



**Australian Government**

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

# **PSPREG419A Finalise and report on investigations**

**Revision Number: 3**

## PSPREG419A Finalise and report on investigations

### Modification History

Release	TP Version	Comments
3	PSP12V1	Unit descriptor edited.
2	PSP04V4.2.	Layout adjusted. No changes to content.
1	PSP04V4.1	Primary release.

### Unit Descriptor

This unit covers the requirements for completing investigations, reviewing the process and reporting results. It includes finalising the investigation, handling complaints and appeals, preparing an investigation report and using investigation outcomes.

In practice, finalising and reporting on investigations may overlap with other generalist or specialist public sector work activities such as acting ethically, complying with public sector legislation, applying government processes.

No licensing, legislative, regulatory or certification requirements apply to this unit at the time of endorsement.

### Application of the Unit

Not applicable.

### Licensing/Regulatory Information

Not applicable.

### Pre-Requisites

Not applicable.

### Employability Skills Information

This unit contains employability skills.

## Elements and Performance Criteria Pre-Content

Elements are the essential outcomes of the unit of competency. Together, performance criteria specify the requirements for competent performance. Text in *bold italics* is explained in the Range Statement following.

## Elements and Performance Criteria

ELEMENT	PERFORMANCE CRITERIA
<b>1. Finalise investigation</b>	<p>1.1 <i>Administrative requirements</i> for finalising the investigation are completed in accordance with organisational policy and procedures.</p> <p>1.2 <i>Investigative requirements</i> for finalising the investigation are undertaken in accordance with <i>legislation, policy and procedures</i> and <i>public sector standards</i>.</p> <p>1.3 Recovery action is considered and the decision is recorded in accordance with organisational policy and procedures.</p> <p>1.4 Management is advised on the outcome of the investigation.</p> <p>1.5 Confidentiality of information gathered in the investigation process is maintained where appropriate.</p>
<b>2. Handle complaints and appeals</b>	<p>2.1 Complaints and appeals are received and dealt with in accordance with legislation, organisational policy and procedures for complaint handling.</p> <p>2.2 Legislation relating to complaints and appeals and the potential role of the ombudsman are considered, and responses are timely and provided in accordance with their requirements, when applicable.</p>
<b>3. Prepare an investigation report</b>	<p>3.1 A finalisation <i>report</i> is prepared in relation to the findings and submission of evidence.</p> <p>3.2 The report is prepared with <i>recommendations</i> for subsequent action, if relevant.</p> <p>3.3 The report is prepared in accordance with organisational requirements for content and format, and is referred to management and media liaison in accordance with organisational policy and procedures.</p> <p>3.4 Self-assessment of the conduct of the investigation is undertaken and verbal and written briefings are provided in accordance with organisational requirements, highlighting successful processes and outcomes and suggesting future improvements.</p>
<b>4. Use investigation outcomes</b>	<p>4.1 External organisations are informed of outcomes if applicable and this action documented.</p> <p>4.2 Organisational systems are updated regularly to contribute investigation results to statistics, trends and precedents.</p>

## Required Skills and Knowledge

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

### Skill requirements

Look for evidence that confirms skills in:

- undertaking analysis and problem-solving
- engaging in exchanges of sometimes complex oral information
- varying style and language during briefings to suit a range of audiences
- responding to diversity, including gender and disability
- writing summaries, briefing papers and reports requiring clarity, accuracy and formality of structure and language
- applying public sector standards and legislation such as occupational health and safety and environment in the context of investigations

### Knowledge requirements

Look for evidence that confirms knowledge and understanding of:

- legislation relating to the offences under investigation
- procedures for investigation
- administrative legislation relating to the organisation
- organisational guidelines for reporting and information management
- legal and organisational requirements for documentation
- ethical standards
- equal employment opportunity, equity and diversity principles
- public sector legislation such as occupational health and safety and environment relating to the conduct of investigations

## Evidence Guide

The Evidence Guide specifies the evidence required to demonstrate achievement in the unit of competency as a whole. It must be read in conjunction with the Unit descriptor, Performance Criteria, the Range Statement and the Assessment Guidelines for the Public Sector Training Package.

### Units to be assessed together

- *Pre-requisite* units that must be achieved prior to this unit: *Nil*
- *Co-requisite* units that must be assessed with this unit: *Nil*
- *Co-assessed units* that may be assessed with this unit to increase the efficiency and realism of the assessment process include, but are not limited to:
  - PSPETHC401A Uphold and support the values and principles of public service
  - PSPLEGN401A Encourage compliance with legislation in the public sector
  - PSPGOV422A Apply government processes
  - PSPREG401C Exercise regulatory powers
  - PSPREG404C Investigate non-compliance
  - PSPREG412A Gather and manage evidence
  - PSPREG418A Advise on progress of investigations
  - PSPREG420A Plan and implement recovery action

### Overview of evidence requirements

In addition to integrated demonstration of the elements and their related performance criteria, look for evidence that confirms:

- the knowledge requirements of this unit
- the skill requirements of this unit
- application of the Employability Skills as they relate to this unit (see Employability Summaries in Qualifications Framework)
- finalisation of investigations and reports in a range of (3 or more) contexts (or occasions, over time)

### Resources required to carry out assessment

These resources include:

- legislation, policy, procedures and protocols relating to investigations
- reporting formats
- case studies and workplace scenarios to capture the range of situations likely to be encountered when finalising and reporting on investigations

### Where and how to assess evidence

Valid assessment of this unit requires:

- a workplace environment or one that closely resembles normal work practice and replicates the range of conditions

likely to be encountered when finalising and reporting on investigations, including coping with difficulties, irregularities and breakdowns in routine

- finalisation of investigations and reports in a range of (3 or more) contexts (or occasions, over time)

Assessment methods should reflect workplace demands, such as literacy, and the needs of particular groups, such as:

- people with disabilities
- people from culturally and linguistically diverse backgrounds
- Aboriginal and Torres Strait Islander people
- women
- young people
- older people
- people in rural and remote locations

Assessment methods suitable for valid and reliable assessment of this competency may include, but are not limited to, a combination of 2 or more of:

- case studies
- demonstration
- portfolios
- questioning
- scenarios
- authenticated evidence from the workplace and/or training courses

**For consistency of assessment**

Evidence must be gathered over time in a range of contexts to ensure the person can achieve the unit outcome and apply the competency in different situations or environments

## Range Statement

The Range Statement provides information about the context in which the unit of competency is carried out. The variables cater for differences between States and Territories and the Commonwealth, and between organisations and workplaces. They allow for different work requirements, work practices and knowledge. The Range Statement also provides a focus for assessment. It relates to the unit as a whole. Text in ***bold italics*** in the Performance Criteria is explained here.

***Administrative requirements for finalising investigations*** may include:

- recording:
  - name of deciding authority (judge/magistrate)
  - final jurisdiction (court)
  - decision and final comments of court result
  - penalty orders/compensation
  - case management system check list
  - referral for national or regional review
  - acquittal of exhibit register
  - feedback to director of public prosecutions

***Investigative requirements for finalising investigations*** may include:

- disposal/return of exhibits
- filing of evidence
- meeting forfeiture requirements
- filing/storage of items such as:
  - brief of evidence
  - original statements
  - original tapes

***Legislation, policy and procedures*** may include:

- enabling and related legislation
- privacy legislation/instructions
- organisational procedures and protocols
- occupational health and safety legislation
- standard operating procedures
- Australian Government Investigation Standards (AGIS)

***Public sector standards*** may include:

- code/s of conduct
- ethics standards
- confidentiality and privacy requirements
- equity and diversity considerations
- equal employment opportunity
- anti-discrimination requirements

***Investigation report*** will:

- have:
  - a logical sequence
  - internal consistency
  - recommendations for further action, if appropriate



- be:
  - factual
  - unbiased
  - objective
  - readable to someone who doesn't know the case
  - support the conclusion and outcomes of the investigation
- recovery of debt
- dismissal of employee
- disciplinary action
- waiving of debt

*Recommendations* may include:

## **Unit Sector(s)**

Not applicable.

## **Competency field**

Regulatory.