



**SFO**

serious  
fraud  
office



**BUSINESS PLAN 2019-20**



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FOREWORD



FOREWORD

# Foreword

Since I took up post as Director in August 2018, the SFO has been working to make the UK an even more inhospitable place for those intent on committing serious fraud, bribery and corruption.

We will achieve this by delivering at pace and being proactive in our criminal and asset recovery investigations. We will make full use of the tools available to us and we will exploit existing and emerging technologies. We will also develop and strengthen our relationships with key partners to deliver justice more efficiently.

This Business Plan for 2019-20 focuses on the delivery of priorities towards realising our vision, which is set out in our new three-year Strategic Plan. Our priorities are in four key areas: **Operations, People, Stakeholders and Technology.**

From what I have seen during my first six months, the growing collaboration among the international law enforcement community is encouraging. There is so much that we have learned from each other. Prosecutors, regulators and law enforcers around the world are working more closely together than we ever have before. We intend to continue the momentum.

In our operations, we will seek to enhance our intelligence capability and be more efficient in our investigations. I recently published my new Statement of Principle which provides further guidance on the cases I will accept for investigation, and we will make the best use of the tools and resources available to us to progress those cases fairly and effectively.



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Our people are our greatest asset. We aim to provide the environment to help them make their best contribution to meeting our objectives. This will include further improvement of our development and professional training opportunities to nurture talent, and we will continue to uphold our commitment for a diverse and inclusive workplace.

Increasingly, we are looking to technology to help us in all we do. We will continue to invest in our digital and forensic capabilities and we will make the best use of new software and artificial intelligence. As the criminality we face becomes increasingly complex, so we and our partners around the world need to keep pace to meet this challenge.

Our approach will be international. We will cooperate across all jurisdictions and sectors and, importantly, we will be proactive and professional throughout the life of our cases. This will apply across the range of our functions from intelligence, case acceptance and investigation to prosecution, trial, resolution and recovering the proceeds of crime. We will foster a culture of excellence in all that we do.

Our goal is to make sure the UK is a high-risk and difficult place for the world's most sophisticated criminals to operate.

**Lisa Osofsky**

Director of the Serious Fraud Office

A handwritten signature in black ink that reads "Lisa Osofsky". The signature is written in a cursive, flowing style.



CORE PURPOSE,  
MISSION &  
VALUES

**CORE PURPOSE, MISSION & VALUES**

# Core Purpose, Mission & Values

The SFO's purpose is to investigate and, where appropriate, prosecute the top-tier cases of serious complex fraud, bribery and corruption. We also recover the proceeds of those crimes we investigate and assist overseas jurisdictions in their investigations into serious or complex fraud, bribery and corruption.

As an organisation, our Mission is to:

- Deliver fair and effective justice through the independent investigation and prosecution of top tier crimes involving serious or complex fraud, bribery and corruption.
- Take on cases which call for the multi-disciplinary approach and legislative powers available to the SFO (the Roskill model) to reduce economic harm to UK plc.
- Uphold and promote the Rule of Law.
- Put victims and witnesses at the heart of every case.

How will the SFO achieve this?

Our Strategic Objectives reflect our commitment to deliver fair and effective justice which calls for the multi-disciplinary approach and legislative powers available to the SFO (the Roskill model).

We will:

- Investigate and, if appropriate, prosecute serious or complex fraud, bribery and corruption cases fairly and effectively.
- Recover the proceeds of these serious or complex crimes fairly and effectively.
- Develop, and strengthen, constructive relationships with partners both in the UK and internationally.
- Build an effective workforce, treating our staff fairly and with respect and dignity.
- Provide value for money in everything we do.

The SFO's work is underpinned by our shared values:

- Integrity and professionalism: we make objective decisions whilst always being mindful of quality and value for money.
- Respect: we show respect to one another, to our external colleagues and to the wider public.
- Openness and transparency: we collaborate and share information with each other and, where appropriate, others, explaining our decisions and learning from our mistakes.
- Excellence: we strive for excellence in all that we do.

Core Purpose, Mission & Values

Strategic Plan 2019-22

Business Plan 2019-20

OPERATIONS

PEOPLE

STAKEHOLDERS

TECHNOLOGY



OUR KEY  
PRIORITIES

**OUR KEY PRIORITIES**

## Our Key Priorities for 2019–20

We will use the full range of tools and resources available to enable us to maintain the quality and increase the pace of our operations in delivering justice more efficiently.

### To achieve this, we will:

1. Enhance our intelligence capability by increasing capacity and developing proactive casework.
2. Deliver justice more efficiently by reducing the length of the investigation phase of our cases, where appropriate.
3. Maintain the quality of our operational work by using the full range of investigative and legal tools and resources available.



## Our achievements will be measured by:

- A reduction in the average length of time to complete our intelligence operations.
- An increase in the number of proactively sourced cases presented for consideration of acceptance by the Director against her Statement of Principle.
- Delivering 90% of corporate self-referral intelligence products within 90 days of receipt.
- An increase in the deployment and use of proactive intelligence and evidence gathering techniques throughout the lifecycle of intelligence operations and authorised investigations.
- A reduction in the moving average length of the investigation phase.
- Implementing all accepted recommendations from the HMCPSI Case Progression Inspection.
- Maintaining the ratio between successful prosecutorial outcomes, jury acquittals and Judge directed acquittals.
- Demonstrating the appropriate use of the full range of investigative and legal tools and orders.
- Maintaining the percentage of assets recovered against order values above 80%.
- Maintaining our rate of success of at least 80% in Judicial Reviews.

**Excellence:  
We strive  
for excellence  
in all that  
we do**

We will lead, empower, and properly support all of our people, fostering improved staff morale and engagement, and a positive working environment so they are committed to making their best contribution to the organisation.

## To achieve this, we will:

1. Enhance our operational teams by embedding a newly agreed workforce structure.
2. Reduce our reliance on temporary staff and third party providers by further developing our recruitment processes and increasing our internal capabilities.
3. Retain and inspire good people by improving our development offering, embedding the Talent Management Programme and delivering appropriate professional training.
4. Encourage staff engagement by promoting inclusivity and recognising staff for behaviour consistent with our values.
5. Maintain a positive working environment by completing the work on our existing Equality and Diversity Action Plan 2018-19 and developing a new plan for 2019-20.

## Our achievements will be measured by:

- Delivering a new workforce structure.
- Continuing the downward trend in the percentage of temporary to permanent staff.
- Reducing expenditure on third party providers.
- Completing the rollout of the Talent Management Programme and monitoring its effectiveness.
- Delivering enhanced CPD arrangements for Operational staff.
- Maintaining a programme of events promoting inclusion.
- Ensuring all staff have an inclusion based target at appraisal.
- Conducting a post implementation review of the 2018-19 Equality and Diversity Action Plan.
- Introducing a new Equality and Diversity Action Plan for 2019-20.
- Reducing further the Gender Pay Gap.



We will build, maintain and develop proactive and collaborative relationships with domestic and overseas criminal justice partners, fostering strong ties and trust, and building confidence in our work amongst other stakeholders and interested parties.

## To achieve this, we will:

1. Strengthen our strategic and operational partnership with the National Economic Crime Centre (NECC).
2. We will work with other departments responsible for delivering the Serious and Organised Crime, Anti-Corruption and other relevant strategies through active engagement and participation in the governance structures, consultations, activities and events.
3. Build trust in the SFO by communicating our work and strategy clearly and effectively to key partners, stakeholders, parliamentarians and the public.

## Our achievements will be measured by:

- Increasing the number of joint operations, including those referred in or out of the NECC.
- Maintaining the level of non-case specific support and assistance by the SFO in response to requests from domestic and overseas partners.
- Positive coverage and commentary on the SFO in reports produced by parliamentary committees, external bodies (including NGOs) and in the media.
- An increase in the breadth of inbound and outbound secondments.
- The number and nature of contributions to public engagement events by the Director and SFO Staff.
- An increase in our online engagement.
- Increasing our engagement with Parliamentarians and other relevant stakeholders.



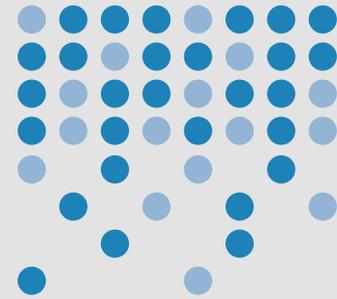
We will develop our technological capability to effectively investigate and prosecute serious economic crime against the increasing challenge and complexity of our cases.

## To achieve this, we will:

1. Implement a new Document and Case Management System by delivering on the commitment set out in our Information Management Strategy.
2. Support our increasingly complex investigations and the significant volume of data which underpins our operations by continuing to invest in our digital and forensic capabilities.
3. Enhance our efficiency and effectiveness by using new software, systems and tools to maximum effect including artificial intelligence (AI) and related technologies, and promulgating its use in the UK Criminal Courts.
4. Streamline our data management systems by delivering on our Information Management Strategy.

## Our achievements will be measured by:

- Completing phase 1 of the implementation of the Document and Case Management System (DCMS).
- The percentage of permanent staff trained and using the DCMS.
- Increasing the capacity of our Digital Forensics Unit to process digital material, improving average processing times.
- Increasing the use of technology and AI-assisted review.
- Continuing to implement new cross-government systems including digital trials.
- Improving sustainability towards meeting the Greening Government Commitment (GGC) targets.
- Tackling the backlog, and increasing the frequency of depositing records at The National Archives.



ANNEX: SFO  
STRATEGIC  
PLAN



**ANNEX: SFO STRATEGIC PLAN**

# Annex: SFO strategic plan 2019–22

## Our Mission

- To deliver fair and effective justice through the independent investigation and prosecution of top tier crimes involving serious or complex fraud, bribery and corruption.
- To take on cases which call for the multi-disciplinary approach and legislative powers available to the SFO (the Roskill model) to reduce economic harm to UK Plc.
- To uphold and promote the Rule of Law.
- To put victims and witnesses at the heart of every case.

## Our Values

The SFO's work is underpinned by the following values:

- Integrity and professionalism: we make objective decisions whilst always being mindful of quality and value for money.
- Respect: we show respect to one another, to our external colleagues and to the wider public.
- Openness and transparency: we collaborate and share information with each other and, where appropriate, others, explaining our decisions and learning from our mistakes.
- Excellence: we strive for excellence in all that we do.

***Our goal is to make sure the UK is a high-risk and difficult place for the world's most sophisticated criminals to operate.***

**Lisa Osofsky**

Director of the SFO

## Our Strategic Objectives

Our Strategic Objectives reflect our commitment to deliver fair and effective justice which calls for the multi-disciplinary approach and legislative powers available to the SFO (the Roskill model).

- A. Investigate and, if appropriate, prosecute serious or complex fraud, bribery and corruption cases and associated money laundering fairly and effectively.
- B. Recover the proceeds of serious or complex fraud fairly and effectively.
- C. Develop, and strengthen, constructive relationships with partners both in the UK and internationally.
- D. Build an effective workforce, treating our staff fairly and with respect and dignity.
- E. Provide value for money in everything we do.

## Our Vision

We will deliver at pace and apply a creative and proactive approach to our criminal and asset recovery investigations. We will use the full toolkit of powers available and continue to make the case for reform to remove barriers to effectiveness.

We will develop new, and strengthen existing, relationships with our partners to deliver justice more efficiently.

We will embrace, exploit and be innovative with emerging technologies, and will continue to develop and motivate our workforce that fully reflects the diversity of skills and professions to deliver this vision.

## Our Statement Of Principle

The Director may investigate any suspected offence which appears to her on reasonable grounds to involve serious or complex fraud.

In considering whether to authorise an investigation the Director will take into account the actual or intended harm that may be caused to:

- The public, or
- The reputation and integrity of the UK as an international financial centre, or
- The economy and prosperity of the UK

and whether the complexity and nature of the suspected offence warrants the application of the SFO's specialist skills, powers and capabilities to investigate and prosecute.

# Delivering on the vision in the next 3 years we will:

## Operations

- Successfully use the full range of investigative techniques to target crime in action.
- Anticipate and adapt to new and emerging criminal trends.
- Generate cases through proactive development of intelligence.
- Use the spectrum of tools available and consider all the appropriate legal mechanisms.
- To promote reform of the law where appropriate to acquire the tools necessary to deliver Our Mission.
- Influence corporate thinking to promote earlier identification of wrong doing, encourage greater cooperation and self-reports of criminal behaviour.



## People

- Lead, empower and properly support all of our people.
- Embrace the diversity of our workforce and promote inclusivity.
- Create opportunities, improve capability and invest in our colleagues.
- Develop a permanent workforce that is diverse, flexible and able to respond to changing demands.
- Identify and seek to attract the most highly skilled, capable and motivated staff.
- Continuously improve on the civil service people survey engagement index and respond to issues identified therein.

## Stakeholders

- Collaborate with the National Economic Crime Centre, and other law enforcement and intelligence partners at home and overseas.
- Increase engagement with our network of international partners by working closely with them to develop strong, supportive and constructive relationships.
- Work with the Court Service and other CJS partners to deliver a better service for all.

- Work with our Sponsoring department and other arms of government to meet wider strategic HMG objectives.
- Inform, advise and contribute to relevant legislative reforms, government strategies, priorities and initiatives.
- Enhance engagement with parliamentarians and senior Whitehall officials to build understanding of the work of the SFO and our role in tackling serious economic crime.

## Technology

- Invest in emerging technologies and develop creative solutions.
- Deliver greater efficiency by exploiting machine learning technology.
- Enhance our digital forensic capabilities, including upskilling our people, to reflect the changing landscape and technologies used by those engaged in serious economic crime.
- Use our systems and data to ensure our resources are deployed flexibly, effectively and in line with demand.





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