

Initiating and planning a case

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Initiation of a case

- Tip-off and complaints - meetings, telephone calls or in writing (by mail or e-mail)
- Ex officio – market intelligence
- Tip-off function-a funnel and a gatekeeper function

First selection – if you have a discretion to choose

Meeting with tip-off function

- Potential effects/consumer harm
- Evidence, facts and data
- Ongoing or not
- Human resources



Divide the investigation into phases

- Pre-investigatory phase - maximum 3 months
 - To be able to prioritize better
 - To invest the right amount of resources at this stage
- Full Investigatory phase - up to a year
 - Putting together a team
 - Project planning
 - Further investigation

Example-pre-investigatory plan

Background

We have received a complaint from ...regarding...

Goal

To present a suggestion **whether or whether not to pursue the case** no later than the 6th of January 2012

Activities:

What	By whom	When
Written questions to Y	Case handler A	20/11 2011
Interviews with X	Case handler B	30/11 2011
Meeting with Head of department C	Case handler A+B	6/12 2012

Invest in further planning



Why? - What is the problem, why should we pursue?

What? - What is the work that will be performed?
- What is our goal?

Who? - Who will be involved and what will be their responsibilities?

When? - What is the timeline

What and when



Example of a goal:

- To take a final decision towards Company Y (fines or cease and desist order) no later than dd/mm/yy

Example of an intermediate goal:

- To send a statement of objection to Company Y no later than dd/mm/yy

Example of a mile stone:

- To present a suggestion regarding the proper sanction to the Director General dd/mm/yy

Activities – the daily work

- Put the most obvious in the plan
- Use a more detailed “lists” on a weekly basis
- Keep track of the process



Who should do it

- Project leader – it is important to choose the right person!
- Putting together a dream team is hard when human resources are scarce
- Economists play an important role in abuse cases
- 3-7 persons

Manager monitoring

- Approving the plan
 - Most of the daily work is delegated to the project leader
 - Monitoring - is the project on track?
 - The right level of interference is important!
 - Build in follow up meetings, mile stones and intermediate goals in the plan
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Sum up

- If you have discretion – choose the right case
- Divide the investigation into two phases
- Invest time in the planning process
- From a manager perspective - find the right balance in monitoring the project