National Protective Security Authority

Security Investigations Quick Guide

Spring 2023

This quick guide is for organisations, in both Government and Industry, who undertake security investigations as part of their personnel security model.

Why conduct a security investigation?

- If an organisation becomes aware of a security concern involving a member of their workforce they will need to conduct a security investigation to understand the extent of any breach of security and to mitigate identified risks.
- Having clear policies and procedures relating to security investigations helps ensure that your investigation is conducted fairly, accurately and minimizes the risk of future employment tribunals.
- Having clear communications around the robustness of these investigation procedures and subsequent disciplinary action may act as a deterrent to those conducting an insider act.

Advice on Security Investigations is available at https://www.npsa.gov.uk/investigation-and-disciplinary. which provides guidance on developing a framework for conducting robust, ethical and legal investigations into workplace behaviour of concern.

Remember the basics

Communicate security policies and disciplinary procedures across the whole workforce at induction, and repeat regularly throughout employment, to encourage compliance and to act as a deterrent to malicious insider activity.

A security investigation should be led by an experienced and well-trained investigator.

All aspects of the investigation must comply to the law. Interviews must be conducted legally, fairly and transparently. Evidence must be gathered lawfully.

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Activities

RECORDS

INTERVIEWS

REPORT

DISCIPLINARY HEARING

- **Actions and enquiries** should be planned and recorded.
- **Interviews** should aim to build rapport with the interviewee to both help reassure anxiety and detect deception.
- **A full report of** the investigation should be provided to the person responsible for considering the findings.
- **A disciplinary hearing** will consider all the information relevant to the investigation and make a decision based on the 'balance of probabilities'. If unproven no further action against the individual should be taken, but if there is evidence of wrongdoing then sanctions against the individual should be applied.
- **Inform other agencies** if it is necessary e.g. Police, CPNI, NCA, Border Force.

Post Investigation

After a security investigation the organisation should review the findings and take action where necessary to fix any vulnerabilities identified during the investigation.

Refreshing security training and awareness after an incident can help to improve security behaviours across the organisation. This should include how to recognise and report workplace behaviours of concern.

More information can be found at www.npsa.gov.uk