



**Australian Government**

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

# **PSPREG502A Coordinate investigation processes**

**Release 3**

## Modification History

Release	TP Version	Comments
3	PSP12V1	Unit descriptor, application of unit, evidence guide and range statement edited.
2	PSP04V4.2.	Layout adjusted. No changes to content.
1	PSP04V4.1	Primary release.

## Unit Descriptor

This unit describes the performance outcomes, skills and knowledge required to effectively coordinate investigative processes, conducted internally, with or by an outside organisation. No licensing, legislative, regulatory or certification requirements are applicable to this unit at the time of publication

## Application of the Unit

This unit applies to individuals in a range of regulatory work environments who are authorised to plan and prepare for investigations, lead and support investigation teams, monitor progress throughout investigations, and finalise, report on and conduct debriefings related to a range of different investigations under enabling legislation.

## 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
1. Plan investigation	<p>1.1 Objectives and desired outcomes of the <i>investigation</i> are identified, documented and communicated to investigation team.</p> <p>1.2 Relevant legislation is reviewed and <i>stakeholders</i> are consulted to ensure sound preparation for the investigation.</p> <p>1.3 Resource requirements are identified and authorised after considering other organisational needs.</p> <p>1.4 Communications strategy is established in consultation with team.</p> <p>1.5 Continuous review mechanisms are put in place to monitor the progress of the investigation.</p> <p>1.6 <i>Investigation management system</i> is used to develop investigation plan, allocate resources and provide for systematic recording of investigation decisions.</p>
2. Prepare for investigation	<p>2.1 An evidence matrix is developed and updated as required.</p> <p>2.2 Assessment is made of possible avenues of enquiry.</p> <p>2.3 Elements/proofs of the offence are determined and witnesses are identified.</p> <p>2.4 Consultation is conducted with other organisations when investigation impacts on their organisation.</p> <p>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.</p>
3. Lead and support investigation team	<p>3.1 Personnel are allocated to the investigation based upon their skills, knowledge and abilities in relation to the requirements of the investigation.</p> <p>3.2 Specialist resources are located internally and externally to facilitate successful outcome.</p> <p>3.3 Administrative support is organised from commencement of investigation.</p> <p>3.4 Ongoing advice and support are provided to the team in accordance with the requirements of the investigation.</p> <p>3.5 Investigation plan is revised as required in response to <i>contingencies</i> in consultation with investigative team, and incorporating suggestions where practicable.</p>
4. Monitor progress of investigation	<p>4.1 Investigation is monitored against the requirements of the continuously updated investigation plan.</p> <p>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.</p> <p>4.3 Team members are regularly consulted on progress of the investigation in both informal situations and scheduled reviews.</p> <p>4.4 Obstacles encountered during the investigation are discussed</p>

**ELEMENT****PERFORMANCE CRITERIA**

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

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 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
- 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 regarding 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

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.

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

In addition to integrated demonstration of the elements and their related performance criteria, look for evidence that confirms consistency of performance in coordinating investigation processes.

This will include evidence of:

- coordinating at least three actual or simulated investigations, on three separate occasions or for three different situations/contexts
- adhering to legal, ethical and organisational requirements relating to investigations.

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

Assessment must ensure access to a real or simulated workplace environment that closely resembles normal work practice and replicates the range of conditions likely to be encountered while coordinating investigation processes, including coping with difficulties, irregularities and breakdowns in routine.

Access is required to resources such as:

- applicable legislation, policies and procedures
- case studies and workplace scenarios to capture the range of requirements for situations likely to be encountered
- technology for investigation management systems.

### **Method of assessment**

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

- case studies
- demonstration
- observation
- written or oral questions
- scenarios
- simulation or role plays
- authenticated evidence from the workplace and/or training courses.

### **Guidance information for assessment**

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



## 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.

***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
- other government agencies
- industry group
- informants

***Investigation management system*** may include:

- review process
- level of financial and human resources required
- use of IT case

***Action*** may include:

- recovery action

***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**

Regulatory.