



**Australian Government**

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

# **PSPREG701A Manage investigations program**

**Revision Number: 3**

## PSPREG701A Manage investigations program

### 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 management of an organisation's investigations program where investigations may be conducted internally, externally or referred to other law enforcement agencies. It includes articulating and authorising an investigations strategy, evaluating investigation processes and the outcomes of investigations, handling complaints, authorising investigations, changing the strategic direction of investigations, and building links at policy level with other organisations and policy makers.

In practice, managing investigations may overlap with other generalist or specialist public sector workplace activities such as managing compliance with legislation, managing diversity, managing risk, networking, implementing policy, managing client service, directing project activities, managing resources.

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. Articulate and authorise investigations strategy</b>	1.1 Investigations strategy is linked to objectives of the organisation's overall compliance strategy. 1.2 Strategy is used to communicate the roles of staff in investigations including their functions, responsibilities and rights. 1.3 Policy and procedures are developed to enable staff to conduct successful investigations and meet organisational objectives. 1.4 Guidelines are developed to assist decision making on whether particular investigations should be conducted in-house or <i>through other avenues</i> . 1.5 Documented organisational procedures for handling investigations are included in guidelines. 1.6 Staff training and maintenance of standards are addressed in the development of the guidelines.
<b>2. Evaluate process of investigations</b>	2.1 Scheduled times for evaluation and review are established in accordance with organisational policy and procedures. 2.2 Consultation, review and development processes are developed and communicated in accordance with organisational policy and procedures. 2.3 Quality assurance review programs are established to ensure the integrity of policy and procedures is maintained or enhanced. 2.4 Data from performance measures is used to validate investigation processes against best practice, noting areas where improvements are needed as part of quality implementation. 2.5 Recommendations to improve organisational <i>guidelines</i> are compared with legislative and judicial standards, to improve consistency with external benchmarks. 2.6 Statutory reporting obligations are managed in accordance with organisational policy and procedures.
<b>3. Evaluate outcomes of investigations</b>	3.1 Resolution rate of investigations, reasons for lack of resolution and time taken to complete investigations are reported on and analysed for improvement. 3.2 Strategic directions are amended where necessary to improve the rate of investigation resolution and the time taken for investigations to be completed.
<b>4. Handle complaints</b>	4.1 Strategies are established to handle a range of situations that may impact on the reputation of the organisation. 4.2 Policy and procedures are implemented to facilitate the timely reporting to senior management of potentially serious situations.
<b>5. Authorise investigations</b>	5.1 Authority levels are determined to reflect structure and reporting lines within the organisation, jurisdictional and legislative requirements. 5.2 Decisions regarding the allocation of investigative tasks to

<b>ELEMENT</b>	<b>PERFORMANCE CRITERIA</b>
	internal or external investigation personnel are based on organisational guidelines.
	5.3 Any request for authorisation by senior management is accompanied by sufficient information to facilitate effective and timely decision making.
<b>6. Change strategic direction of investigations</b>	6.1 Broader policy directives are balanced with needs and demands within the organisation. 6.2 Any exemptions to established policy are authorised after full consideration of impact on the organisation, legal ramifications and reasons for exemption.
<b>7. Build links at policy level with other organisations and policy makers</b>	7.1 Opportunities for liaison with other investigations managers are used to extend knowledge and improve links within the profession. 7.2 Staff are encouraged to build relationships with peers in other organisations. 7.3 Opportunities are taken to promote the organisation and the investigations profession with policy makers and the public. 7.4 Relationships with other key law enforcement agencies and standards setting organisations are established and maintained. 7.5 Relationships with other relevant stakeholders are established and maintained.

## 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 projects
- managing systems and processes for effective investigation processes and outcomes
- liaising and managing investigations with outside agencies where, for example, investigations are conducted jointly or referred to a police service or contracted to an outside body
- undertaking analysis and problem solving, especially when dealing with complaints
- using a range of communication styles to suit different audiences and purposes
- responding to diversity, including gender and disability
- applying occupational health and safety and environmental procedures in the context of investigation management

### Knowledge requirements

Look for evidence that confirms knowledge and understanding of:

- agency investigation/compliance strategy
- agency structure and core business
- investigation techniques
- an understanding of the relationship of the investigation strategy to the agency's overall strategy and jurisdictional policy and legislative requirements
- relevant legislation and policy covering the conduct of investigations, as well as the procedural and offence provisions of specific legislation
- legislative reporting requirements to standards setting organisations
- public sector legislation relating to investigations management including anti-discrimination and diversity legislation, occupational health and safety and environment

## 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:
  - PSPETHC701A Lead and influence ethical practice in the public sector
  - PSPHR703A Provide leadership in strategic human resource management
  - PSPMNGT701B Provide strategic direction
  - PSPMNGT702A Influence and shape diversity management
  - PSPMNGT703A Lead and influence change
  - PSPMNGT704A Undertake enterprise risk management

### 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)
- managing investigations programs relating to a range of (3 or more) contexts

### Resources required to carry out assessment

These resources include:

- the organisation's enabling legislation, policy and procedures that provide investigation powers
- investigation guidelines and standards
- public sector values and codes of conduct
- case studies and workplace scenarios to capture the range of situations likely to be encountered when managing investigations programs

### 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 managing investigations programs, including coping with difficulties, irregularities and breakdowns in routine

- managing investigations programs relating to a range of (3 or more) contexts

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
- 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.

***Other avenues for conducting investigations*** may include:

- joint operations
- referral to other agencies
- private investigators

***Guidelines*** may include:

- those produced by standards setting organisations relevant to the jurisdiction

## Unit Sector(s)

Not applicable.

## Competency field

Regulatory.