



**Australian Government**

**Department of Education, Employment and Workplace Relations**

# **CPPSEC4013A Undertake case management of investigations**

**Release: 1**

## **CPPSEC4013A Undertake case management of investigations**

### **Modification History**

Not Applicable

### **Unit Descriptor**

#### **Unit descriptor**

This unit of competency specifies the outcomes required to plan, document and coordinate resources to manage and review investigations. It requires the ability to develop a case management plan, monitor case progress, and review and report case outcomes against identified goals and objectives.

This unit may form part of the licensing requirements for persons engaged in investigative operations in those states and territories where these are regulated activities.

### **Application of the Unit**

#### **Application of the unit**

This unit of competency has application in those work roles involving the management of investigations in a security environment. Competency requires legal and operational knowledge applicable to relevant sectors of the security industry. The knowledge and skills described in this unit are to be applied within relevant legislative and organisational guidelines.

### **Licensing/Regulatory Information**

Refer to Unit Descriptor

### **Pre-Requisites**

Not Applicable

## Employability Skills Information

**Employability skills**      This unit contains employability skills.

## Elements and Performance Criteria Pre-Content

Elements describe the essential outcomes of a unit of competency.      Performance criteria describe the required performance needed to demonstrate achievement of the element. Where ***bold italicised*** text is used, further information is detailed in the required skills and knowledge section and/or the range statement. Assessment of performance is to be consistent with the evidence guide.

## Elements and Performance Criteria

ELEMENT	PERFORMANCE CRITERIA
<b>1 Develop a case management plan.</b>	<p>1.1 Applicable provisions of <i>legislative</i> and <i>organisational requirements</i> relevant to the management of investigations are identified and complied with.</p> <p>1.2 Purpose of investigation is determined in consultation with <i>relevant persons</i>.</p> <p>1.3 Relevant information is obtained from reliable sources in accordance with organisational procedures.</p> <p>1.4 Security equipment, systems and resources are determined appropriate to meet investigation requirements.</p> <p>1.5 Timeframes, budgetary constraints and reporting requirements are confirmed with relevant persons.</p> <p>1.6 <i>Case management plan</i> is developed in accordance with investigation requirements and organisational procedures.</p> <p>1.7 Case management plan is flexible and adaptable to accommodate contingencies.</p>
<b>2 Monitor case progress.</b>	<p>2.1 Appropriate <i>interpersonal techniques</i> are used to facilitate an effective exchange of information with relevant persons.</p> <p>2.2 Case management plan implementation and progress is continually monitored and evaluated against agreed aims and objectives to ensure that service delivery matches client requirements.</p> <p>2.3 Variations to operational plans are determined and implemented to meet changing circumstances to enable improved service delivery.</p> <p>2.4 <i>Feedback</i> on implementation of the case management plan is analysed and assessed with relevant persons and expert advice is provided on options for actions and further development.</p> <p>2.5 Expenditure and <i>resource</i> usage is monitored and controlled to ensure objectives are achieved within timeframes and resource boundaries.</p> <p>2.6 Operational documentation is compiled to provide an ongoing reference for operatives and is recorded in a timely, chronological and accurate manner.</p>
<b>3 Review and report outcomes.</b>	<p>3.1 Feedback on client satisfaction with service delivery is sought using <i>valid methods</i> and verifiable data is reviewed in accordance with organisational policy and procedures.</p> <p>3.2 Operational outcomes are reviewed against the aims and objectives of the investigation identified in the case</p>

**ELEMENT****PERFORMANCE CRITERIA**

management plan.

3.3 Recommendations and issues are presented in the required format, and in a style and structure suitable for review and interpretation in accordance with organisational requirements.

3.4 Relevant documentation is completed and processed in accordance with legislative and organisational procedures.

3.5 All case records and relevant information is safely and securely stored in accordance with legislative and organisational requirements.

## Required Skills and Knowledge

### REQUIRED SKILLS AND KNOWLEDGE

This section describes the skills and knowledge and their level required for this unit.

#### Required skills

- allocate and manage resources including budgetary, human and physical
- apply reasoning and logical analysis to make decisions and solve problems
- coaching to provide support to colleagues
- communicate effectively in both verbal and written modes
- facilitate feedback
- make high level presentations
- monitor and analyse case progress and review outcomes
- negotiate, mediate and resolve conflicts
- prepare investigation plans, tactical plans and resource bids
- prioritise tasks and schedules
- provide written reports and documentation
- relate to persons from different social and cultural backgrounds and of varying physical and mental abilities
- risk assessment
- supervise, delegate and mentor individuals and teams
- systematically plan, make decisions and set goals.

#### Required knowledge

- access and deployment mechanisms to ensure optimal economy and efficiency in the use of human, physical and financial resources
- conflict resolution techniques
- contingency planning techniques

## REQUIRED SKILLS AND KNOWLEDGE

- cultural protocols and systems
- formal meeting processes
- investigation principles and case management systems
- legislation relevant to the jurisdictions involved in the investigation
- operational budget and resource planning processes
- organisational procedures and standards and corporate goals and objectives
- principles of effective communication
- security and risk assessment and management techniques
- security issues and classifications
- theory and practice of investigative case management.

## Evidence Guide

### EVIDENCE GUIDE

The evidence guide provides advice on assessment and must be read in conjunction with the performance criteria, required skills and knowledge, range statement and the Assessment Guidelines for the Training Package.

#### **Critical aspects for assessment and evidence required to demonstrate competency in this unit**

A person who demonstrates competency in this unit must be able to provide evidence of:

- accurately reviewing operational outcomes and presenting findings in a format suitable for review by relevant persons to determine client satisfaction with service delivery
- facilitating review conferences and briefings for the regular and effective exchange of information and feedback to relevant persons
- managing case plan implementation, including efficient expenditure and resource use, and modifying operations as required to meet changing circumstances and identified inefficiencies
- systematically developing a flexible and adaptable case management plan based on an evaluation of security and risk assessment analyses, available resources and identified aims and objectives of the investigation.

#### **Context of and specific resources for assessment**

Context of assessment includes:

- a setting in the workplace or environment that simulates the conditions of performance described in the elements, performance criteria and range statement.

Resource implications for assessment include:

- access to plain English version of relevant statutes and procedures
- access to a registered provider of assessment services
- access to a suitable venue and equipment
- assessment instruments including personal planner and assessment record book
- work schedules, organisational policies and duty statements.

Reasonable adjustments must be made to assessment processes where required for people with disabilities. This could include access to modified equipment and other physical resources, and the provision of appropriate assessment support.

### **Method of assessment**

This unit of competency could be assessed using the following methods of assessment:

- observation of processes and procedures
- questioning of underpinning knowledge and skills.

### **Guidance information for assessment**

Assessment processes and techniques must be culturally appropriate and suitable to the language, literacy and numeracy capacity of the candidate and the competency being assessed. In all cases where practical assessment is used, it should be combined with targeted questioning to assess the underpinning knowledge.

Oral questioning or written assessment may be used to assess underpinning knowledge. In assessment situations where the candidate is offered a choice between oral questioning and written assessment, questions are to be identical.

Supplementary evidence may be obtained from relevant authenticated correspondence from existing supervisors, team leaders or specialist training staff.

## **Range Statement**

### **RANGE STATEMENT**

The range statement relates to the unit of competency as a whole. It allows for different work environments and situations that may affect performance. **Bold italicised** wording, if used in the performance criteria, is detailed below. Essential operating conditions that may be present with training and assessment (depending on the work situation, needs of the candidate, accessibility of the item, and local industry and regional contexts) may also be included.

***Legislative requirements may relate to:***

- Australian standards and quality assurance requirements
- force continuum, use of force guidelines

- general 'duty of care' responsibilities
- inspection of people and property, and search and seizure of goods
- licensing or certification requirements
- privacy and confidentiality
- relevant commonwealth, state and territory legislation, codes and national standards for:
  - anti-discrimination
  - cultural and ethnic diversity
  - environmental issues
  - equal employment opportunity
  - industrial relations
  - Occupational Health and Safety (OHS)
- relevant industry codes of practice
- surveillance
- trespass and the removal of persons
- use of listening and recording devices.

***Organisational requirements may relate to:***

- access and equity policies, principles and practices
- business and performance plans
- client service standards
- code of conduct, code of ethics
- communication and reporting procedures
- complaint and dispute resolution procedures
- emergency and evacuation procedures
- employer and employee rights and responsibilities
- OHS policies, procedures and programs
- own role, responsibility and authority
- personal and professional development
- privacy and confidentiality of information
- quality assurance and continuous improvement processes and standards
- resource parameters and procedures
- roles, functions and responsibilities of security personnel
- storage and disposal of information
- surveillance.

***Relevant persons may include:***

- client
- industry or other relevant contacts
- industry and government agencies
- investigation managers
- investigation staff
- security personnel.



- Case management plan may include details of:***
- costings
  - integration of relevant stakeholder expertise and other service deliverers
  - negotiated and agreed goals and operational processes
  - processes for monitoring and changing case plan
  - range of strategies to address each goal
  - realistic and agreed indicators of success
  - relevant contacts
  - resource and equipment sources, availability, allocation and contingencies
  - rights and responsibilities of client
  - roles and responsibilities of all relevant personnel
  - strategies to deal with security risk situations.
- Interpersonal techniques may involve:***
- active listening
  - being non-judgemental
  - being respectful and non-discriminatory
  - constructive feedback
  - control of tone of voice and body language
  - culturally aware and sensitive use of language and concepts
  - demonstrating flexibility and willingness to negotiate
  - effective verbal and non-verbal communication
  - maintaining professionalism
  - providing sufficient time for questions and responses
  - reflection and summarising
  - two-way interaction
  - use of plain English
  - use of positive, confident and cooperative language.
- Feedback may be gained through:***
- participation in case conferences, meetings, briefings
  - recorded observations on progress on activities
  - regular communication with client and operatives
  - task update meetings, task appraisals, debriefing sessions.
- Resources may be:***
- equipment and physical
  - financial
  - human
  - information
  - intelligence (internal or external in source).
- Valid methods may include:***
- client satisfaction surveys
  - comments from supervisors, colleagues or clients
  - formal and informal performance evaluations
  - informal discussions

- workplace assessment.

## **Unit Sector(s)**

**Unit sector**                      Security

## **Competency field**

**Competency field**              Security and risk management