

Investigative Action

Summary

The purpose of this activity is for a caseworker to raise an SR to request an investigation. The SR will be routed to the Financial Investigation Unit (FIU) via Specialist Services Support Team (SSST) where an Investigative Officer (IO) will complete the investigation. SSST will record the result and notify the caseworker.

Investigative action by an IO can be required at any point in the lifecycle of a case, particularly when gathering other party information. It may be required during investigations into suspected criminal activity and where there is a requirement for face to face information gathering.

Investigative action is conducted by FIU and triggered when a Child Maintenance Group (CMG) caseworker requires an IO to gather information in order to progress a case. While an investigation is taking place, the ownership of the case will not transfer to FIU.

When a paying parent fails to provide income details upon request, and a DMD or Estimated Earnings is not appropriate, the caseworker can liaise directly with an IO to gather this information. This option will be open to caseworkers for example, when gathering information for an additional income variation.

An IO may also be contacted by an enforcement case manager in order to progress a criminal referral.

To request an investigation by an IO the caseworker will create a service request (SR) and record the details of the information to be gathered.

The SR will be routed via SSST to an IO in the FIU who will review the case and decide if face to face information gathering is appropriate.

When an investigation is completed SSST will record the results on the SR, including the FIU decision maker's details, name and staff number, and return it to the owning caseworker.

The process will complete when the caseworker is satisfied that the required information has been received.



It is important the correct actions are taken to ensure CMG have exhausted our own actions including financial investigation before a client is referred to HMRC Fraud. Caseworkers must never signpost clients to the Fraud Hotline. If the client raises concerns we will take all possible action, including making our own investigations, and should not direct clients to HMRC. If after our investigations are complete the client tells the caseworker they still want to report tax evasion, then the caseworker should direct the client to [HMRC Fraud on-line](#)

Request investigation

(caseworker/manager)

The purpose of this activity is for a caseworker to raise a SR to request an investigation. The SR is raised against the person who is to be investigated. The SR will be routed to Financial Investigations Unit (FIU) where an Investigative Officer (IO) will complete the investigation, record the result and notify the caseworker.

- Create the following service request (SR):

- **Process = Enforcement**
- **Area = Use Specialist Services**
- **Sub Area = Investigative Action**
- **Assign** the SR to the case and update the **Status** to **In Progress**.
- Record the action taken by the IO including the source of the allegation in the **Notes**, specifying the case segment referred from at the top of the **Notes** field.
- Update the SR **Status** to **Pending Assignment**. The SR will be routed to the FIU for investigation.



This SR is functionally unique, meaning that it will route to the FIU but the case will remain with the owning caseworker. If after referring the case for investigative action this action then needs to be cancelled, notify the investigative officer so that they can close down the SR.



When updating enforcement activity plans always update the **Outcome** field of each activity plan line rather than the **Status** field. Failure to do so may result in a technical error.

For Investigative action referrals in Scotland only

- Some IOs in Scotland will not have access to the 2012 system if they are based at a non CMG site, e.g. a local benefits delivery centre. If asking an IO to investigate a potential criminal action and sending them hard copies of any supporting documentation, also complete a certificate of authentication to comply with Schedule 8 of the Criminal Procedure (Scotland) Act 1995. The IO will provide the Schedule 8 declaration to the Procurator Fiscal along with the documentation.



A schedule 8 certificate of authentication is only required for prosecution cases. This will only need to be completed if asked by the Investigator.

- For audit purposes, scan the Schedule 8 form into the system. For more information refer to [Scanning - Local](#).
- When the investigation is completed the results will be recorded on the SR and returned to the owning caseworker. Upon receiving FIU's findings, caseworkers should take action accordingly. Potential actions may involve:
 - [Variation - Additional Income](#)
 - [Mandatory Reconsideration](#)
 - [Revision - Change To Income](#)