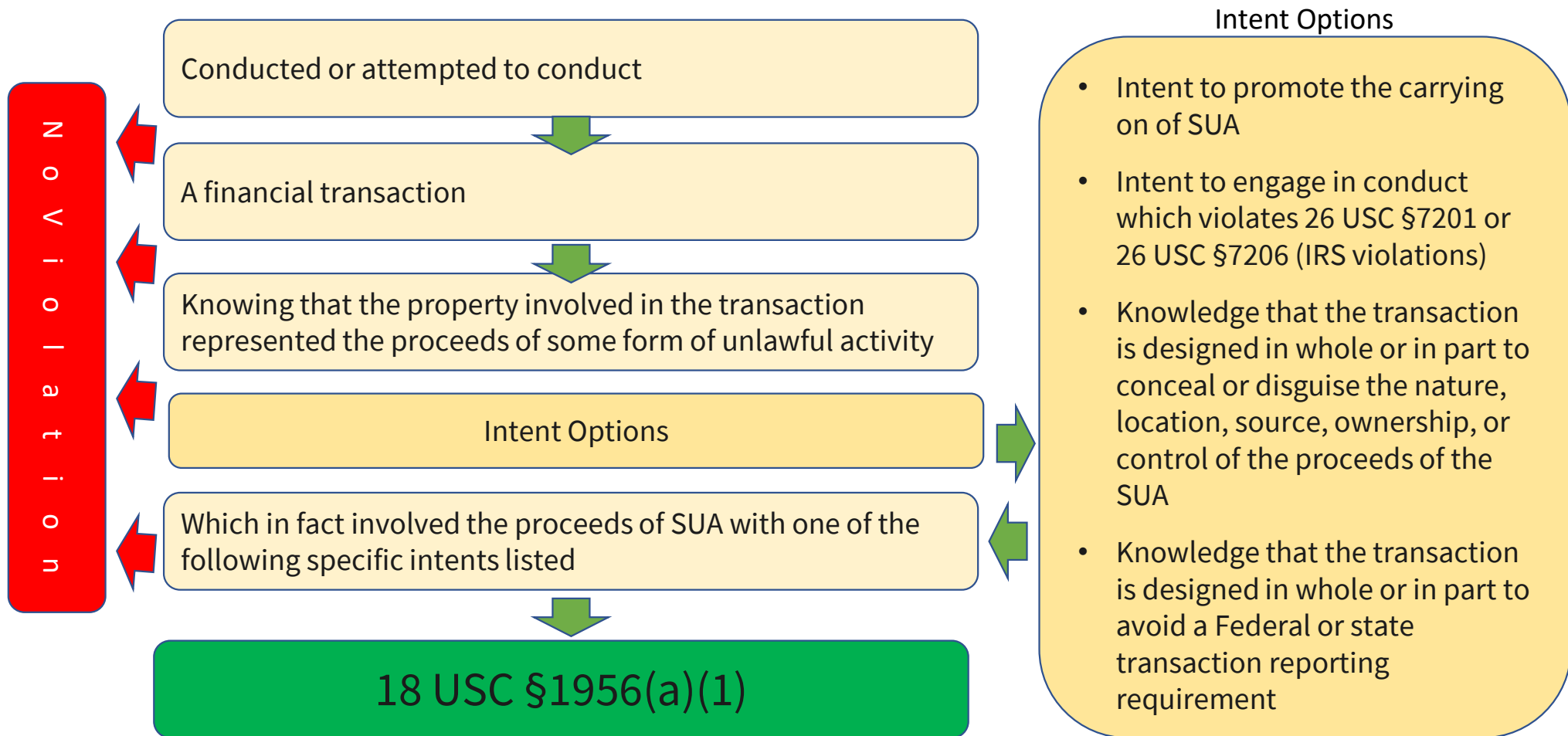




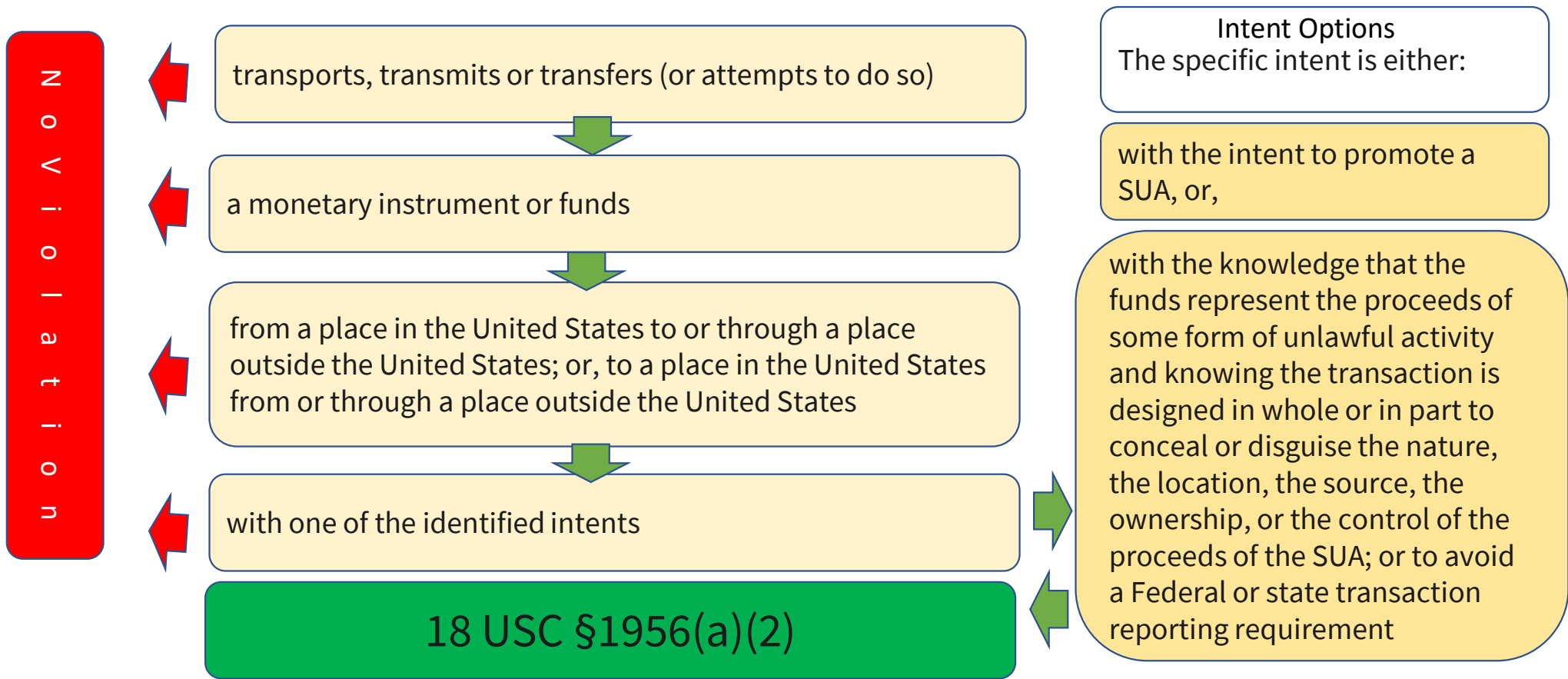
	Description	Date	Approval/Date
Subject Information	<p>Subject 1: PETER STRATOUDAKIS Owner President, GALLERY ANTIQUES DOB: 01/01/1981 SSN: 123-45-6789</p> <p>Subject 2: GALLERY ANTIQUES 555 West 57th Street, New York, New York</p>		
Criminal History Check	Negative		
Issue Proposed for Investigation	Information from a confidential source indicates a possible money laundering operation through an antiques business in New York		
Source of Information	CS-999		
Potential Violation (Jurisdiction)	Money Laundering		
Lead Investigator	SA William B. Smart		
Preliminary Investigation Initiation Approved			



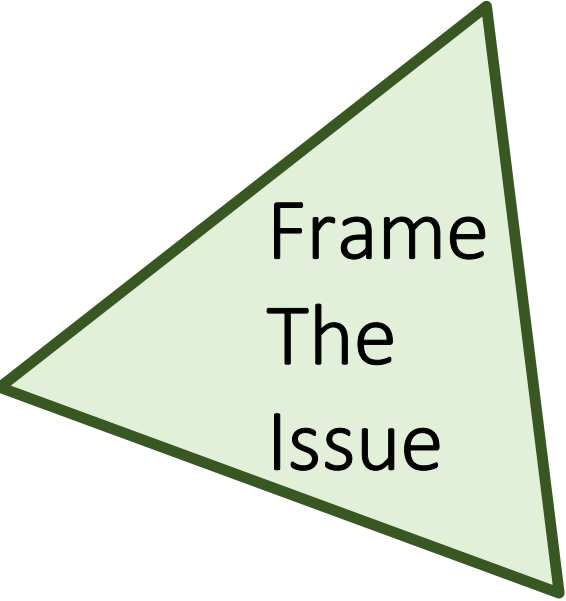
18 USC §1956(a)(1) Case Planning Elements:



Title 18 USC §1956(a)(2), International Transportation of Monetary Instruments or Funds



Additional Planning Questions to Consider



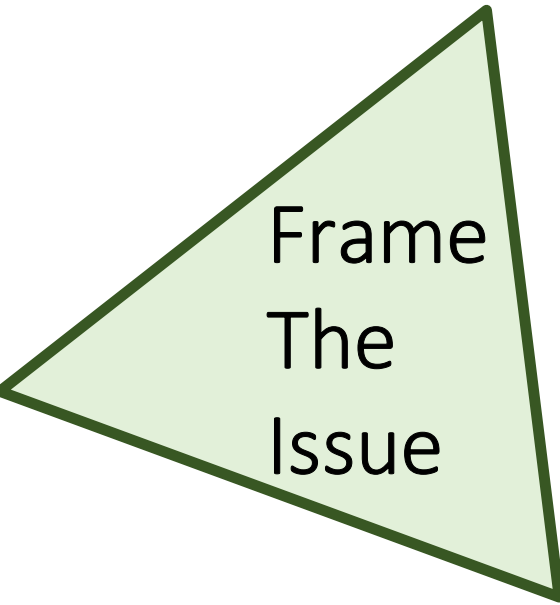
Frame
The
Issue

- Subject prior history (crim. checks, admin. records)
- What is the current status of the activity?
- When did the activity start?
- Does it appear as an intentional act?
- Is the activity an internal business or external issue?
- If it has, when has the activity Stopped?

Is it a possible criminal action? Civil? Policy violation?



Assess Risks to Investigation



Frame
The
Issue

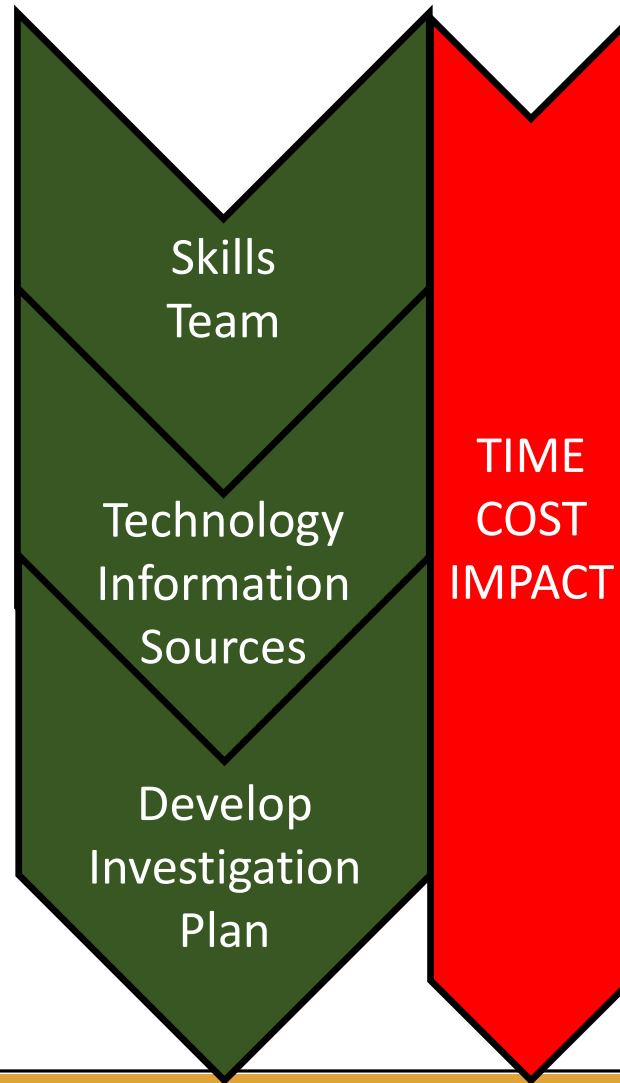
- Seriousness of issue
- Flight risk?
- Compromise of security/sensitive information
- Impediments and delays
- Lack of cooperation
- International coordination complications
- Fear of reprisals
- Destruction of evidence

Are Mitigative Actions Required?



Preliminary Inquiry Steps	Description	Date Planned	Date Completed	Results
Preliminary Investigation	Conduct initial examination of allegation			Initial assessment completed
1. Interview	HSBC Investigations			Report Filed
2. Documents	Review available documentation			Review FinCEN report and forms
Summarize Preliminary Findings	In the Laboratory, prepare a summary of initial review of documents, data and interviews from Laboratories 1 and 2			
Recommendation to convert to full investigation	Possible violation: 18 USC 1001, False Statement	Submitted Date	Approved Date	Recommendation: Move to full investigation. (Do you have the information

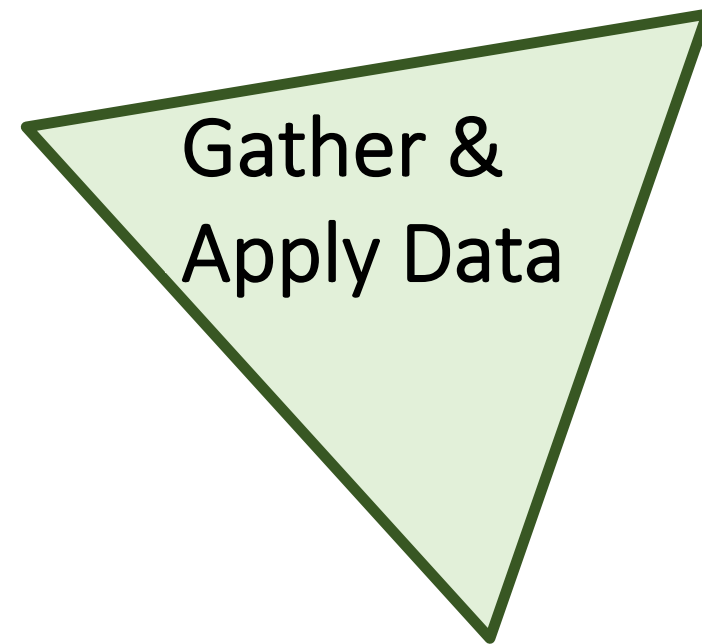
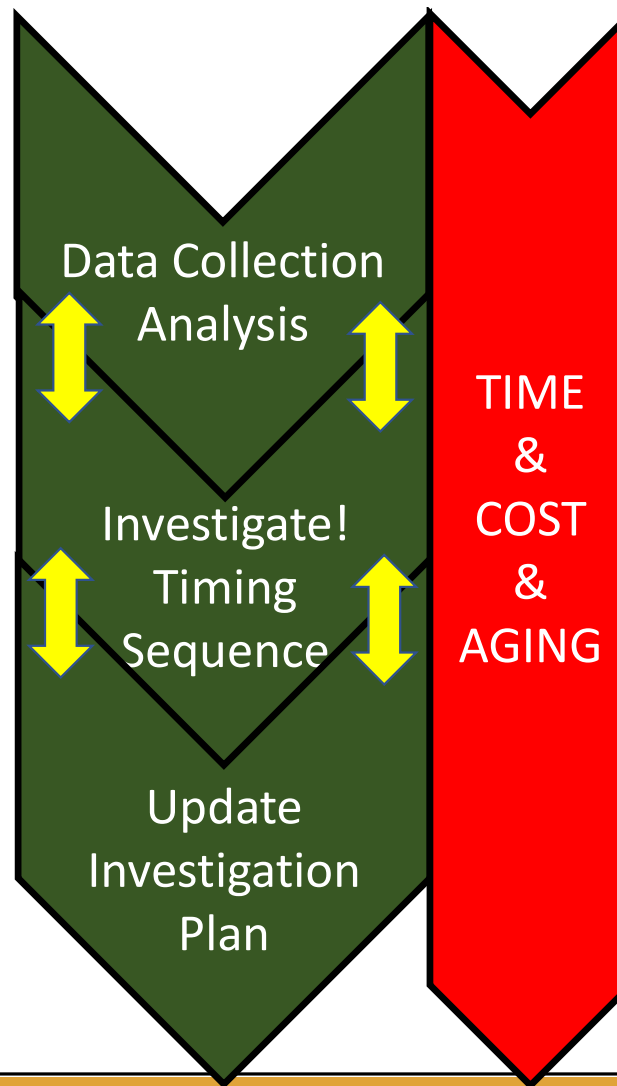




- What skill sets and capabilities are necessary to move the case forward?
- Which tools are necessary?
- Which investigative powers are necessary?
- How will you organize and execute your investigation?



- Data collection
- Covert vs. overt
- Use of tools
- Use of techniques
- Subpoenas
- Warrants
- Interview
- Testimony
- Depositions
- Forensic exam
- Document analysis
- And so on...



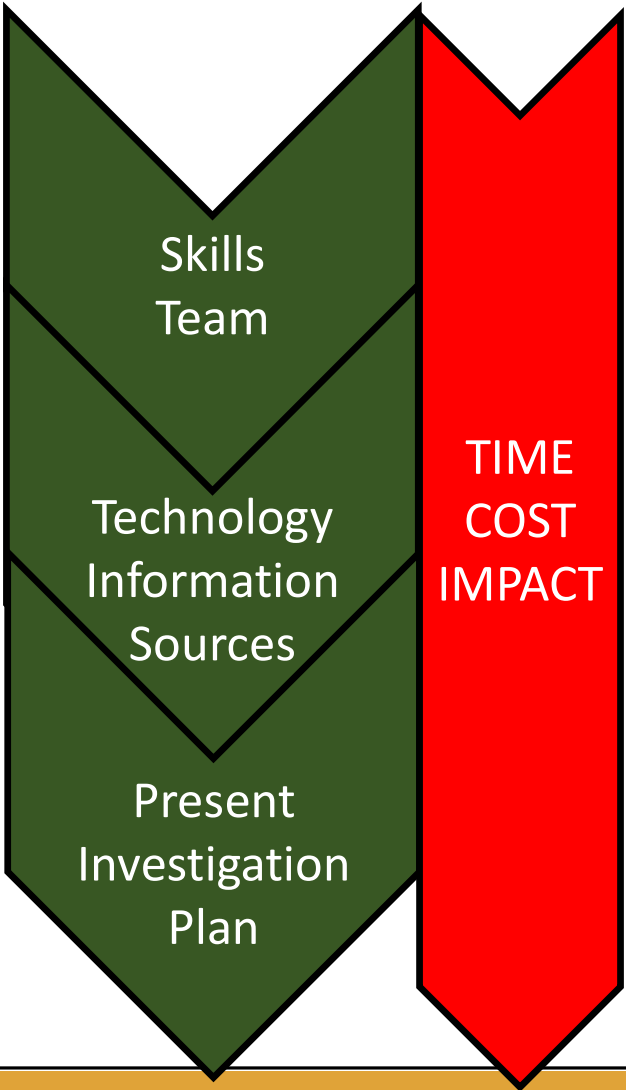
Consider the skills you need to employ:

What is the activity being observed?

Financial recordkeeping?

Cash/money movement?

Is the vendor involved?



Skills:

- Forensic accounting
- Analyst
- Additional subject matter experts

Tech:

- Surveillance
- Electronic monitor
- Online search
- Online analysis
- Proprietary sources



Assemble Team

Case Agent: Senior Investigator William B. Smart

Team Member Requests

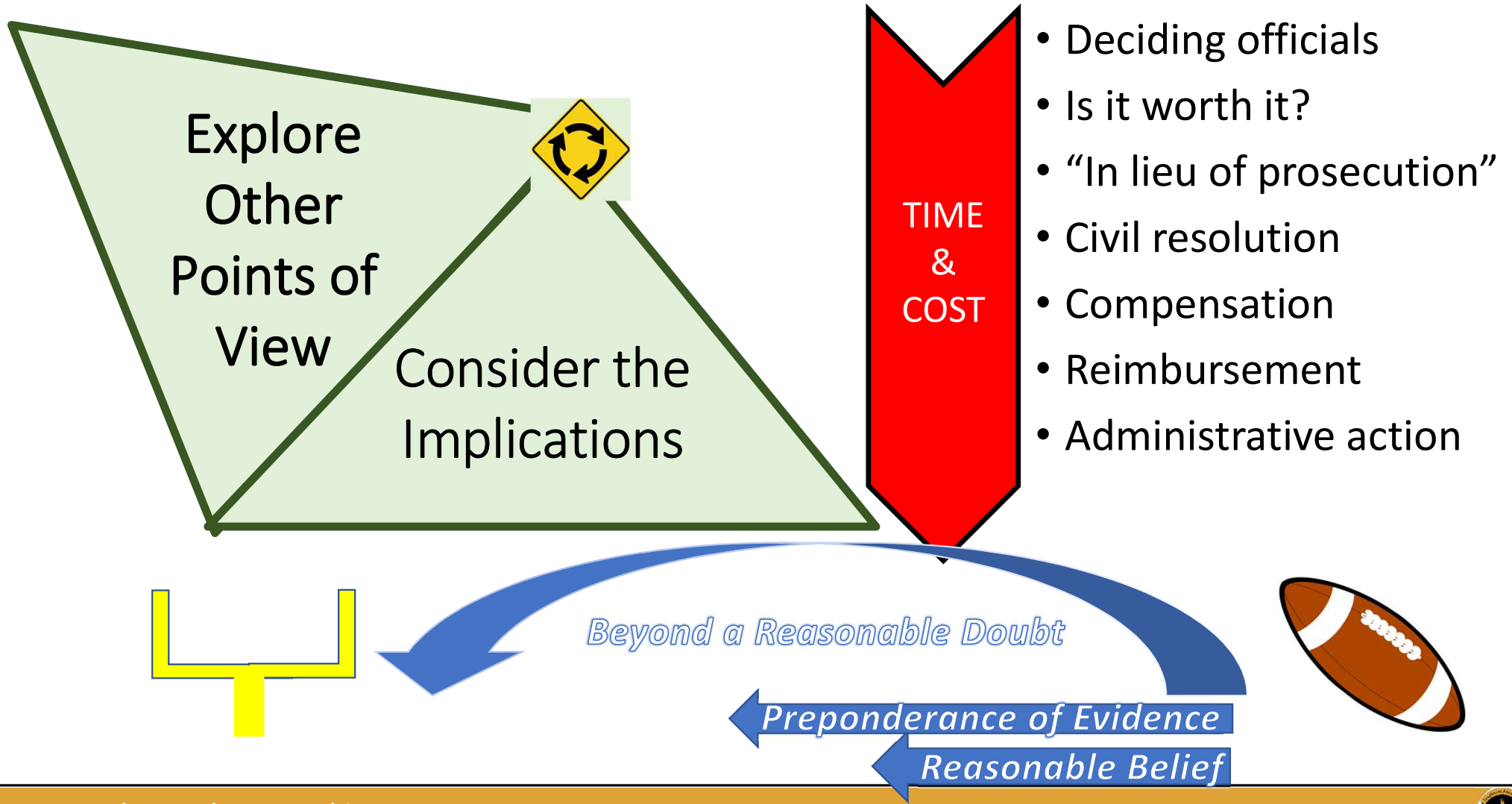
Forensic Accountant: Lead F.A. Erica Jones, in support of interviews of purchase card activity to confirm purchases and transaction information. Expanded analysis to determine any additional information. Calculation of loss.

Computer Technical Support: Harvey Drive, in support of forensic analysis of electronic data, and support in search warrant or other evidence acquisition processes. Analysis of email/text messaging

(External) Antiquities SME: Clyde A Form, Antiquities Specialist, College University

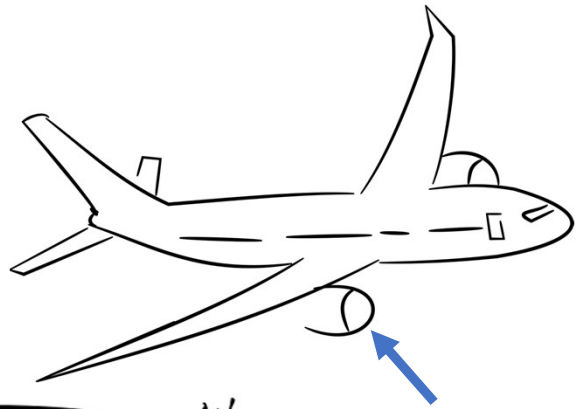
Who would you add?





Investigation Steps	Description	Date Planned	Date Completed	Results
Preliminary Investigation	Conduct initial examination of allegation			Ongoing
Subject Identification	Review OSINT OSINT information Criminal History Checks			Ongoing
Documents	Purchase Card Analysis Bank Record Analysis Business Records			Ongoing
Documents	Purchase Log Analysis			
Forensics	Hard drive, Analysis			
Next Steps	Request Grand Jury Subpoenas for Bank Records International Coordination			
Supervisor Review	Conducted: Date	Investigation proceeding at appropriate pace Complete email analysis by end of December Preliminary referral by mid-January Prepare for subject interview		





Scope Can Change



Changes in Scope: How Scenarios Advance

- Sometimes cases are a piece of a piece
- Doe was interviewed; confessed
- She said she was approached by Ami ABLE, of ABLE Stationary to participate in a scheme
- Doe would order \$2500 in items, he would convert to cash, and she got 50%
- Doe agreed to cooperate, wore a wire to meet with ABLE
- ABLE told her he was doing the same thing at the Pentagon

...and this is how the government purchase card fraud schemes were first identified (yes, true story)



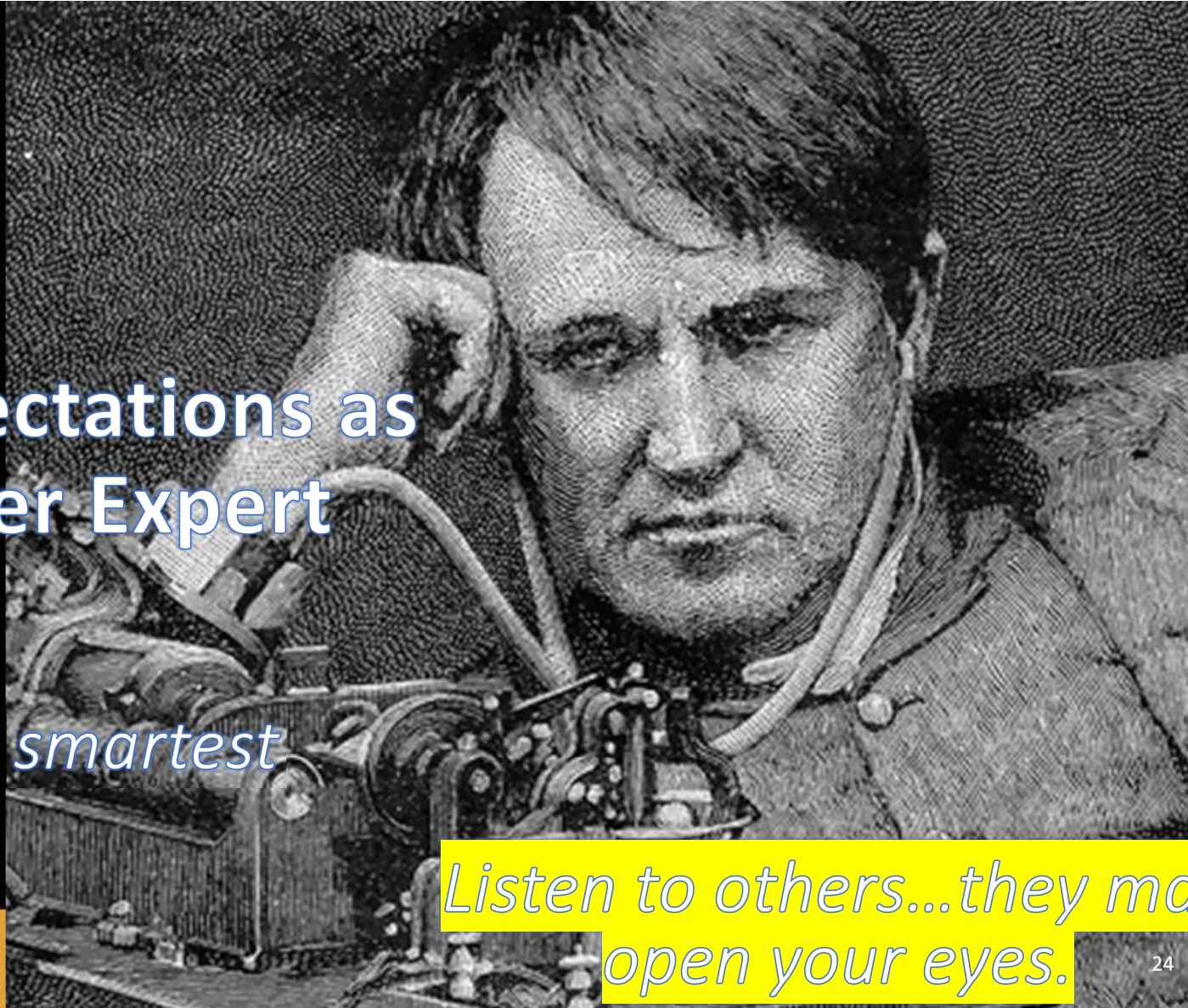
Toughest Part:

**Managing Expectations as
a Subject Matter Expert**

or

*It's hard being the smartest
one in the room*

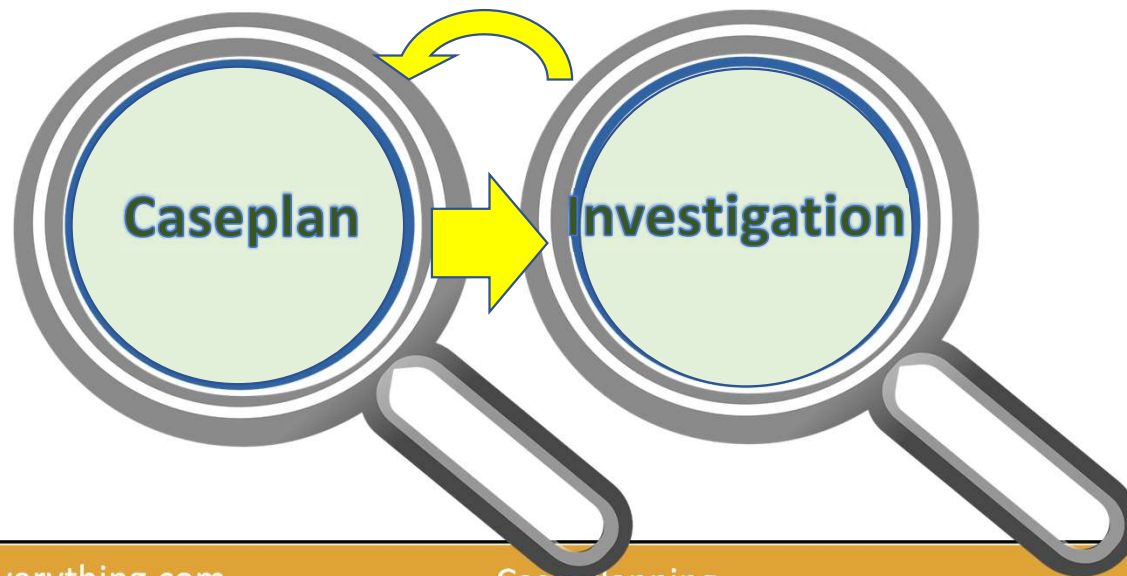
www.valuetoucheseverything.com
Training Purposes Only



*Listen to others...they may
open your eyes.*

Review and Revision are Critical

- May start as a simple case, single subject
- Be ready to look for more
- You need to be in control
- Keep it “Management Simple”

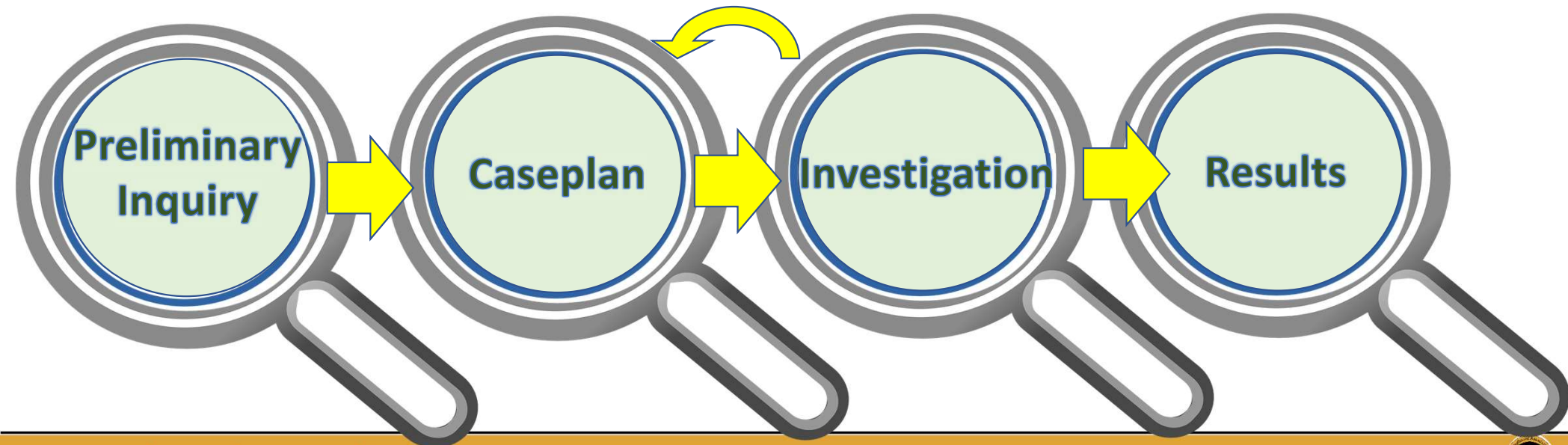


Review
&
Update



To sum up

- Case plans are a structured approach
- Flexible and subject to change
- Controls resources and team roles
- Comprehensive and thorough
- Supports your actions
- Has management buy-in



Case Planning

Questions?

Michael Loughnane

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Loughnane Associates LLC
Value Touches Everything



Huxley Orion

