



**Australian Government**

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

# **PSPREG502A Coordinate investigation processes**

**Revision Number: 1**

## **PSPREG502A Coordinate investigation processes**

### **Modification History**

Not applicable.

### **Unit Descriptor**

#### **Unit descriptor**

This unit covers the effective coordination of the investigative process, conducted internally, with or by an outside organisation. It includes planning and preparing for the investigation, leading and supporting the investigation team, monitoring progress of the investigation, finalising and reporting on the investigation and conducting a debriefing.

In practice, coordinating investigations may overlap with other public sector work activities such as promoting ethical practice and compliance with legislation, coordinating resources, research and analysis, etc.

This unit replaces and for qualification purposes only, is equivalent to *PSPFRAU503A Coordinate investigations*. The unit is no longer restricted to fraud investigations.

### **Application of the Unit**

Not applicable.

### **Licensing/Regulatory Information**

Not applicable.

### **Pre-Requisites**

Not applicable.

### **Employability Skills Information**

**Employability skills** 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

#### 1. Plan investigation

- 1.1 Objectives and desired outcomes of the *investigation* are identified, documented and communicated to investigation team
- 1.2 Relevant legislation is reviewed and *stakeholders* are consulted to ensure sound preparation for the investigation
- 1.3 Resource requirements are identified and authorised after considering other organisational needs
- 1.4 Communications strategy is established in consultation with team
- 1.5 Continuous review mechanisms are put in place to monitor the progress of the investigation
- 1.6 *Investigation management system* is used to develop investigation plan, allocate resources and provide for systematic recording of investigation decisions

#### 2. Prepare for investigation

- 2.1 An evidence matrix is developed and updated as required
- 2.2 Assessment is made of possible avenues of enquiry
- 2.3 Elements/proofs of the offence are determined and witnesses are identified
- 2.4 Consultation is conducted with other organisations when investigation impacts on their organisation
- 2.5 Potential for recovery action is assessed and liaison occurs with appropriate authorities to determine when recovery action should begin and what is involved

#### 3. Lead and support investigation team

- 3.1 Personnel are allocated to the investigation based upon their skills, knowledge and abilities in relation to the requirements of the investigation
- 3.2 Specialist resources are located internally and externally to facilitate successful outcome
- 3.3 Administrative support is organised from commencement of investigation
- 3.4 Ongoing advice and support are provided to the team in accordance with the requirements of the investigation
- 3.5 Investigation plan is revised as required in response to *contingencies* in consultation with investigative team, and incorporating suggestions where practicable

#### 4. Monitor progress of investigation

- 4.1 Investigation is monitored against the requirements of the continuously updated investigation plan
- 4.2 Evidence collection and handling of witnesses/alleged offenders is monitored to ensure conduct is in accordance with rules of evidence and procedural fairness considerations
- 4.3 Team members are regularly consulted on progress of the

**ELEMENT****PERFORMANCE CRITERIA**

- investigation in both informal situations and scheduled reviews
- 4.4 Obstacles encountered during the investigation are discussed and solutions found
- 4.5 *Key tasks*, deadlines and timelines are monitored, risks anticipated and extra resources and/or external expertise authorised as required in accordance with the investigation are plan
- 4.6 Requirement for specialists is monitored to ensure their cost-effective use
- 5. Finalise and report on investigation**
- 5.1 Final stage of investigation is supervised to ensure conclusion in court or other body if appropriate
- 5.2 Investigation is finalised within (revised) budget and time restrictions and results are recorded in accordance with legislative and organisational requirements
- 5.3 Administrative/recovery actions are initiated where appropriate
- 5.4 Witnesses, alleged offenders and other persons/organisations affected by the investigation are provided with sufficient information about the outcome
- 5.5 If planned outcome is not achieved, follow-up actions are planned to progress to next stage or to take no further action
- 5.6 Reports are made to management on outcomes relevant to future compliance activities particularly on how organisational procedures assisted or impeded investigation
- 6. Conduct debriefing**
- 6.1 Activities are reviewed against objectives and outcomes of the investigation
- 6.2 Strengths and weaknesses in investigation process are highlighted for future investigations
- 6.3 Precedents and problems are noted for future investigations
- 6.4 Achievements are acknowledged through formal and informal means
- 6.5 *Debriefing report* is prepared in accordance with organisational policy and procedures

## Required Skills and Knowledge

### 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:

- managing the ongoing process of the investigation, particularly for compliance with legislative, judicial and agency requirements
- undertaking project management that contributes to achieving stated objectives of the investigation and effective utilization of resources
- managing contracted services and specialist staff where required
- writing reports requiring formal language and structure and precision of expression
- using communication to suit a range of audiences
- conducting complex oral exchanges in briefing sessions and team meetings
- responding to diversity, including gender and disability
- applying procedures relating to occupational health and safety and environment in the context of investigations

#### Knowledge requirements

Look for evidence that confirms knowledge and understanding of:

- the role of investigations in achieving the organisation's strategic compliance objectives
- Australian Government Investigation Standards (AGIS)
- legislative and jurisdictional requirements
- organisational policy and procedures
- aspects of criminal, civil or administrative law as apply in that jurisdiction, such as:
  - Part 1C of the Crimes Act 1914
  - Judges Rules
  - Anunga Rules (Commonwealth jurisdiction)
- investigation methodology and techniques
- powers and restrictions to investigate
- rules and types of evidence
- report procedures which provide a written and/or electronic audit trail
- confidentiality and privacy issues
- procedures re lines of reporting
- storage of evidence
- equal employment opportunity, equity and diversity principles
- public sector legislation such as occupational health and safety and environment in the context of investigations



## Evidence Guide

### 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:

PSPETHC501B Promote the values and ethos of public service

PSPFRAU502B Anticipate and detect possible fraud activity

PSPGOV503B Coordinate resource allocation and usage

PSPGOV504B Undertake research and analysis

PSPGOV505A Promote diversity

PSPLEGN501B Promote compliance with legislation in the public sector

PSPOHS501A Monitor and maintain workplace safety

#### 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)
- investigations coordinated in a range of (3 or more) contexts (or occasions, over time)

These resources include:

#### Resources required to carry out assessment

- legislation, policy, procedures and protocols relating to investigation
- Australian Government Investigation Standards
- the organisation's enabling legislation and offences
- case studies and workplace scenarios to capture the range of investigation situations likely to be encountered

#### 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 coordinating investigations, including coping



## EVIDENCE GUIDE

with difficulties, irregularities and breakdowns in routine

- investigations coordinated 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
- observation
- 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

### 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 *italics* in the Performance Criteria is explained here.

*Investigations may include*

- complete investigations
- joint investigations with other agencies
- parts of investigations carried out in-house
- outsourced investigations
- those referred to other relevant law enforcement agencies (for example police, Independent Commission against Corruption, Criminal Justice Commission)
- formal enquiries that do not proceed to investigation

*Stakeholders may include*

- law enforcement agencies
- standards setting organisations

*Investigation management system allows for*

- development of investigation plan
- systematic recording of decisions
- regular review process
- level of financial and human resources required

*Contingencies may include*

- receipt of new information
- changes in:
  - times
  - budgets
  - plans
  - staff

*Key tasks may include*

- authorities, powers and limitations on those monitoring the collection and handling of evidence which is vital to the outcome of investigation
- updating information systems and recording

*Debriefing report includes*

- whether desired result was achieved
- why the investigation succeeded or failed
- aspects to be used/avoided in the future
- details of issues and recommendations

## Unit Sector(s)

Not applicable.

## **Competency field**

**Competency field**            Regulatory