



# Recognition Assessment Workbook

**PSP41504**

## Certificate IV in Government (Investigation)

Last Name: \_\_\_\_\_

First Name: \_\_\_\_\_

Agency: \_\_\_\_\_

Agency Address: \_\_\_\_\_

Work Email: \_\_\_\_\_

Work Phone: \_\_\_\_\_

Mobile: \_\_\_\_\_



Registered Training Organisation

# 88101

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## Introduction

Welcome to the PSP41504 Certificate IV in Government (Investigation) Recognition Assessment workbook. The aim of this workbook is to:

- provide you with an understanding of the training delivery and assessment strategies for the qualification, and
- assist you to identify and gather evidence from your workplace to confirm your competence in the units of competency.

To be eligible for the award of the Certificate IV in Government (Investigation) you will need to demonstrate your competency in at least 15 units of competency of which 10 units are required and 5 units are chosen electives.

Unit of competency	Assessment Strategy
<p>PSPETHC401A - Uphold &amp; support the values and principles of public service *</p> <p>PSPLEGN401A - Encourage compliance with legislation in the public sector *</p> <p>PSPOHS301A - Contribute to workplace safety **</p> <p>PSPGOV412A - Use advanced workplace communication strategies *</p>	<p>Assessed by recognition of your knowledge and skills in the workplace and confirmed by third party referee reports.</p> <p><i>(These units are usually covered in training conducted within government agencies. A special distance package will be made available for private sector candidates or those who have not done training through their agency.)</i></p>
<p>PSPREG401C – Exercise regulatory powers *</p> <p>PSPREG404C – Investigate non-compliance *</p> <p>PSPREG407B – Produce formal record of interview *</p> <p>PSPREG409B – Prepare a brief of evidence **</p> <p>PSPREG411A – Gather information through interviews *</p> <p>PSPREG412A – Gather and manage evidence *</p> <p>PSPREG415A – Receive and validate data **</p> <p>PSPREG416A – Conduct data analysis **</p> <p>PSPREG418A – Advise on progress of investigations *</p> <p>PSPREG419A – Finalise and report on investigations *</p> <p>PSPSEC405A – Handle security classified information **</p>	<p>Delivered through the Government Investigation Courses – Modules 1 and 2 - and partially assessed through submission of post-course workplace assignment. Also assessed by recognition and confirmed by third party referee reports.</p>

**Note:** Units marked with an asterisk (\*) are required. Unit marked with double asterisk (\*\*) are the required chosen electives.

## **PSP41504 Certificate IV in Government (Investigation) program training strategy**

The Certificate IV in Government (Security) training program is made up of the following two Protective Security Training Centre courses:

- Five Day Government Investigation Course – Module 1
- Five Day Government Investigation Course – Module 2

## **PSP41504 Certificate IV in Government (Investigation) program assessment strategy**

This qualification is achieved through completion of two course modules and a recognition phase. The components are as follows:

- Government Investigation Course – Module 1
- Government Investigation Course – Module 2
- in-class exercises, tests and presentations
- post-course workplace assignments, and
- Recognition / assessment in the workplace.

### **Assignments**

You will be briefed during the courses on the assignments for the competencies of this qualification. It is important that you complete the assignment as soon as possible. You have three months to complete your assignment after each course. Extensions can be negotiated in special cases. Qualified assessors at the Protective Security Training Centre will assess post-course assignments.

### **Units of competency**

Units of competency contain a **competency field** that covers the following industry sectors. The **generalist** units of competency are: Ethics and Accountability (ETH); Working in Government (GOV); Legislation and Compliance (LEGN); and Occupational Health and Safety (OHS). The **specialist** units of competency are: Policy (POL); Regulatory (REG); and Government Security Management (SEC).

For some of the generalist units, it is expected that students will have completed in-house training in OHS, code of conduct, equity and diversity within their agency. Students will need to produce evidence of completion of training and/or produce a third party referee report as part of the recognition assessment. If this pre-requisite training has not been completed then arrangements can be made with the Protective Security Training Centre to complete some distance training and assessment for these units.

### **Academic transcripts**

Successful completion of each Unit of Competency is recorded in the Protective Security Training Centre student record system (VETtrak). An official Academic Transcript listing all successfully completed Units of Competency is provided with all awards (Certificate / Diploma). Even if you do not complete sufficient units to achieve a full qualification, you can request a Statement of Attainment for those units that you have completed.

## How does Assessment by National Recognition work?

National Recognition as defined in the Australian Quality Training Framework (AQTF) provides for recognition in the national training system at three levels:

- (a) Recognition by a Registered Training Organisation (RTO) of the AQF qualifications and statements of attainment issued by all other RTOs, thereby enabling national recognition of the qualification and statements of attainment issued to any person.
- (b) Recognition by each state and territory's registering body of the training organisations registered by any other state or territory's registering body and of its registration decisions.
- (c) Recognition by all state and territory course-accrediting bodies and registering bodies of all courses accredited by each state or territory's course-accrediting body and of its accredited decisions.

There are two pathways to assessment in a competency based framework:

- Recognition of competency – portfolio based evidence
- Workplace assessment – assessment on the job

In a Recognition or Prior Learning (RPL) or assessment only pathway, the candidate provides current, quality evidence of their competency against the relevant units of competency.

### Evidence to support your assessment

Using the portfolio pathway, you gather evidence from past and present workplace experiences or by engaging in development activities. Evidence plays a critical role in the assessment process. Assessment of evidence is a process of confirming you have achieved competency. The rules of evidence require that evidence used for assessment must be valid, authentic, consistent, sufficient, current and reliable. To be certain the final decision of competent / not yet competent is accurate, your evidence must be examined to ensure it meets the following six rules of evidence:

- 1 **Validity** – refers to the requirement that the evidence be relevant to the competencies being assessed and to current workplace practices.
- 2 **Authenticity** – evidence presented for assessment must be the candidate's own work.
- 3 **Consistency** – refers to the requirements that the portfolio shows a consistent standard over a period of time.
- 4 **Sufficient** – requires that there be sufficient recent evidence to cover all components of competency – task skills, task management skills, contingency skills and job/role environment skills – as well as to provide evidence of competent performance over time.
- 5 **Currency** – demands the assessor be confident that the candidate performs to the standard to demonstrate competency. This is based on performance at this time, so evidence must be provided from either the present or the very recent past.
- 6 **Reliability** – requires that the evidence has come from a reliable and verifiable source.

## Types of evidence

The following table summarises some types of evidence and examples of each. You need to provide several types of evidence for each unit of competency assessed or claimed to satisfy the assessor. You should discuss evidence required with your assessor.

Evidence Type	Explanation	Examples
Job experience	Details of work history and past and current job experience	Resume or Curriculum Vitae
Job duties	Details work responsibilities and the standard of performance of job tasks	Current and/or recent previous Job Descriptions or Duty Statements
Performance Management	Details standard and competence in the performance of job tasks	PPI, Performance Appraisals Reports, Performance Management Agreements
Work history	Documents that demonstrate completion of relevant workplace training and the capacity to apply the skills in the workplace	CV, current and/or previous Job Descriptions, membership of relevant professional associations, references from previous employers/supervisors, industry awards.
Work product	Samples of work verified as authentic	Emails, memos, letters, reports etc
Third party reports	Report from a competent supervisor or colleague that confirms the candidate's level of knowledge and ability to apply skills in the workplace.	Reports from managers, supervisors and clients
Accredited training program	A qualification or statement of attainment including a transcript of units of competency awarded	Statement of Attainment, Certificate or Diploma (Certified true copies or originals)
Other training programs	Documents that confirm attendance at a formal course of study	Non-accredited course or a University course
Interview / questioning / exams	Confirms the candidate's knowledge of the legislation policy and procedures that underpin the security assessing process	Responses to scenarios, knowledge of policy and processes
Workplace	Workplace documents that have been produced by the candidate	Written communications

Evidence Type	Explanation	Examples
documents	that are relevant to his/her claim	
Practical demonstration	Observation by the assessor of the candidate actually performing the tasks in the workplace or in a simulated workplace environment	Conduct a simulated security assessing interview
Professional organisation memberships	Evidence of networks and continuous improvement and professional development	Membership of relevant professional associations

Your portfolio will be examined by an assessor, and if necessary, a subject matter expert (SME). The focus of the assessor will be *“can the candidate do this now?”* Additionally, the assessor will need to determine whether the evidence, as a whole, matches your claims. They will do this by comparing the documents with the competency standards. If there is something the assessor cannot reasonably infer from the evidence, they may request further documentary evidence be provided.

Although documentary evidence is the key to a portfolio assessment, you may also need to meet with the assessor. This provides an opportunity for you to expand the evidence you have presented and for the assessor and/or SME to be satisfied that the evidence provided meets the rules of evidence. You will usually be asked *“what if ...”* type questions by the assessor, so they can be sure you are able to apply your skills and knowledge to real life situations.

### What to expect when compiling your evidence

The length of a recognition process will vary depending on a number of factors, such as what is being assessed, the strategies being used to gather evidence, how many tasks you are being assessed against, the type of evidence you present, the availability of assessors and / or subject matter experts, etc.

During the course, an assessor will provide you with information about:

- the assessment strategy and recognition process
- what is required in completing your Recognition Assessment Workbook, and
- the most appropriate way(s) of gathering evidence.

You will also be advised of the timeframe for compiling your evidence and submitting your portfolio for assessment.

As part of the assessment of the evidence provided in your portfolio, the recognition process may involve a follow-up meeting with the assessor and/or you may be required to provide additional evidence to support your claims. You will be advised by an assessor if this is necessary.

### **Who will have access to my portfolio?**

In accordance with the AQTF standards for RTOs, the Protective Security Training Centre confirms your portfolio will be treated in confidence and only shown to individuals who have a genuine need to see the portfolio in order to conduct the assessment. Where you feel the need to use sensitive documents as evidence, it is recommended that you discuss this with the Protective Security Training Centre before you submit your portfolio of evidence.

### **Complaints and appeals**

Staff take complaints and appeals seriously and every effort will be made to resolve identified problems in a timely manner. If you have a complaint, in the first instance you should speak to your assessor who will endeavour to rectify the issue. If your issue concerns the workplace assessor and you feel uncomfortable speaking with the assessor contact another assessor or the Assistant Director: Training and Development. If your complaint is unresolved at this level, please refer the issue to the Training Centre Director who if unable to resolve the issue will arrange a panel or independent person to hear the complaint.

An independent person may be another officer of the Attorney General's Department removed from the Protective Security Training Centre, or a member of the Australian Public Service Commission (APSC). You may also choose to have an independent person with you for any hearing of the complaint. This person can be anyone of your choosing. For example: work colleague, other course participant. Candidates will receive a written statement of the outcome of the complaint or appeal.

### **Student Handbook**

You should carefully read your rights and responsibilities outlined in the Student Handbook. This document is provided with the course joining instructions and can also be downloaded from:

<http://www.ag.gov.au/pstc>

## **Where to get help**

You will complete an initial session with a Protective Security Training Centre Assessor at which time you should ask questions if you are unsure of the process. Also, feel free to call the Protective Security Training Centre at any time if you are having difficulties.

The contact details are as follows:

**Telephone number for general enquires and course registrations:** (02) 6141 3699

**Telephone number for Recognition enquiries:** (02) 6141 3678

**Email address for Recognition enquiries:** [rpl.pstc@ag.gov.au](mailto:rpl.pstc@ag.gov.au)

### **Physical Address:**

**Protective Security Training Centre**  
Kenneth Bailey Building  
71 State Circle  
YARRALUMLA ACT 2600

### **Postal Address:**

**Assistant Director, Training and Development**  
Protective Security Training Centre  
Attorney-General's Department  
3 - 5 National Circuit  
BARTON ACT 2600

## Part 1: Candidate's personal details

1 Personal Details		
Last Name		
First Name		
Preferred Name		
Preferred Title (Mr, Mrs, Ms, Miss)		
Home Address		
Postal address if different from above		
Telephone Numbers	Home:	Work:
	Mobile:	Fax:
Date of Birth	/ /	
Gender	MALE <input type="checkbox"/> / FEMALE <input type="checkbox"/>	
Are you a permanent Resident of Australia	YES <input type="checkbox"/> / NO <input type="checkbox"/>	
2 Current Employment		
Are you currently employed?	YES <input type="checkbox"/> / NO <input type="checkbox"/>	
If Yes, in which occupation are you currently employed?	.....	
Who is your current employer?	.....	
Job Title	.....	
3 Armed Forces details (If Applicable)		
Branch of Service		
Trade classification on discharge		
4 Further Training		
Have you undertaken any training courses related to the occupation and qualification?	YES <input type="checkbox"/> / NO <input type="checkbox"/>	
<b>If Yes</b>		
What occupation were you trained in?		
Training completion Date (month, year)		
Country where you trained		

Name of course and Institution (if applicable)	
<b>5 Is there any further information you wish to give in support of your application</b>	
<b>6 Professional Referees (relevant to work situation)</b>	
Name Position Organisation Phone Number Mobile Number Email Address	..... ..... ..... ..... ..... .....
Name Position Organisation Phone Number Mobile Number Email Address	..... ..... ..... ..... ..... .....



**Part 3: Candidate's self-assessment summary**

Unit of competency	I have performed these tasks (please tick)		
	Frequently	Sometimes	Never
PSPETHC401A - Uphold & support the values and principles of public service *			
PSPLEGN401A - Encourage compliance with legislation in the public sector *			
PSPOHS301A - Contribute to workplace safety **			
PSPGOV412A - Use advanced workplace communication strategies *			
PSPREG401C – Exercise regulatory powers *			
PSPREG404C – Investigate non-compliance *			
PSPREG407B – Produce formal record of interview *			
PSPREG409B – Prepare a brief of evidence **			
PSPREG411A – Gather information through interviews *			
PSPREG412A – Gather and manage evidence *			
PSPREG415A – Receive and validate data **			
PSPREG416A – Conduct data analysis **			
PSPREG418A – Advise on progress of investigations *			
PSPREG419A – Finalise and report on investigations *			
PSPSEC405A – Handle security classified information **			

**Candidate Declaration**

I declare that the evidence detailed in the Recognition Workbook for the units of competency is true and correct and that the documents and statements supplied satisfy the rules of evidence for assessment.

**Candidate's Signature:** \_\_\_\_\_ **Date** \_\_\_\_\_

#### Part 4: Third Party Referee reports – Certificate IV in Government (Investigation)

Third party reports can be completed by any member of staff who have worked with the candidate and can supply relevant examples of work performance. The referee needs to complete these attachments honestly and provide comments and examples that support and validate the candidate's claims. The person completing a third party report does not have to be an accredited workplace assessor. These are not statements of competence but are comments and examples of how the candidate conducts themselves in the workplace and therefore verifies the candidate's evidence of knowledge and skills.

These reports should include evidence of both knowledge and skills in regard to performance of the tasks in each of the units of competency. If the referee does not have first-hand knowledge please notate. The third party report should verify the statement of claims of the candidate against the units of competency and provide supporting examples.

**Check evidence guide for each unit, for the specific number of context examples required. Where possible both the candidate and the referee should include at least three brief examples in the comments section including the extent and currency of knowledge and skills. Information should also be included on any in-house courses, seminars or training completed by the candidate relating to each unit of competency.**

To be completed by the Third Party Referee after reading the above information and the supporting documents:

<b>Last Name of Candidate:</b>		<b>First Name of Candidate:</b>	
<b>Candidate's Organisation and Job Title:</b>			
<b>Last Name of Referee:</b>		<b>First Name of Referee:</b>	
<b>Referee's Organisation and Job Title:</b>			
<b>Referee's Contact Telephone No:</b>			
<b>Referee's Contact Email:</b>			
<b>Referee's Relationship to Candidate:</b>			
<b>Length of time the Referee has observed /supervised the Candidate:</b>			

#### Third Party Referee Declaration

I declare that I have read the supporting information and the candidate's claims against the units of competency. The comments I have supplied in the following unit of competency documents are true and correct and satisfy the rules of evidence for assessment.

**Third Party Referee's Signature:** \_\_\_\_\_ **Date** \_\_\_\_\_

## Part 5: Units of competency

The following pages include all units of competency required to be assessed for the qualification PSP41504 Certificate IV in Government (Investigation). For each unit there is a brief description of the unit and the elements for each unit (the essential outcomes of the unit) and performance criteria (the requirement for competent performance). Also included is a range statement (the context in which the unit of competency is carried out and a focus for assessment).

Candidates are required to complete the form attached to each competency. This form is required to supplement the portfolio of evidence and to provide examples of the candidate's ability relating the standards.

A third party referee statement must also be obtained to validate the claims made by the candidate.

**Note: It is recommended that candidates keep a copy of the completed Recognition Assessment Workbook for their records.**

For further information about the units comprising the qualification PSP41604 Certificate in Government (Security), please visit the following website:

<http://www.ntis.gov.au>

A summary of the employability skills developed through this qualification can be downloaded from:

<http://employabilityskills.training.com.au/>

Additional information on the generalist units can be located at the Australian Public Service Commission (APSC) website:

**Public Service Induction:** <http://www.apsc.gov.au/apsinduction/index.html>

**APS Values:** <http://www.apsc.gov.au/values/index.html>

**Legislation:** <http://www.apsc.gov.au/publications/legislation.htm>

**Employment Policy:** <http://www.apsc.gov.au/employmentpolicy/index.html>

**Code of Conduct:** <http://www.apsc.gov.au/conduct/index.html>

Other sites that may be of interest regarding safety information include:

<http://www.actsafe.act.gov.au/business.cfm>

[http://www.comcare.gov.au/virtual\\_workplaces/virtual\\_office/reception](http://www.comcare.gov.au/virtual_workplaces/virtual_office/reception)

## PSPETHC401A - Uphold and support the values and principles of public service

### Introduction

This is a required unit of competency in the PSP41504 Certificate IV in Government (Investigation) and covers the ethical conduct required of those in public service and the responsibility to encourage ethical conduct in others – colleagues or supervised staff.

Being competent in this unit means being able to:

### Contribute to an ethical public sector workplace

This element requires:

- Information on the **ethical values and principles** of the workplace is accessed, its interpretation confirmed with others and applied accordingly
- Application of ethical values and principles is discussed with senior management and colleagues to ensure common understanding and application
- **Others** are assisted to access and use public sector ethics **legislation and guidelines** to ensure their work practices comply with requirements
- The differences between public sector ethics/values and personal beliefs/values are explained to others to encourage understanding and compliance
- Hypothetical work practices that would constitute **unethical conduct** are identified and discussed with work colleagues, and strategies to avoid or deal with them are identified in accordance with organisational policy and procedures

### Participate in ethical decision making

This element requires:

- Real and potential **ethical problems** are identified, and decision making processes are used to resolve or refer them in accordance with organisational policy and procedures
- Information is regularly accessed to ensure currency in ethical knowledge, and ethical judgment is developed through involvement in workplace discussions or ongoing professional development related to ethical standards and practices
- Other staff are supported as necessary to contribute to ethical discussions and problem solving to develop their ethical judgment
- Processes for preventing and reporting unethical conduct are used and others are assisted in their application

### Range statement

The following information is taken from the Unit of Competency as outlined in the Public Sector Training Package (PSP04).

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.

<p><b><i>Ethical values and principles may include</i></b></p>	<ul style="list-style-type: none"> <li>• respect for the law</li> <li>• integrity</li> <li>• objectivity</li> <li>• accountability</li> <li>• honesty</li> <li>• openness</li> <li>• responsibility</li> <li>• impartiality</li> <li>• diligence</li> <li>• trustworthiness</li> <li>• confidentiality</li> <li>• respect for persons</li> <li>• responsible care</li> <li>• probity</li> <li>• economy and efficiency</li> <li>• natural justice/procedural fairness, that is:             <ul style="list-style-type: none"> <li>○ the right to be heard/put your case</li> <li>○ the right to be informed of a complaint or case against you</li> <li>○ the right to know reasons for decisions affecting you</li> <li>○ the right to know the outcomes/recommendations of an investigation involving you</li> <li>○ the right to privacy</li> <li>○ the right to representation</li> <li>○ the right to silence</li> <li>○ the decision maker should not be a judge in his/her own cause</li> </ul> </li> </ul>
<p><b><i>Others may include</i></b></p>	<ul style="list-style-type: none"> <li>• colleagues</li> <li>• supervised staff</li> <li>• contractors</li> </ul>
<p><b><i>Legislation and guidelines may include</i></b></p>	<ul style="list-style-type: none"> <li>• legislation for public sector management</li> <li>• freedom of information</li> <li>• privacy legislation</li> <li>• equal employment opportunity and anti-discrimination law</li> <li>• public sector standards</li> <li>• Ministerial directions</li> <li>• State/Territory/Commonwealth codes of ethics</li> <li>• organisational codes for conduct/ethics</li> <li>• organisational mission and values statements</li> <li>• organisational policy, procedures/guidelines</li> <li>• government policy</li> <li>• professional codes of ethics and conduct</li> <li>• equity guidelines, organisational workplace diversity guidelines</li> </ul>
<p><b><i>Unethical conduct may include</i></b></p>	<ul style="list-style-type: none"> <li>• fraud, corruption, maladministration and waste</li> <li>• unauthorised access to and/or use of information, money/finances, vehicles, equipment, resources, time</li> </ul>

	<ul style="list-style-type: none"> <li>• improper actions during contractual processes, such as release of intellectual property, infringing copyright, release of tender information, inappropriate disclosure during tender process</li> <li>• improper public comment on matters relating to the government and/or the organisation</li> <li>• falsifying records</li> <li>• giving false testimonials</li> <li>• dishonesty</li> <li>• improper use of plant and equipment, credit cards, frequent flyer points, telephones, email and Internet</li> <li>• extravagant or wasteful practices</li> <li>• personal favours</li> <li>• preferential treatment</li> <li>• putting barriers in place, hindering, blocking action</li> <li>• compromising behaviour including sexual harassment</li> <li>• lack of confidentiality</li> <li>• directing others to act unethically</li> <li>• oppressive/coercive management decisions</li> <li>• resorting to illegality to obtain evidence</li> </ul>
<p><b><i>Ethical problems which may need to be referred rather than resolved at this level may include</i></b></p>	<ul style="list-style-type: none"> <li>• conflict between public sector standards and personal values</li> <li>• conflict between public sector standards and other standards such as professional standards</li> <li>• conflict between public sector standards and directions of a senior officer or Minister</li> <li>• tension between two 'rights' – for example, the right to privacy versus the right to freedom of information</li> <li>• conflict regarding issues of personal and organisational intellectual property</li> </ul>
<p><b><i>Referrals of ethical problems may be made to</i></b></p>	<ul style="list-style-type: none"> <li>• line management</li> <li>• human resources</li> <li>• workplace relations officer</li> <li>• grievance officer</li> <li>• Chief Executive Officer</li> <li>• public service commissioner</li> <li>• public sector standards body</li> <li>• organisational ethics committee</li> <li>• internal grievance mechanisms</li> <li>• confidant programs (whistleblower protection programs)</li> <li>• organisational professional reporting procedures</li> <li>• unions and professional bodies</li> <li>• ombudsman</li> </ul>

## **Evidence Guide**

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.

In relation to unit PSPETH401A, candidates should provide evidence that confirms ethical conduct in a range of (3 or more) contexts (or occasions, over time) where contexts may be generalist or specialist work activities such as applying government processes, delivering and monitoring services to clients, using resources, conducting interviews, giving evidence, awarding contracts etc.

<b><i>Do you consistently meet your organisation's performance standards for:</i></b>			
<b>PSPETH401A – Uphold and support the values and principles of public service (Required)</b>	<b>Yes</b>	<b>Not Yet</b>	<b>Not able to comment</b>
Contributing to an ethical public sector workplace			
Participating in ethical decision making			
<b>Candidate's Comments and Attachment/s number as included in Portfolio of Evidence:</b>			
<b>Referee (Third party) Comments:</b>			
<p><i>I have read the candidate's recognition application and documentation. I support the claims of the candidate to have met the knowledge and skill requirements in performing the tasks in this unit of competency.</i></p>			
<b>Signature of Referee:</b>		<b>Date:</b>	
<p><i>I agree with the statements above and that I have met the knowledge and skill requirements in this unit of competency.</i></p>			
<b>Signature of Candidate:</b>		<b>Date:</b>	

## PSPLEGN401A – Encourage compliance with legislation in the public sector

### Introduction

This is a required unit of competency in the PSP41604 Certificate IV in Government (Investigation) and covers the competency to encourage others (colleagues or those supervised) in the workplace to comply with legislation.

Being competent in this unit means being able to:

### Assist others to comply with legislative requirements

This element requires:

- Knowledge of the range of **legislation** and **guidelines** relating to the public sector workplace is regularly updated to ensure currency
- The way various pieces of legislation are integrated to provide a legislative framework for public sector work and the key requirements of each piece of legislation are confirmed and conveyed to **others** using language and examples suited to their individual needs
- Own work practices and procedures are used to provide a consistent model of compliance with legislative requirements relating to the public sector work environment
- The **consequences of non-compliance** with public sector legislation are identified and conveyed to others using language and examples suited to individual needs
- **Others** are assisted to locate and access current information on legislation and guidelines
- Others are encouraged to identify and obtain advice on apparently **conflicting legislative requirements** in accordance with organisational policy and procedures

### Act on non-compliance

This element requires:

- Actions that might constitute breaches of legislation are identified and discussed with others in accordance with organisational requirements
- Possible breaches of legislation are acted upon or referred promptly to an authorised person/body in accordance with organisational procedures
- Inadequacies in workplace procedures which may contribute to non-compliance are reported and addressed in accordance with organisational procedures

### 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.

<p><b>Legislation and guidelines</b> may relate to</p>	<ul style="list-style-type: none"> <li>• public sector standards: <ul style="list-style-type: none"> <li>○ codes of conduct/ethics</li> <li>○ guarantee of service</li> <li>○ legislated standards</li> <li>○ State/Territory/Commonwealth/organisational standards</li> <li>○ technical/industrial standards</li> <li>○ professional standards</li> <li>○ industry competency standards</li> <li>○ anti-corruption legislation</li> <li>○ whistleblowers' protection</li> </ul> </li> <li>• public sector employment: <ul style="list-style-type: none"> <li>○ employee relations</li> <li>○ chief executive officer's instructions</li> <li>○ Commissioner's instructions</li> <li>○ public sector notices</li> </ul> </li> <li>• workplace environment: <ul style="list-style-type: none"> <li>○ equal employment opportunity</li> <li>○ affirmative action</li> <li>○ workplace diversity</li> <li>○ anti-discrimination</li> <li>○ workplace harassment</li> <li>○ occupational health and safety</li> <li>○ duty of care</li> <li>○ security, storage, handling and classification of documents</li> </ul> </li> <li>• financial management and accountability <ul style="list-style-type: none"> <li>○ Treasurer's instructions</li> <li>○ contractual obligations</li> </ul> </li> <li>• transparency: <ul style="list-style-type: none"> <li>○ freedom of information</li> <li>○ professional reporting</li> <li>○ accountability</li> <li>○ fair trading</li> </ul> </li> <li>• business and community: <ul style="list-style-type: none"> <li>○ privacy</li> <li>○ trade practices</li> <li>○ competition</li> <li>○ road transport legislation</li> </ul> </li> <li>• information and records management standards and legislation</li> <li>• the organisation's enabling legislation, regulations</li> <li>• aspects of common law, criminal law, contract law, employment law and administrative law, including judges' rules</li> <li>• International legislation/codes of behaviour</li> </ul>
<p><b>Others</b> may include</p>	<ul style="list-style-type: none"> <li>• colleagues</li> <li>• supervised staff</li> <li>• contractors</li> </ul>
<p><b>Consequences of non-compliance</b> may include</p>	<ul style="list-style-type: none"> <li>• for individuals: <ul style="list-style-type: none"> <li>○ counselling</li> <li>○ disciplinary action</li> </ul> </li> </ul>

	<ul style="list-style-type: none"> <li>○ transfer, demotion, dismissal</li> <li>○ legal liability</li> <li>○ fine</li> </ul>
	<ul style="list-style-type: none"> <li>● External consequences, for example: <ul style="list-style-type: none"> <li>○ to clients</li> <li>○ to the organisation's reputation</li> </ul> </li> </ul>
<b><i>Conflicting legislative requirements may include</i></b>	<ul style="list-style-type: none"> <li>● apparent contradiction between statutes</li> <li>● apparent conflict between statutes and policy requirements</li> <li>● contradictions between different policy requirements</li> <li>● contradictions within a single piece of legislation</li> </ul>
<b><i>Inadequacies in workplace procedures may include</i></b>	<ul style="list-style-type: none"> <li>● insufficient financial/other controls</li> <li>● insecure Internet/fax access</li> <li>● unauditible records processes</li> <li>● ambiguous guidelines</li> <li>● no guidelines</li> <li>● unnecessary complexity</li> <li>● use of non-current legislation</li> </ul>

## Evidence Guide

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.

In relation to unit PSPLEGN401A, candidates should provide evidence that confirms compliance with legislation in a range of (3 or more) contexts (or occasions, over time).

**Do you consistently meet your organisation's performance standards for:**

<b>PSPLEGN401A – Encourage compliance with legislation in the public sector (Required)</b>	<b>Yes</b>	<b>Not Yet</b>	<b>Not able to comment</b>
Assisting others to comply with legislative requirements			
Acting on non-compliance			

**Candidate's Comments and Attachment/s number as included in Portfolio of Evidence:**

**Referee (Third party) Comments:**

*I have read the candidate's recognition application and documentation. I support the claims of the candidate to have met the knowledge and skill requirements in performing the tasks in this unit of competency.*

**Signature of Referee:**

**Date:**

*I agree with the statements above and that I have met the knowledge and skill requirements in this unit of competency.*

**Signature of Candidate:**

**Date:**

## PSPOHS301A - Contribute to workplace safety

### Introduction

This is a chosen required elective unit of competency in the PSP41504 Certificate IV in Government (Investigation) and covers the competency to contribute to a safe workplace for self and others. It includes contributing to workplace safety arrangements, identifying hazards and controlling risks.

Being competent in this unit means being able to:

### Contribute to participative workplace safety arrangements

This element requires:

- Occupational health and safety **issues** are addressed/reported to **designated personnel** in accordance with workplace procedures and **occupational health and safety legislation**
- **Contributions** are made to participative workplace safety **arrangements** within organisational procedures and scope of responsibilities and competencies

### Identify hazards and control risks

This element requires:

- Existing and potential **hazards** in the work area are identified, dealt with and/or reported to designated personnel according to workplace procedures
- **Workplace procedures** and work instructions for **controlling risks** are identified and implemented
- Workplace procedures for dealing with accidents and **other hazardous events** are followed whenever necessary within scope of responsibilities and competencies
- Feedback on the effectiveness of safety procedures and risk control measures is provided to enable improvements to be made where necessary

### 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.

Occupational health and safety <b>issues</b> may include	<ul style="list-style-type: none"><li>• hazards relating to the physical environment</li><li>• workplace stress</li><li>• conflict</li><li>• bullying</li><li>• harassment</li></ul>
<b>Designated personnel</b> may include	<ul style="list-style-type: none"><li>• supervisors</li><li>• managers</li><li>• team leaders</li><li>• designated occupational health and safety officers</li></ul>

	<ul style="list-style-type: none"> <li>• health and safety representatives</li> <li>• other persons authorised or nominated by the enterprise or industry to: <ul style="list-style-type: none"> <li>○ perform specified work</li> <li>○ approve specified work</li> <li>○ inspect specified work</li> <li>○ direct specified work</li> </ul> </li> </ul>
<b>Occupational health and safety legislation</b> may include	<ul style="list-style-type: none"> <li>• State/Territory/Commonwealth occupational health and safety acts, regulations and codes of practice including, but not limited to: <ul style="list-style-type: none"> <li>○ regulations and codes of practice relating to hazards present in the workplace or industry</li> <li>○ general duty of care under occupational health and safety legislation and common law</li> <li>○ provisions relating to roles and responsibilities of health and safety representatives and/or occupational health and safety committees</li> <li>○ provisions relating to occupational health and safety issue resolution</li> </ul> </li> </ul>
<b>Contributions</b> may include	<ul style="list-style-type: none"> <li>• identifying and reporting hazards and their associated risks</li> <li>• identifying safety issues and hazards that can be addressed immediately and taking action in accordance with safety procedures</li> <li>• reporting on effectiveness of safety procedures and risk controls</li> <li>• suggesting improvements to procedures and controls</li> <li>• listening to the ideas and opinions of others in the workplace</li> <li>• sharing opinions, views, knowledge and skills</li> </ul>
Participative workplace safety <b>arrangements</b> may include	<ul style="list-style-type: none"> <li>• formal and informal health and safety meetings</li> <li>• health and safety committees</li> <li>• other committees, for example, consultative, planning and purchasing</li> <li>• meetings called by health and safety representatives</li> <li>• suggestions, requests, reports and concerns put forward to management</li> </ul>
<b>Hazard identification</b> may include	<ul style="list-style-type: none"> <li>• checking equipment or the work station and work area before work commences and during work</li> <li>• workplace inspections</li> <li>• responding to physical cues that ergonomics are ineffective and need adjustment</li> <li>• on-the-job housekeeping checks (spills, furniture out of place, loose hand rails, curling mats, frayed cords, etc)</li> <li>• anticipation of potential hazards</li> </ul>
<b>Workplace procedures</b> may include	<ul style="list-style-type: none"> <li>• complying with workplace occupational health and safety symbols and signs</li> <li>• hazard reporting procedures</li> <li>• job procedures, safe work instructions and allocation of responsibilities</li> <li>• emergency procedures</li> <li>• incident and near miss reporting and recording procedures</li> <li>• consultation on occupational health and safety issues</li> </ul>

	<ul style="list-style-type: none"> <li>• correct selection, use, storage and maintenance procedures for use of personal protective equipment</li> <li>• risk control procedures</li> </ul>
<b>Controlling risks</b> may include actions such as	<ul style="list-style-type: none"> <li>• consultation with others</li> <li>• measures to remove the cause of the risk at its source</li> <li>• application of the hierarchy of control, namely: <ul style="list-style-type: none"> <li>○ elimination</li> <li>○ substitution</li> <li>○ engineering controls</li> <li>○ administrative controls</li> <li>○ personal protective equipment</li> </ul> </li> </ul>
<b>Other hazardous events</b> may include	<ul style="list-style-type: none"> <li>• fires</li> <li>• bomb threats</li> <li>• chemical spills</li> <li>• occupational violence</li> <li>• natural disasters/events</li> <li>• terrorist attacks</li> </ul>

## Evidence Guide

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.

In relation to unit PSPOHS301A, candidates should provide evidence that confirms contributions to workplace safety procedures in a range of (3 or more) contexts (or occasions, over time).

**Do you consistently meet your organisation's performance standards for:**

<b>PSPOHS301A – Contribute to workplace safety (Chosen required elective)</b>	<b>Yes</b>	<b>Not Yet</b>	<b>Not able to comment</b>
Contributing to participative workplace safety arrangements			
Identifying hazards and controlling risks			
In-house training completed			

**Candidate's Comments and Attachment/s number as included in Portfolio of Evidence:**

**Referee (Third party) Comments:**

*I have read the candidate's recognition application and documentation. I support the claims of the candidate to have met the knowledge and skill requirements in performing the tasks in this unit of competency.*

**Signature of Referee:**

**Date:**

*I agree with the statements above and that I have met the knowledge and skill requirements in this unit of competency.*

**Signature of Candidate:**

**Date:**

## PSPGOV412A – Use advanced workplace communication strategies

### Introduction

This is a required unit of competency in the PSP41504 Certificate IV in Government (Investigation) and covers the use of advanced communication strategies for interacting with internal and external clients. It includes dealing with complex enquiries and complaints, giving directions, managing meetings and making workplace and public presentations.

Being competent in this unit means being able to:

### Deal with complex enquiries /complaints

This element requires:

- Relationship with the client is established by displaying empathy towards client needs, and the nature of complaint/enquiry is established by listening, questioning and confirming
- Complaint/enquiry is recorded accurately in simple language, and verified with the client to ensure it has been recorded correctly
- Documentation to support complaint/enquiry is obtained if required
- Action available under organisational policies is identified, and procedures to respond to and resolve complaint/enquiry are followed/authorised
- Complaints/enquiries that require referral to other personnel or external organisations are identified and referred in accordance with organisational policy and procedures
- Client is informed of action taken to resolve/refer the complaint/enquiry and a record logged in accordance with organisational procedures

### Give directions

This element requires:

- Ethical, lawful and reasonable directions are given to others, and staff are protected from reprisals for refusing directions to act unethically
- Directions are relayed in a clear, concise manner appropriate to the receiver
- Questioning and listening skills are used to confirm understanding of directions
- Problems in directions being implemented are resolved promptly or referred in accordance with organisational policy and procedures
- Feedback is provided on implementation in accordance with organisational requirements

### Manage meetings

This element requires:

- Purpose of each meeting is clarified and the agenda developed in consultation with participants, in line with the **purpose**
- The **procedure** for each meeting and the style of chairing/facilitating are selected in accordance with the meeting's purpose and the participants

- Meetings are chaired in accordance with organisational requirements, agreed **conventions** for the type of meeting and **legal and ethical requirements**
- Meetings are conducted to ensure they are focused on the objectives of the meeting and are time efficient
- Meetings are facilitated to enable participation, discussion, problem solving and **resolution** of issues by all those present
- Decisions and recommendations are summarised succinctly, checked for accuracy and recorded as required

### Make presentations

This element requires:

- Presentations are made to a range of audiences in accordance with organisational requirements
- Presentations are structured logically and contain relevant information/content to meet the purpose of the presentation
- **Supporting materials and presentation aids** are selected, created and organised to enhance audience understanding of key concepts and ideas
- **Presentation strategies** are chosen and used to match the **characteristics** of the target audience, the location, the resources and the personnel needed
- Effectiveness of the presentation is evaluated formally and informally for the purpose of continuously improving future presentations

### 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.

<b>Agenda may include</b>	<ul style="list-style-type: none"> <li>• statement of the meeting's purpose</li> <li>• date, time and location of meeting</li> <li>• welcome</li> <li>• minutes of the previous meeting</li> <li>• matters or business arising from the minutes</li> <li>• correspondence</li> <li>• reports</li> <li>• major agenda items</li> <li>• general business</li> <li>• date of next meeting</li> </ul>
<b>Purpose may include</b>	<ul style="list-style-type: none"> <li>• range of organisation-specific purposes</li> <li>• setting of organisation/team goals</li> <li>• planning and development of a project</li> <li>• progress of a project</li> <li>• discussion forum for internal/external clients</li> </ul>
<b>Meeting procedure may include</b>	<ul style="list-style-type: none"> <li>• formal</li> <li>• informal</li> <li>• semi-formal</li> <li>• structured</li> <li>• self-managed</li> </ul>

<b>Meeting conventions</b> may include	<ul style="list-style-type: none"> <li>• quorum requirements</li> <li>• informal discussion</li> <li>• waiting to be recognised by the chairperson</li> <li>• speaking through the chairperson</li> <li>• restricting discussion to agenda items</li> <li>• time limit on speakers</li> <li>• moving and seconding formal motions</li> <li>• voting procedures</li> <li>• conflict of interest provisions</li> <li>• consensus required</li> <li>• majority of members to agree</li> <li>• casting vote for chairperson</li> </ul>
<b>Legal and ethical requirements</b> may include	<ul style="list-style-type: none"> <li>• requirements for public meetings</li> <li>• codes of practice</li> <li>• legislation relating to the public sector</li> </ul>
<b>Resolution of issues</b> may include	<ul style="list-style-type: none"> <li>• agreeing on a course of action</li> <li>• deferring decisions to another meeting</li> </ul>
<b>Supporting materials and presentation aids</b> may include	<ul style="list-style-type: none"> <li>• audio recordings</li> <li>• charts</li> <li>• computer simulations and presentations</li> <li>• diagrams</li> <li>• flow charts</li> <li>• graphs</li> <li>• maps</li> <li>• models</li> <li>• overhead projector</li> <li>• paper-based materials</li> <li>• photographs</li> <li>• pictures</li> <li>• posters</li> <li>• tables</li> <li>• video images</li> <li>• whiteboard</li> </ul>
<b>Presentation strategies</b> may include	<ul style="list-style-type: none"> <li>• oral presentations</li> <li>• discussion</li> <li>• questioning</li> <li>• simulations and role play</li> <li>• case studies</li> <li>• group and/or pair work</li> <li>• demonstration</li> </ul>
<b>Characteristics of the target audience</b> may relate to	<ul style="list-style-type: none"> <li>• public sector level/s</li> <li>• language, literacy and numeracy levels</li> <li>• cultural and language background</li> <li>• educational background or general knowledge</li> <li>• gender</li> <li>• age</li> <li>• disability</li> <li>• previous experience with the topic</li> </ul>

## **Evidence Guide**

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.

In relation to unit PSPGOV412A, candidates should provide evidence that confirms advanced communication strategies used in a range of (3 or more) contexts (or occasions, over time).

**Do you consistently meet your organisation's performance standards for:**

<b>PSPGOV412A – Use advanced workplace communication strategies (Required)</b>	<b>Yes</b>	<b>Not Yet</b>	<b>Not able to comment</b>
Dealing with complex enquiries/complaints			
Giving directions			
Managing meetings			
Making presentations			

**Candidate's Comments and Attachment/s number as included in Portfolio of Evidence:**

**Referee (Third party) Comments:**

*I have read the candidate's recognition application and documentation. I support the claims of the candidate to have met the knowledge and skill requirements in performing the tasks in this unit of competency.*

**Signature of Referee:**

**Date:**

*I agree with the statements above and that I have met the knowledge and skill requirements in this unit of competency.*

**Signature of Candidate:**

**Date:**

## PSPREG401C – Exercise regulatory powers

### Introduction

This is a required unit of competency in the PSP41504 Certificate IV in Government (Investigation) covers the exercise of powers under the organisation's enabling legislation, and other relevant legislation for regulation, monitoring, inspection and investigation. It includes establishing regulatory powers, applying enabling legislation, utilising other legislation and standards, and working with other organisations.

Being competent in this unit means being able to:

### Establish regulatory powers

This element requires:

- Current information relating to enabling **legislation** and regulations is accessed and used to maintain up-to-date knowledge of requirements
- Powers provided under the legislation and the boundaries of those powers are confirmed
- Compliance requirements of the legislation, related regulations, standards, codes of practice and policy are identified and confirmed
- Acts and omissions that comprise non-compliance/offences under the legislation are identified and confirmed

### Apply enabling legislation

This element requires:

- Circumstances where regulatory powers will be exercised are identified and analysed to determine **response/s or measures** to apply, in accordance with the legislation and organisational policy and procedures
- Circumstances requiring the exercise of regulatory powers that are outside own limits are identified and referral to others is made in accordance with organisational policy and procedures
- **Risks** associated with the exercise of regulatory powers are identified and strategies to manage risks are identified in accordance with the organisation's risk management strategy
- Enabling legislation is applied consistent with the boundaries and powers contained therein and organisational policy and procedures

### Utilise other legislation and standards

This element requires:

- **Other legislation** and **standards** which impact on powers are identified and their requirements confirmed
- Apparently conflicting legislative directions are resolved or referred in accordance with organisational policy and procedures

## Work with other organisations

This element requires:

- Organisations that have jurisdictions which may overlap are identified and **relationships** are established and maintained in accordance with organisational policy and procedures
- Organisations available to provide assistance and advice or take referrals are identified and relationships are established for mutual benefit
- Organisational protocols and procedures are followed when working with **other organisations**
- Compliance matters are referred to other organisations for action when required in accordance with organisational policy and procedures
- Lead agency protocols/lines of authority are followed during operations involving more than one organisation

## 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.

### *Legislation may include*

- State/Territory and Commonwealth legislation related to:
  - public sector management, financial management
  - auditor general
  - audit, customs and excise, quarantine, fisheries, agriculture, land management, conservation, coastal management, environmental protection, environment, insurance, legal administration (sheriffs, young offenders), workers compensation, occupational safety and health, workplace relations
  - planning, construction, transport, energy, mining, resource management, communications
  - education and children's services, employment, vocational education and training, equal employment opportunity and anti-discrimination

<p><b>Regulatory responses or measures may include</b></p>	<ul style="list-style-type: none"> <li>• audit</li> <li>• caution</li> <li>• clearance</li> <li>• community protection</li> <li>• control</li> <li>• encouragement to comply</li> <li>• entry</li> <li>• impoundment</li> <li>• initiation of proceedings that may lead to prosecution</li> <li>• inspection</li> <li>• investigation</li> <li>• issue of notices</li> <li>• on-the-spot fines</li> <li>• possession</li> <li>• referral to another agency/jurisdiction</li> <li>• search</li> <li>• seizure</li> <li>• surveillance</li> <li>• warning</li> </ul>
<p><b>Risks associated with the exercise of regulatory powers may result from</b></p>	<ul style="list-style-type: none"> <li>• workplace hazards</li> <li>• environmental hazards</li> <li>• equipment failure</li> <li>• people engaged in illegal activities</li> <li>• movement into and out of Australia of: <ul style="list-style-type: none"> <li>• aircraft</li> <li>• cargo</li> <li>• people</li> <li>• postal articles</li> <li>• vessels</li> </ul> </li> <li>• client cultural background</li> <li>• client literacy levels</li> </ul>
<p><b>Other legislation may include</b></p>	<ul style="list-style-type: none"> <li>• aspects of common law</li> <li>• aspects of Crimes Act 1914 and Criminal Code Act 1995</li> <li>• contract law</li> <li>• administrative law</li> <li>• industrial relations law</li> <li>• financial management Acts</li> <li>• public service Acts</li> </ul>
<p><b>Standards may include</b></p>	<ul style="list-style-type: none"> <li>• public sector standards</li> <li>• government security standards</li> <li>• fraud control standards</li> </ul>
<p><b>Relationships may include</b></p>	<ul style="list-style-type: none"> <li>• informal</li> <li>• formal</li> <li>• memoranda of understanding (MOUs)</li> </ul>
<p><b>Other organisations may include</b></p>	<ul style="list-style-type: none"> <li>• administrative appeals tribunals</li> <li>• Coroner's office</li> <li>• emergency services</li> <li>• federal police</li> <li>• fire and rescue</li> </ul>

	<ul style="list-style-type: none"> <li>• industrial inspectors</li> <li>• Local Government law enforcement officers</li> <li>• legal advisers</li> <li>• military police</li> <li>• security services</li> <li>• State/Territory police and special units</li> <li>• other State/Territory/Commonwealth departments/agencies</li> <li>• State/Territory/Commonwealth prosecution agencies</li> </ul>
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### **Evidence Guide**

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.

In relation to unit PSPREG401C, candidates should provide evidence that confirms the exercise of regulatory powers in a range of (3 or more) contexts (or occasions, over time) in a workplace environment or one that closely resembles normal work practice and replicates the range of conditions likely to be encountered when exercising regulatory powers.

**Do you consistently meet your organisation's performance standards for:**

<b>PSPREG401C – Exercise regulatory powers (Required)</b>	<b>Yes</b>	<b>Not Yet</b>	<b>Not able to comment</b>
Establishing regulatory powers			
Applying enabling legislation			
Utilising other legislation and standards			
Working with other organisations			

**Candidate's Comments and Attachment/s number as included in Portfolio of Evidence:**

**Referee (Third party) Comments:**

*I have read the candidate's recognition application and documentation. I support the claims of the candidate to have met the knowledge and skill requirements in performing the tasks in this unit of competency.*

**Signature of Referee:**

**Date:**

*I agree with the statements above and that I have met the knowledge and skill requirements in this unit of competency.*

**Signature of Candidate:**

**Date:**

## PSPREG404C – Investigate non-compliance

### Introduction

This is a required unit of competency in the PSP41504 Certificate IV in Government (Investigation) and covers identification of possible non-compliance and recommendations for ensuing action. It includes initiating a preliminary investigation to confirm non-compliance, and planning, conducting and finalising the investigation.

Being competent in this unit means being able to:

### Initiate preliminary investigation to confirm non-compliance

This element requires:

- Information is assessed in terms of its accuracy and against legislative requirements to confirm likely non-compliance
- Information is tested against the legislation to confirm whether the possible breach falls within jurisdiction
- Importance/urgency of the matter is assessed and the priority is allocated to enable timely and effective action
- Documentation to commence investigation of alleged breach is initiated and meets legislative and organisational requirements

### Plan investigation

This element requires:

- Objectives of the investigation are determined and **resources** to conduct the investigation are determined and obtained in accordance with organisational policy and procedures
- Risks associated with the investigation are identified and planned for, including sensitivities that might affect the organisation
- **Methods** to achieve the investigation's objectives are selected and authorised in accordance with **legislation, policies and guidelines**
- Timelines are identified and tasks prioritised to inform the sequence of activities and provide for future review of the investigation process
- Communication and case management requirements are confirmed and initiated in accordance with organisational policy and procedures
- Investigation **planning** and recording is conducted in accordance with legislative requirements and organisational policy and procedures

## Conduct investigation

This element requires:

- Subjects and suspects involved in the possible breach are identified and details are recorded in accordance with legislative requirements and organisational policy and procedures
- Information relevant to the investigation is collected and analysed in accordance with legislative requirements, rules of evidence and organisational policy and procedures
- **Exhibits** are processed and managed in accordance with legislative requirements, rules of evidence and organisational policy and procedures
- Likely defences are anticipated and evidence to counter them is included
- The need for **expert assistance** is determined and arranged in accordance with organisational procedures

## Finalise investigation

This element requires:

- If no breach has occurred or no action is to be taken, documentation includes reasons and justification, and is completed in accordance with organisational policy and procedures
- If breach is confirmed, appropriate, timely **action is recommended** within the officer's discretion under the legislation and organisational policy and procedures
- A record of the investigation and consequent recommendations for action are prepared and submitted in accordance with legislative and organisational requirements

## 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.

### *Resources may include*

- human, physical and financial and may include other agencies, such as:
  - other police organisations
  - National Crime Authority
  - Criminal Justice Commission/s
  - other government departments/agencies
  - non-government agencies such as financial institutions and insurance companies

<p><b>Investigation methods</b> may include</p>	<ul style="list-style-type: none"> <li>• forensic examination/analysis</li> <li>• informants/informers</li> <li>• listening devices and other covert surveillance techniques</li> <li>• search and search warrants</li> <li>• computer interrogation/data retrieval</li> <li>• door knocks</li> <li>• using other sources of information, such as the media</li> </ul>
<p><b>Legislation, policies and guidelines</b> may include</p>	<ul style="list-style-type: none"> <li>• enabling legislation</li> <li>• confidentiality</li> <li>• privacy</li> <li>• criminal, civil or administrative law</li> <li>• contract law</li> <li>• equal employment opportunity and anti-discrimination law</li> <li>• disciplinary procedures</li> <li>• government policy</li> <li>• organisational guidelines</li> <li>• regulatory standards</li> <li>• codes of practice</li> <li>• international treaties (equal employment opportunity, world heritage)</li> </ul>
<p><b>Investigation planning</b> may include</p>	<ul style="list-style-type: none"> <li>• objectives</li> <li>• methods</li> <li>• risks</li> <li>• timelines</li> <li>• resources</li> <li>• activities</li> <li>• communication</li> <li>• case management</li> <li>• evidentiary elements of the offence</li> </ul>
<p><b>Exhibits</b> may include</p>	<ul style="list-style-type: none"> <li>• the individual items of evidence that could be presented to a court and may be required for viewing by: <ul style="list-style-type: none"> <li>• judicial officers</li> <li>• prosecutors</li> <li>• defence counsel</li> <li>• expert and non-expert witnesses</li> <li>• those required for audit purposes</li> </ul> </li> </ul>

<p><b>Expert assistance may include</b></p>	<ul style="list-style-type: none"> <li>• advice on/assistance with evidentiary matters</li> <li>• audit matters</li> <li>• data analysis</li> <li>• document examination</li> <li>• execution of search warrants</li> <li>• fingerprinting</li> <li>• forensic</li> <li>• handwriting</li> <li>• legal advice – director of public prosecutions, government solicitor</li> <li>• photography</li> <li>• recovery issues</li> <li>• scientific or technical matters</li> <li>• surveillance</li> </ul>
<p><b>Recommended action may include</b></p>	<ul style="list-style-type: none"> <li>• measures to control/contain breach</li> <li>• warning</li> <li>• caution</li> <li>• notice</li> <li>• fine</li> <li>• arrest</li> <li>• criminal prosecution</li> <li>• civil action</li> <li>• debt recovery strategy</li> <li>• no action (must specify criteria for use of no action):</li> <li>• used where investigation identifies no offence or a relevant defence is raised</li> <li>• also used when exercising prosecutorial discretion</li> </ul>

## Evidence Guide

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.

In relation to unit PSPREG404C, candidates should provide evidence that confirms investigation of non-compliance in a range of (3 or more) contexts (or occasions, over time).

**Do you consistently meet your organisation's performance standards for:**

<b>PSPREG404C – Investigate non-compliance (Required)</b>	<b>Yes</b>	<b>Not Yet</b>	<b>Not able to comment</b>
Initiating preliminary investigation to confirm non-compliance			
Planning investigation			
Conducting investigation			
Finalising investigation			

**Candidate's Comments and Attachment/s number as included in Portfolio of Evidence:**

**Referee (Third party) Comments:**

*I have read the candidate's recognition application and documentation. I support the claims of the candidate to have met the knowledge and skill requirements in performing the tasks in this unit of competency.*

**Signature of Referee:**

**Date:**

*I agree with the statements above and that I have met the knowledge and skill requirements in this unit of competency.*

**Signature of Candidate:**

**Date:**

## PSPREG407B – Produce formal record of interview

### Introduction

This is a required unit of competency in the PSP41504 Certificate IV in Government (Investigation) and covers the competency to conduct and produce formal records of interview with suspects. It includes preparing for the interview, conducting the interview, and completing the record of interview.

Being competent in this unit means being able to:

### Prepare for interview

This element requires:

- **Interview plan** is developed in accordance with legislative, ethical and policy requirements
- Venue, **equipment** and **personnel** to be involved in/excluded from the interview are determined in accordance with legislative requirements and organisational guidelines
- **Exhibits** to be used in the interview are identified and made readily available for reference
- **Risks** associated with the interview are assessed and procedures for ensuring the safety of self and others are instigated

### Conduct and record interview

This element requires:

- **Interviewee** is provided with **preliminary advice** and questioned to ensure their understanding of the **interview process** and their **rights**
- **Questioning techniques** are used to gather information, and test and confirm its relevance, reliability and sufficiency, prior to concluding the interview
- Exhibits are introduced and fully described in accordance with legislative and organisational requirements
- Interview is **conducted** and **recorded** in accordance with the rules of evidence, **legislative and organisational requirements** so that outcomes are admissible in evidence
- Interview is **concluded** in accordance with legislative requirements, organisational policy and procedures
- A true record of interview is produced and **post-interview procedures** are completed in accordance with legislative timeframes and organisational requirements

## 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.

<p><i>Interview plan may include</i></p>	<ul style="list-style-type: none"> <li>• allegation that is clear, unambiguous and concise, covering common proofs such as:             <ul style="list-style-type: none"> <li>• time</li> <li>• date</li> <li>• place</li> <li>• jurisdiction</li> <li>• identity</li> </ul> </li> <li>• proofs of an offence, such as:             <ul style="list-style-type: none"> <li>• evidence</li> <li>• corroboration</li> <li>• admissibility</li> <li>• elements</li> <li>• criminal intent</li> <li>• competence (eg age requirements, mental faculty etc)</li> <li>• legal presumptions</li> </ul> </li> <li>• any anticipated or known defences</li> <li>• exculpations</li> <li>• key questions in sequential order, highlighting main points</li> <li>• interview strategies appropriate to the situation and purpose of the interview, such as:             <ul style="list-style-type: none"> <li>• direct questioning</li> <li>• empathetic questioning</li> <li>• investigative interviewing</li> <li>• no leading questions</li> <li>• no double-barrelled questions</li> <li>• no cross-examination</li> </ul> </li> <li>• safety requirements for interviewer, interviewee and others present</li> <li>• rapport building techniques</li> <li>• strategies for working with uncooperative interviewees</li> <li>• method of recording, and recordkeeping responsibilities</li> </ul>
<p><i>Equipment may include</i></p>	<ul style="list-style-type: none"> <li>• recording equipment for:             <ul style="list-style-type: none"> <li>• tape recording</li> <li>• videotaping</li> </ul> </li> <li>• electronic equipment</li> <li>• computer equipment</li> <li>• stationery</li> </ul>
<p><i>Personnel may include</i></p>	<ul style="list-style-type: none"> <li>• second interviewer</li> <li>• legal representatives</li> <li>• consular representative</li> </ul>

	<ul style="list-style-type: none"> <li>• senior staff</li> <li>• colleagues</li> <li>• interpreter</li> <li>• Aboriginal support persons</li> <li>• independent person</li> <li>• family member</li> <li>• responsible adult in the case of juveniles</li> <li>• special requirements that may apply for: <ul style="list-style-type: none"> <li>• minor</li> <li>• disabled</li> <li>• age</li> <li>• gender</li> <li>• ethnicity</li> </ul> </li> <li>• those needing to be excluded to maintain the integrity of the investigation</li> </ul>
<b>Exhibits may include</b>	<ul style="list-style-type: none"> <li>• paper-based and electronic documents, including: <ul style="list-style-type: none"> <li>• maps</li> <li>• photographs</li> <li>• videotapes</li> </ul> </li> <li>• physical objects and materials</li> <li>• drugs</li> <li>• scientific evidence</li> </ul>
<b>Risks may include</b>	<ul style="list-style-type: none"> <li>• uncooperative or hostile interviewee</li> <li>• aggression</li> <li>• violence</li> <li>• distressed interviewee</li> <li>• diversity issues</li> </ul>
<b>Risks may include</b>	<ul style="list-style-type: none"> <li>• uncooperative or hostile interviewee</li> <li>• aggression</li> <li>• violence</li> <li>• distressed interviewee</li> <li>• diversity issues</li> </ul>
<b>Interviewee may include</b>	<ul style="list-style-type: none"> <li>• suspect (who may or may not be under arrest)</li> <li>• witness</li> <li>• informant</li> <li>• informer</li> <li>• complainant</li> <li>• victim</li> <li>• experts (such as persons with medical, scientific, legal or other specialist knowledge in the field)</li> </ul>
<b>Preliminary advice may cover</b>	<ul style="list-style-type: none"> <li>• interview process</li> <li>• interview time limits</li> <li>• effect of prior interview/s occurring within previous 48 hours</li> <li>• formal caution</li> <li>• allegation</li> <li>• voluntariness</li> <li>• recording requirements</li> <li>• tape protocols (for chain of evidence requirements)</li> <li>• number of interviewers</li> </ul>

	<ul style="list-style-type: none"> <li>• statutory rights</li> <li>• how the information gathered will be used</li> </ul>
<b>Interview process</b> may include	<ul style="list-style-type: none"> <li>• purpose</li> <li>• format/structure</li> <li>• identification and personal details of interviewee</li> <li>• roles of interviewers if more than one</li> <li>• formal identification of interviewers</li> <li>• full description of exhibits even if videotaped</li> <li>• recording process, including use of new tapes, to be opened in front of the interviewee</li> <li>• use of confirming questions, to obtain/record interviewee agreement regarding conduct of the interview and that the record of interview is accurate</li> </ul>
<b>Rights</b> may include	<ul style="list-style-type: none"> <li>• caution</li> <li>• legal representation</li> <li>• consular representation</li> <li>• interpreter</li> <li>• silence</li> <li>• notification of whereabouts to family/friends</li> <li>• opportunity to make a written statement</li> <li>• independent adult present (for juveniles)</li> <li>• support person present (for Indigenous peoples, intellectually disabled)</li> <li>• being treated with dignity and respect during searches and examinations</li> <li>• know the purpose and intended use of the interview</li> <li>• copy of taped record of interview within a given time</li> <li>• copy of transcript of interview within a given time, if applicable</li> <li>• sign/not sign statement</li> </ul>
<b>Questioning techniques</b> may include	<ul style="list-style-type: none"> <li>• summarising</li> <li>• re-phrasing</li> <li>• paraphrasing</li> <li>• clarifying questions</li> <li>• open and closed questions</li> <li>• cognitive interviewing</li> <li>• using silence</li> <li>• establishing event lines or time lines</li> <li>• non-leading questions</li> </ul>
<b>Conduct of interview</b> includes	<ul style="list-style-type: none"> <li>• no threat, promise or inducement</li> <li>• no unfair representation</li> <li>• no physical abuse</li> <li>• no acts of misconduct</li> <li>• no duress</li> <li>• no coercion</li> <li>• adherence to standard operating procedures</li> <li>• adherence to code/s of conduct and ethical requirements</li> </ul>
<b>Recording</b> may include	<ul style="list-style-type: none"> <li>• audiotaping</li> <li>• videotaping</li> </ul>

	<ul style="list-style-type: none"> <li>• electronic data</li> <li>• special arrangements, requests and activities not directly related to the interview such as:</li> <li>• persons present</li> <li>• times for breaks, such as toilet breaks</li> <li>• telephone calls</li> <li>• refreshments</li> <li>• medical attention</li> <li>• visitors</li> <li>• requests to see superiors</li> <li>• meeting all legal and administrative requirements</li> <li>• typewritten record of interview</li> <li>• hand written record of interview</li> </ul>
<b>Legal and organisational requirements</b> may include	<ul style="list-style-type: none"> <li>• complying with relevant Commonwealth, State/Territory legislation, such as Part 1C of the Crimes Act 1914</li> <li>• observation of statutory time limits</li> <li>• special arrangements for minors</li> <li>• interviewees' legal rights which must be accorded to them throughout the interview</li> <li>• ensuring suspects or witnesses understand their rights</li> <li>• interviewee access to legal advice</li> <li>• interviewee access to consular assistance</li> <li>• union representation at interview</li> <li>• presence of advocates for some groups, for example the intellectually disabled</li> <li>• special arrangements for the interview of Aboriginal and Torres Strait Islander peoples</li> <li>• special arrangements for the interview of people who do not speak English</li> <li>• unwrapping new tapes in front of interviewee at commencement of interview</li> <li>• implementation of organisation agreements</li> <li>• arrangements for written statement when appropriate</li> <li>• other jurisdictional requirements</li> </ul>
<b>Concluding the interview</b> may include	<ul style="list-style-type: none"> <li>• asking for a concluding statement</li> <li>• confirming that the information given was voluntary</li> <li>• agreement on time of conclusion of interview</li> </ul>
<b>Post-interview procedures</b> may include	<ul style="list-style-type: none"> <li>• clearly labelling tapes</li> <li>• providing a copy of the audio or video tape to the interviewee at the close of the interview or within statutory time limit</li> <li>• transcribing the record of interview</li> <li>• providing a copy of the transcribed record of interview or statement to the interviewee at the close of the interview or within statutory time limit</li> <li>• securing record of interview in accordance with legislative and organisational requirements</li> <li>• security classification of information</li> <li>• sealing and securing master tape or data</li> </ul>

	<ul style="list-style-type: none"><li>• securing recording equipment</li><li>• acknowledging, signing and verifying record of interview by interviewee, where appropriate</li><li>• processing/referral of alleged offender</li><li>• completing organisational records/reports/files</li></ul>
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## **Evidence Guide**

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.

In relation to unit PSPREG407B, candidates should provide evidence that confirms formal records of interview produced in a range of (3 or more) contexts (or occasions, over time).

**Do you consistently meet your organisation's performance standards for:**

<b>PSPREG407B – Produce formal record of interview (Required)</b>	<b>Yes</b>	<b>Not Yet</b>	<b>Not able to comment</b>
Preparing for an interview			
Conducting and recording an interview			

**Candidate's Comments and Attachment/s number as included in Portfolio of Evidence:**

**Referee (Third party) Comments:**

*I have read the candidate's recognition application and documentation. I support the claims of the candidate to have met the knowledge and skill requirements in performing the tasks in this unit of competency.*

**Signature of Referee:** \_\_\_\_\_ **Date:** \_\_\_\_\_

*I agree with the statements above and that I have met the knowledge and skill requirements in this unit of competency.*

**Signature of Candidate:** \_\_\_\_\_ **Date:** \_\_\_\_\_

## PSPREG409B – Prepare a brief of evidence

### Introduction

This is a chosen required elective unit of competency in the PSP41504 Certificate IV in Government (Investigation) and covers the competency to prepare a brief of evidence. It includes analysing evidence, preparing and reviewing admissible evidence, developing a brief of evidence and coordinating witnesses.

Being competent in this unit means being able to:

### Analyse evidence

This element requires:

- All related information is considered, whether likely to be admissible as evidence, or not
- Information is cross-checked to confirm origin, authenticity and reliability, and to anticipate challenge/s that may occur
- Gaps and inadequacies are identified and assessed to allow further collection of evidence where possible
- Information is handled and stored in accordance with legislative requirements and organisational policy and procedures

### Prepare and review admissible evidence

This element requires:

- Witness and expert statements are prepared in accordance with legislative requirements and organisational policy and procedures
- **Evidence** is prepared in accordance with legislative requirements and organisational policy and procedures
- All evidence is included in the brief that is likely to be admissible by the court
- Non-admissible evidence is separated and retained
- Similar proofs are identified and reviewed to confirm that evidence is sufficient to proceed to prosecution
- Security, recording and continuity of evidence are maintained in accordance with legislative requirements and organisational policy and procedures

### Develop a brief of evidence

This element requires:

- Brief of evidence is planned and prepared according to **standards** required by the **prosecution**
- All **required information** is included in the brief and meets all legal requirements
- Brief is provided to prosecution and other parties as required by law and organisational requirements

- When required, counsel is briefed on the case and any circumstances that may affect the progress and outcomes

### Coordinate witnesses

This element requires:

- When required, expert witnesses are identified, familiarised with the evidence, and utilised in accordance with organisational policy and procedures
- When required, witness summonses are organised in accordance with legal and organisational requirements
- Contact is maintained with **witnesses** to ensure cooperation, communication and attendance at **proceedings**

### 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.

<b>Evidence may include</b>	<ul style="list-style-type: none"> <li>• documentary, real and oral evidence</li> <li>• statements</li> <li>• interviews</li> <li>• exhibits</li> </ul>
<b>Required standards may include</b>	<ul style="list-style-type: none"> <li>• having the brief reviewed by a legal authority to ensure completeness, accuracy, whether a prima facie case exists, and the likelihood of success</li> <li>• correlating witness statements to exhibits</li> </ul>
<b>Prosecution may include</b>	<ul style="list-style-type: none"> <li>• organisation's prosecutor or prosecuting team</li> <li>• State/Territory/Commonwealth government prosecution authority</li> <li>• Crown solicitor</li> </ul>
<b>Information required in a brief of evidence may include</b>	<ul style="list-style-type: none"> <li>• precedents</li> <li>• relevant sections of legislation</li> <li>• witness statements</li> <li>• records of interview</li> <li>• admissible evidence</li> <li>• other evidence</li> </ul>
<b>Witnesses may include</b>	<ul style="list-style-type: none"> <li>• organisational personnel</li> <li>• professionals/experts</li> <li>• those with specific needs such as: <ul style="list-style-type: none"> <li>• distressed persons</li> <li>• hostile witnesses</li> <li>• minors</li> </ul> </li> <li>• complainants</li> </ul>
<b>Proceedings may include</b>	<ul style="list-style-type: none"> <li>• courts</li> <li>• tribunals</li> </ul>

## Evidence Guide

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.

In relation to unit PSPREG409B, candidates should provide evidence that confirms preparing a brief of evidence in a range of (3 or more) contexts (or occasions, over time).

**Do you consistently meet your organisation's performance standards for:**

<b>PSPREG409B – Prepare a brief of evidence (Chosen required elective)</b>	<b>Yes</b>	<b>Not Yet</b>	<b>Not able to comment</b>
Analysing evidence			
Preparing and reviewing admissible evidence			
Developing a brief of evidence			
Coordinating witnesses			

**Candidate's Comments and Attachment/s number as included in Portfolio of Evidence:**  
(For example: Attach PowerPoint Presentation/s; Handouts; and Evaluation Sheet/s.)

**Referee (Third party) Comments:**

*I have read the candidate's recognition application and documentation. I support the claims of the candidate to have met the knowledge and skill requirements in performing the tasks in this unit of competency.*

**Signature of Referee:**

**Date:**

*I agree with the statements above and that I have met the knowledge and skill requirements in this unit of competency.*

**Signature of Candidate:**

**Date:**

## PSPREG411A – Gather information through interviews

### Introduction

This is a required unit of competency in the PSP41504 Certificate IV in Government (Investigation) and covers gathering information through interviews that do not result in a formal record of interview in the legal sense. Interviews may be conducted in a range of locations for a range of reasons. They may be overt or covert. The unit includes preparing for the interview, conducting the interview, and reviewing and correlating interview information.

Being competent in this unit means being able to:

### Prepare for interview

This element requires:

- The need for an interview is determined, and the **context** and **requirements** are established in accordance with **organisational and legislative requirements**
- Interview **planning** is undertaken to ensure desired outcomes are achieved
- Interview arrangements are made in accordance with legislative and organisational requirements
- **Materials** to be used during the interview are prepared as required
- Advice is obtained as required on legislative or administrative issues relating to the conduct of the interview

### Conduct interview

This element requires:

- Commencement of the interview is undertaken following organisational **protocols** and complies with legislative requirements
- Interview is conducted in a planned manner, with the sequence evident to others who may use the outcomes
- **Questions** are selected and used that are relevant, comprehensive, appropriate to the situation and the interviewee and adhere to the rules of evidence
- Problem solving skills are used to test, compare and contrast information as it is provided to influence the direction of further questions
- Information is **recorded** in accordance with organisational policy and procedures
- Personal conduct is maintained in accordance with legal and organisational requirements and takes account of cultural and ethical issues

### Review and correlate information

This element requires:

- Information is reviewed and clarified to ensure its relevance and sufficiency prior to concluding the interview
- Information is transcribed if necessary and sensitive information is **dealt with** in accordance with organisational policy and procedures

- Detailed analysis is conducted, and incomplete and irregular information is identified and noted or followed up in accordance with the nature of the interview and organisational requirements
- Behavioural characteristics of significance to the purpose of the interview are confirmed
- **Post-interview activities** are undertaken as required in accordance with organisational policy and procedures

### 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.

<p><b>Contexts</b> may include</p>	<ul style="list-style-type: none"> <li>● informal interviews</li> <li>● interviews against set criteria</li> <li>● interviews to assess applications</li> <li>● initial investigation of complaints</li> <li>● audits</li> <li>● intelligence gathering</li> <li>● threat assessment</li> <li>● security vetting</li> <li>● overt interviews</li> <li>● covert interviews, under specific legislative powers</li> </ul>
<p><b>Requirements</b> may include</p>	<ul style="list-style-type: none"> <li>● interview location/environment: <ul style="list-style-type: none"> <li>● office</li> <li>● designated interview room</li> <li>● in the field (including overseas)</li> <li>● private home</li> <li>● at a client/contractor location</li> <li>● in other agencies</li> </ul> </li> <li>● timing</li> <li>● personnel present: <ul style="list-style-type: none"> <li>○ senior staff</li> <li>○ colleagues</li> <li>○ interpreter</li> <li>○ support persons</li> </ul> </li> <li>● method of recording: <ul style="list-style-type: none"> <li>○ tape recording</li> <li>○ videotaping</li> <li>○ hand written</li> <li>○ typewritten/word processed</li> <li>○ file notes</li> </ul> </li> <li>● equipment: <ul style="list-style-type: none"> <li>○ electronic equipment</li> <li>○ recording equipment</li> <li>○ computer equipment</li> </ul> </li> <li>● availability of interviewee</li> </ul>

<p><b>Organisational and legislative requirements may include</b></p>	<ul style="list-style-type: none"> <li>• organisational policy, procedures and guidelines</li> <li>• international treaties and protocols</li> <li>• cross-jurisdictional protocols</li> <li>• organisation's strategic objectives</li> <li>• national strategic objectives</li> <li>• security constraints</li> <li>• public sector codes of conduct/ethics</li> <li>• confidentiality requirements</li> <li>• Commonwealth, State/Territory or Local Government legislation such as: <ul style="list-style-type: none"> <li>○ Freedom of Information Act 1982</li> <li>○ Privacy Act 1988</li> <li>○ Archives Act</li> <li>○ Crimes Act 1914 and Criminal Code 1995</li> <li>○ Evidence Act</li> <li>○ the organisation's enabling legislation</li> </ul> </li> </ul>
<p><b>Interview planning may include</b></p>	<ul style="list-style-type: none"> <li>• purpose</li> <li>• structure</li> <li>• context</li> <li>• expectations</li> <li>• intended/desired outcomes</li> <li>• criteria for assessment</li> <li>• risk management considerations</li> <li>• key questions in sequential order, highlighting main points</li> <li>• assessing sources of information</li> <li>• interview strategies appropriate to the situation and purpose of the interview, such as: <ul style="list-style-type: none"> <li>○ direct questioning</li> <li>○ empathetic questioning</li> <li>○ investigative interviewing</li> <li>○ exclusion of leading questions</li> </ul> </li> <li>• avoidance of cross-examination</li> <li>• safety requirements for interviewer, interviewee and others present</li> </ul>
<p><b>Materials may include</b></p>	<ul style="list-style-type: none"> <li>• paper-based and electronic documents, including: <ul style="list-style-type: none"> <li>○ maps</li> <li>○ photographs</li> <li>○ videotapes</li> <li>○ physical objects and materials</li> <li>○ audiotapes</li> </ul> </li> </ul>
<p><b>Commencement protocols may include</b></p>	<ul style="list-style-type: none"> <li>• introductions</li> <li>• producing identification/authority</li> <li>• explaining the purpose, process and recording requirements</li> <li>• confirming confidentiality of information, if appropriate to the interview purpose</li> </ul>

## **Evidence Guide**

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.

In relation to unit PSPREG411A, candidates should provide evidence that confirms information gathered via interviews in a range of (3 or more) contexts (or occasions, over time).



## PSPREG412A – Gather and manage evidence

### Introduction

This is a required unit of competency in the PSP41504 Certificate IV in Government (Investigation) and covers all activities involved in gathering and managing evidence. It includes planning and activating evidence collection, identifying persons of interest, collecting and storing evidence, and summarising and reporting on evidence.

Being competent in this unit means being able to:

### Plan and activate evidence collection

This element requires:

- **Evidence** requirements are researched to establish the type and standard of evidence and **resources** required when the size of investigation and/or type of offence/s require this
- Approval to commence investigation is obtained in accordance with organisational policy and procedures
- Plan of action is agreed in accordance with organisational policy and procedures, and communication and review processes are established
- Evidence recording process is put in place in accordance with organisational guidelines and legislative requirements

### Identify persons of interest

This element requires:

- Possible witnesses are identified, located and contacted to request that they provide information
- Particulars of witness/es are documented according to correct evidentiary procedures
- **Responsible parties** are identified, located and their **particulars** are recorded in accordance with correct evidentiary procedures
- Responsible parties are contacted for interview in accordance with organisational procedures and legislative requirements, and informed of the nature of the investigation, if required by law

### Collect and store evidence

This element requires:

- **Authority to search** is obtained/verified, involving other organisations where necessary
- Evidence is identified, **collected, labelled**, recorded and preserved according to exhibit management principles for later use in proceedings
- Evidence is **managed** in accordance with the principles of continuity of possession, **legislation and standards**

- Corroboratory evidence is collected, documented and preserved
- **Expert** skills and knowledge are accessed when necessary to further assist staff in areas where they cannot or are not authorised to act
- Constant review is implemented during evidence collection to enable gaps and inadequacies to be addressed in accordance with organisational policy and procedures

### Summarise and report on evidence

This element requires:

- Verbal and written summaries/**reports** are made in accordance with legislative and organisational requirements
- Outcomes of investigation are entered into data management systems according to organisational guidelines

### 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.

<b>Evidence may include</b>	<ul style="list-style-type: none"> <li>• real, oral, computer data or documentary</li> <li>• photographic or video</li> <li>• new evidence which results in reopening an investigation</li> <li>• requirements identified in an evidence guide or evidence matrix</li> </ul>
<b>Establishing resource requirements may require</b>	<ul style="list-style-type: none"> <li>• an estimate of the costs of gathering evidence</li> </ul>
<b>Responsible parties may include</b>	<ul style="list-style-type: none"> <li>• suspects</li> <li>• alleged offenders</li> <li>• obligation holders</li> <li>• employers</li> <li>• principal contractors</li> <li>• owners</li> <li>• operators</li> </ul>
<b>Particulars of responsible parties may include</b>	<ul style="list-style-type: none"> <li>• personal details</li> <li>• identification of assets and entitlements for criminal or civil recovery purposes</li> </ul>
<b>Authority to search may include</b>	<ul style="list-style-type: none"> <li>• warrant already issued</li> <li>• no requirement for search warrant under powers of enabling legislation</li> <li>• affidavit</li> <li>• confirming the legal basis for the search and seizure</li> <li>• appropriate information to ground a warrant</li> </ul>

	<ul style="list-style-type: none"> <li>• requirement to obtain search/seizure warrant before proceeding</li> <li>• organisational approval/s to undertake search and seizure</li> <li>• completion/submission of organisational documents relating to planned search and seizure</li> <li>• the need for assistance from other agencies/jurisdictions</li> <li>• referral to other agencies</li> </ul>
<b>Evidence collection may include</b>	<ul style="list-style-type: none"> <li>• voluntary submission</li> <li>• acquisition through legislative powers</li> <li>• following new lines of inquiry suggested during the process of gathering evidence</li> </ul>
<b>Labelling of evidence may include</b>	<ul style="list-style-type: none"> <li>• date</li> <li>• time</li> <li>• location</li> <li>• details of person/s giving the evidence</li> <li>• person/s collecting the evidence</li> </ul>
<b>Evidence management may include</b>	<ul style="list-style-type: none"> <li>• systematic recording (such as dating and numbering)</li> <li>• using written or electronic database systems</li> <li>• referral to prosecution organisations at any stage</li> <li>• constant reviews during an investigation</li> <li>• restricting access to evidence</li> </ul>
<b>Legislation and standards may include</b>	<ul style="list-style-type: none"> <li>• relevant Commonwealth/State/Territory legislation and guidelines</li> <li>• ethical and conduct standards</li> <li>• judicial standards which must be followed in evidence collection to ensure the continuity of possession and admissibility of the evidence</li> </ul>
<b>Expert knowledge and skills may include</b>	<ul style="list-style-type: none"> <li>• police, other law enforcement agencies</li> <li>• private provider</li> <li>• standards setting organisation</li> <li>• input such as:</li> <li>• search warrant</li> <li>• surveillance</li> <li>• scientific analysis</li> </ul>
<b>Reports may be</b>	<ul style="list-style-type: none"> <li>• to finalise case</li> <li>• to inform team members and management</li> <li>• to refer to other sections or organisations</li> <li>• to prepare for final summation in proceedings</li> <li>• edited and security coded for a particular audience</li> </ul>

## Evidence Guide

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.

In relation to unit PSPREG412A, candidates should provide evidence that confirms gathering and management of evidence in a range of (3 or more) contexts (or occasions, over time).

**Do you consistently meet your organisation's performance standards for:**

<b>PSPREG412A – Gather and manage evidence (Required)</b>	<b>Yes</b>	<b>Not Yet</b>	<b>Not able to comment</b>
Planning and activating evidence collection			
Identifying persons of interest			
Collecting and storing evidence			
Summarising and reporting on evidence			

**Candidate's Comments and Attachment/s number as included in Portfolio of Evidence:**

**Referee (Third party) Comments:**

*I have read the candidate's recognition application and documentation. I support the claims of the candidate to have met the knowledge and skill requirements in performing the tasks in this unit of competency.*

**Signature of Referee:**

**Date:**

*I agree with the statements above and that I have met the knowledge and skill requirements in this unit of competency.*

**Signature of Candidate:**

**Date:**

## PSPREG415A – Receive and validate data

### Introduction

This is a chosen required elective unit of competency in the PSP41504 Certificate IV in Government (Investigation) and covers activities related to handling data received from a variety of sources which may then be acted upon or referred for further action. It includes receiving and recording data, verifying its authenticity and recommending/taking action as a result.

Being competent in this unit means being able to:

### Receive information

This element requires:

- Required **information** is identified, requested and/or received in accordance with legislative powers, organisational policy and procedures
- Incoming information is checked for gaps, anomalies, deficiencies or discrepancies, and compared with pre-existing information, where relevant
- Additional **data sources** are accessed and information is obtained to fill gaps and compare with information received
- Incoming information is receipted if required in accordance with organisational policy and procedures

### Record information

This element requires:

- Accurate recording of information is carried out in line with organisational procedures, confirming relevant details of source
- Records are maintained as accurate, complete and up-to-date and are presented in the required format
- Legislative requirements for recording and storage of information are complied with
- Procedures for storage and management of confidential and sensitive information are adhered to

### Verify authenticity of information

This element requires:

- Initial selection of information is completed using preliminary cull to eliminate unreliable data
- Information is corroborated and assessed for its integrity, validity and reliability
- Validation or corroboration is carried out with existing information as well as information from outside organisations and other sources where relevant
- Useful and useable information is extracted, interpreted and organised in a form that is accessible to users

- Analysis is conducted in accordance with agreed indicators and assessment is accurate, relevant and complete

### Recommend/take action as a result of information received

This element requires:

- Outcomes are recorded and reported in accordance with organisational policy and procedures
- Actions are recommended or taken as a result of the outcomes
- Decision is documented showing reasons for proceeding/not proceeding or taking other action, after discussion with management, where required
- Areas or other organisations that may be affected by information received or outcomes, are identified and informed, in accordance with organisational procedures and legislative requirements, to optimise usefulness of information

### 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.

<b><i>Information may be</i></b>	<ul style="list-style-type: none"> <li>• written</li> <li>• oral</li> <li>• photographic</li> <li>• electronic</li> <li>• classified</li> <li>• not in the public domain</li> <li>• financial</li> <li>• personal:</li> <li>• academic qualifications/academic transcripts</li> <li>• birth certificate</li> <li>• citizenship</li> <li>• decree nisi/decrece absolute</li> <li>• deed poll</li> <li>• discharge certificate</li> <li>• employment histories</li> <li>• marriage certificate</li> <li>• passport</li> <li>• travel documents</li> <li>• about clients or staff</li> <li>• checked for age, compatibility and validity</li> </ul>
<b><i>Data sources may include</i></b>	<ul style="list-style-type: none"> <li>• applications</li> <li>• correspondence</li> <li>• declarations</li> <li>• diary entries</li> <li>• electronic records</li> <li>• email</li> <li>• fax records</li> </ul>

	<ul style="list-style-type: none"> <li>• files</li> <li>• graphics</li> <li>• incident reports</li> <li>• Internet/intranet</li> <li>• notes</li> <li>• personal records</li> <li>• pager records</li> <li>• security records</li> <li>• security risk management plans</li> <li>• telephone messages</li> <li>• video images</li> <li>• information provided under public interest disclosures, protected disclosures or whistleblowing legislation</li> </ul>
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### **Evidence Guide**

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.

In relation to unit PSPREG415A, candidates should provide evidence that confirms receipt and validation of data in a range of (3 or more) contexts (or occasions, over time).

**Do you consistently meet your organisation's performance standards for:**

<b>PSPREG415A – Receive and validate data (Chosen required elective)</b>	<b>Yes</b>	<b>Not Yet</b>	<b>Not able to comment</b>
Receiving information			
Recording information			
Verifying authenticity of information			
Recommending/taking action as a result of information received			

**Candidate's Comments and Attachment/s number as included in Portfolio of Evidence:**

**Referee Comments:**

*I have read the candidate's recognition application and documentation. I support the claims of the candidate to have met the knowledge and skill requirements in performing the tasks in this unit of competency.*

**Signature of Referee:**

**Date:**

*I agree with the statements above and that I have met the knowledge and skill requirements in this unit of competency.*

**Signature of Candidate:**

**Date:**

## PSPREG416A – Conduct data analysis

### Introduction

This is a chosen required elective unit of competency in the PSP41504 Certificate IV in Government (Investigation) and covers activities involved in analysing and matching data from a range of sources. It includes analysing information, and documenting outcomes of the analysis.

Being competent in this unit means being able to:

### Analyse data

This element requires:

- **Analysis** is undertaken dependent upon the nature of the data and intended purpose of the analysis
- **Methods of analysis** are selected in accordance with any relevant industry standards, precedents and techniques
- Trends are identified and inferences drawn in light of environmental and cultural factors relevant to the particular situation
- The chain of reasoning in formulating inferences is made clear to ensure transparency to users of the data
- A proactive approach is taken to identify and assess the need for new or changed systems and processes for analysing data to more effectively meet objectives

### Document outcomes of analysis

This element requires:

- Recommended actions are based upon analysis of **data** in the context of the purpose of the analysis and the objectives and priorities of the organisation's strategies and plans
- Links between the outcomes proposed as a result of the data analysis and the organisation's strategies are made clear to the intended audience
- Timely and relevant reports are completed and disseminated to appropriate staff and management
- Results of data analysis are **incorporated** into ongoing review of organisational strategies and plans
- Documentation is prepared that is clear, concise and accessible to all relevant staff

## 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.

<b><i>Analysis can be</i></b>	<ul style="list-style-type: none"><li>• quantitative and/or qualitative</li><li>• explorative</li><li>• descriptive</li><li>• causative</li><li>• predictive</li></ul>
<b><i>Methods of analysis can include</i></b>	<ul style="list-style-type: none"><li>• hypothesis development</li><li>• link analysis</li><li>• comparative analysis</li><li>• biographical analysis</li><li>• demographic or geographic analysis</li><li>• historical analysis</li><li>• scenario generation</li><li>• Delphi technique</li><li>• morphological analysis</li></ul>
<b><i>Data sources may include</i></b>	<ul style="list-style-type: none"><li>• program files</li><li>• agency systems</li><li>• other agencies</li><li>• law enforcement agencies</li><li>• standards setting organisations</li></ul>
<b><i>Incorporation may be in terms of</i></b>	<ul style="list-style-type: none"><li>• identifying and assessing risk</li><li>• monitoring and reviewing procedures</li></ul>

## Evidence Guide

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.

In relation to unit PSPREG416A, candidates should provide evidence that confirms analysis of data in a range of (3 or more) contexts (or occasions, over time).

**Do you consistently meet your organisation's performance standards for:**

<b>PSPREG416A – Conduct data analysis (Chosen required elective)</b>	<b>Yes</b>	<b>Not Yet</b>	<b>Not able to comment</b>
Documenting outcomes of analysis			
Analysing data			

**Candidate's Comments and Attachment/s number as included in Portfolio of Evidence:**

**Referee Comments:**

*I have read the candidate's recognition application and documentation. I support the claims of the candidate to have met the knowledge and skill requirements in performing the tasks in this unit of competency.*

**Signature of Referee:** \_\_\_\_\_ **Date:** \_\_\_\_\_

*I agree with the statements above and that I have met the knowledge and skill requirements in this unit of competency.*

**Signature of Candidate:** \_\_\_\_\_ **Date:** \_\_\_\_\_

## PSPREG418A – Advise on progress on investigations

### Introduction

This is a required unit of competency in the PSP41504 Certificate IV in Government (Investigation) and covers ongoing review of activities throughout an investigation to ensure the effective outcome of the investigation. It includes summarising and reporting on the progress of an investigation, identifying and analysing problems and recommending further action.

Being competent in this unit means being able to:

### Summarise and report on progress of investigation

This element requires:

- Ongoing monitoring of the investigation, changes in direction and resource implications are recorded and reported
- **Progress**, problems and resource usage are reviewed in accordance with the investigation plan
- Progress reports/**briefings** are prepared and disseminated in accordance with organisational requirements
- Records and systems are **secured** and updated regularly in accordance with organisational policy and procedures

### Identify and analyse problems

This element requires:

- Problems are recorded and suggestions made for resolving or referring them
- **Modifications** to the process of investigation are suggested and solutions are implemented where practicable
- Referral of the investigation to another agency is recommended where jurisdiction/resources make this the preferred option under organisational policy and procedures
- If no further action is to be taken on an investigation, reasons and supporting documentation are recorded in accordance with organisational policy and procedures
- If an investigation is terminated, recommendations for referral to another organisation are made if appropriate and are documented for the organisation's information in future similar cases

### Recommend further action

This element requires:

- Any **areas of potential risk** identified by/affecting the investigation are notified in accordance with organisational policy and procedures, together with suggestions for early intervention measures

- Suggestions are made regarding further avenues of enquiry
- **Follow-up tasks** are identified and actioned in accordance with organisational policy and procedures

### 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.

<b><i>Progress in an investigation requires</i></b>	<ul style="list-style-type: none"> <li>• effective administrative processes for all aspects of the investigation</li> <li>• appropriate resource allocation</li> <li>• correct evidence collection and management</li> <li>• availability of witnesses and evidence</li> <li>• authorisations (eg from an authorised justice)</li> </ul>
<b><i>Briefings may include</i></b>	<ul style="list-style-type: none"> <li>• written</li> <li>• oral</li> <li>• formal</li> <li>• informal</li> </ul>
<b><i>Securing records and systems may include</i></b>	<ul style="list-style-type: none"> <li>• standard security procedures</li> <li>• security classification of records</li> <li>• restricting access to records</li> <li>• restricting electronic access to systems</li> <li>• restricting physical access to systems and records</li> </ul>
<b><i>Modifications may include</i></b>	<ul style="list-style-type: none"> <li>• re-evaluating the resources of the investigation</li> <li>• referring the matter to another organisation</li> </ul>
<b><i>Areas of potential risk may include</i></b>	<ul style="list-style-type: none"> <li>• those affecting the investigation:</li> <li>• public interest in investigation</li> <li>• hostile witness/es</li> <li>• ill-health of witness</li> <li>• flight risk of those being investigated</li> <li>• those identified by the investigation:</li> <li>• potential for fraud/corruption elsewhere in an organisation or other organisations</li> <li>• inadequate security arrangements uncovered</li> <li>• likelihood of other potential perpetrators</li> </ul>
<b><i>Follow-up tasks may include</i></b>	<ul style="list-style-type: none"> <li>• referrals to prosecution organisations</li> <li>• completion of documentation</li> <li>• referral for recovery action, which may be accompanied by liquidity analysis</li> <li>• reporting results to superiors</li> <li>• updating files</li> </ul>

## **Evidence Guide**

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.

In relation to unit PSPREG418A, candidates should provide evidence that confirms advice on the progress of investigations in a range of (3 or more) contexts (or occasions, over time).

**Do you consistently meet your organisation's performance standards for:**

<b>PSPSREG418A – Advise on progress of investigations (Required)</b>	<b>Yes</b>	<b>Not Yet</b>	<b>Not able to comment</b>
Summarising and reporting on progress of investigation			
Identifying and analysing problems			
Recommending further action			

**Candidate's Comments and Attachment/s number as included in Portfolio of Evidence:**

**Referee (Third party) Comments:**

*I have read the candidate's recognition application and documentation. I support the claims of the candidate to have met the knowledge and skill requirements in performing the tasks in this unit of competency.*

**Signature of Referee:**

**Date:**

*I agree with the statements above and that I have met the knowledge and skill requirements in this unit of competency.*

**Signature of Candidate:**

**Date:**

## PSPREG419A – Finalise and report on investigations

### Introduction

This is a required unit of competency in the PSP41504 Certificate IV in Government (Investigation) and 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.

Being competent in this unit means being able to:

### Finalise investigation

This element requires:

- **Administrative requirements** for finalising the investigation are completed in accordance with organisational policy and procedures
- **Investigative requirements** for finalising the investigation are undertaken in accordance with **legislation, policy and procedures** and **public sector standards**
- Recovery action is considered and the decision is recorded in accordance with organisational policy and procedures
- Management is advised on the outcome of the investigation
- Confidentiality of information gathered in the investigation process is maintained where appropriate

### Handle complaints and appeals

This element requires:

- Complaints and appeals are received and dealt with in accordance with legislation, organisational policy and procedures for complaint handling
- 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

### Prepare an investigation report

This element requires:

- A finalisation **report** is prepared in relation to the findings and submission of evidence
- The report is prepared with **recommendations** for subsequent action, if relevant
- 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
- 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

## Use investigation outcomes

This element requires:

- External organisations are informed of outcomes if applicable and this action documented
- Organisational systems are updated regularly to contribute investigation results to statistics, trends and precedents

## 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.

<p><b><i>Administrative requirements for finalising investigations may include</i></b></p>	<ul style="list-style-type: none"> <li>• recording:</li> <li>• name of deciding authority (judge/magistrate)</li> <li>• final jurisdiction (court)</li> <li>• decision and final comments of court result</li> <li>• penalty orders/compensation</li> <li>• case management system check list</li> <li>• referral for national or regional review</li> <li>• acquittal of exhibit register</li> <li>• feedback to director of public prosecutions</li> </ul>
<p><b><i>Investigative requirements for finalising investigations may include</i></b></p>	<ul style="list-style-type: none"> <li>• disposal/return of exhibits</li> <li>• filing of evidence</li> <li>• meeting forfeiture requirements</li> <li>• filing/storage of items such as:             <ul style="list-style-type: none"> <li>○ brief of evidence</li> <li>○ original statements</li> <li>○ original tapes</li> </ul> </li> </ul>
<p><b><i>Legislation, policy and procedures may include</i></b></p>	<ul style="list-style-type: none"> <li>• enabling and related legislation</li> <li>• privacy legislation/instructions</li> <li>• organisational procedures and protocols</li> <li>• occupational health and safety legislation</li> <li>• standard operating procedures</li> <li>• Australian Government Investigation Standards (AGIS)</li> </ul>
<p><b><i>Public sector standards may include</i></b></p>	<ul style="list-style-type: none"> <li>• code/s of conduct</li> <li>• ethics standards</li> <li>• confidentiality and privacy requirements</li> <li>• equity and diversity considerations</li> <li>• equal employment opportunity</li> <li>• anti-discrimination requirements</li> </ul>
<p><b><i>Investigation report will</i></b></p>	<ul style="list-style-type: none"> <li>• have:             <ul style="list-style-type: none"> <li>○ a logical sequence</li> <li>○ internal consistency</li> <li>○ recommendations for further action, if appropriate</li> </ul> </li> </ul>

	<ul style="list-style-type: none"> <li>• be: <ul style="list-style-type: none"> <li>○ factual</li> <li>○ unbiased</li> <li>○ objective</li> <li>○ readable to someone who doesn't know the case</li> <li>○ support the conclusion and outcomes of the investigation</li> </ul> </li> </ul>
<b>Recommendations may include</b>	<ul style="list-style-type: none"> <li>• recovery of debt</li> <li>• dismissal of employee</li> <li>• disciplinary action</li> <li>• waiving of debt</li> </ul>

## Evidence Guide

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.

In relation to unit PSPREG419A, candidates should provide evidence that confirms finalisation of investigations and reports in a range of (3 or more) contexts (or occasions, over time).



## PSPSEC405A – Handle security classified information

### Introduction

This is a chosen required elective unit of competency in the PSP41504 Certificate IV in Government (Investigation) and covers the requirements related to handling security classified information. It includes receiving, dealing with and maintaining security classified information.

Being competent in this unit means being able to:

### Receive security classified information

This element requires:

- **Security classified information** is **received** and checked to ensure transmission protocols have been adhered to
- Action is taken in accordance with security policy and procedures where protocols have not been adhered to
- Security classified information is recorded in accordance with organisational policy and procedures

### Deal with security classified information

This element requires:

- Security classified information is **reviewed** to ensure classification meets the organisation's security policy for protection of information
- Aggregated security classified information is reviewed to ensure that it is classified in accordance with security requirements
- Classification requirement is checked to ensure it is warranted, and the level of protection is assigned in accordance with the consequences that might result from the compromise of the information's confidentiality, integrity and availability
- Originators of information who classify documents are contacted to discuss re-classification or de-classification where necessary
- Security classified information is **transmitted** in accordance with organisational security policy and procedures
- **Expert advice** is obtained as required in accordance with organisational policy and procedures

### Maintain security classified information

This element requires:

- Security classified information is **secured** in accordance with organisational policy and procedures
- Security classified information is **accounted for** in accordance with organisational policy and procedures
- Security classified information is **disposed of** in accordance with organisational policy and procedures

## 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.

<b><i>Security classified information may include</i></b>	<ul style="list-style-type: none"> <li>• hard copy</li> <li>• electronic</li> <li>• audio-visual</li> <li>• photographic</li> <li>• encrypted</li> <li>• national security classified</li> <li>• non-national security classified</li> <li>• classified by third parties</li> </ul>
<b><i>Security classified information may be received by</i></b>	<ul style="list-style-type: none"> <li>• hand</li> <li>• mail</li> <li>• safe hand mail</li> <li>• courier</li> <li>• electronic means</li> </ul>
<b><i>Reviewed information may include</i></b>	<ul style="list-style-type: none"> <li>• single or aggregated information</li> </ul>
<b><i>Transmission may be by</i></b>	<ul style="list-style-type: none"> <li>• hand</li> <li>• mail</li> <li>• courier</li> <li>• electronic means</li> </ul>
<b><i>Expert advice may include</i></b>	<ul style="list-style-type: none"> <li>• agency security adviser/s</li> <li>• specialist agencies such as: <ul style="list-style-type: none"> <li>○ Australian Security Intelligence Organisation</li> <li>○ Department of Foreign Affairs and Trade</li> <li>○ Australian Public Service Commission</li> <li>○ Defence Signals Directorate</li> <li>○ Australian Federal Police</li> <li>○ Attorney-General's Department</li> <li>○ Australian National Audit Office</li> <li>○ Office of Privacy Commissioner</li> </ul> </li> </ul>
<b><i>Securing practices may include</i></b>	<ul style="list-style-type: none"> <li>• correct filing</li> <li>• clean desk</li> <li>• quitting all electronic systems and networks</li> <li>• checking environment including: <ul style="list-style-type: none"> <li>• desks</li> <li>• whiteboards</li> <li>• waste bins</li> <li>• computer drives</li> <li>• containers</li> <li>• cabinets</li> <li>• safes</li> <li>• vaults</li> <li>• windows</li> <li>• doors</li> </ul> </li> <li>• safe carriage of keys</li> </ul>

<p><b>Accounting for security classified information may include</b></p>	<ul style="list-style-type: none"> <li>• audit</li> <li>• spot checks</li> <li>• correct notation or markings</li> <li>• file records</li> <li>• transmission records</li> <li>• receipts</li> </ul>
<p><b>Methods of disposal may include</b></p>	<ul style="list-style-type: none"> <li>• pulping</li> <li>• burning</li> <li>• pulverisation</li> <li>• shredding</li> <li>• overwriting</li> <li>• degaussing</li> <li>• destruction</li> <li>• archiving</li> </ul>

### **Evidence Guide**

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.

In relation to unit PSPSEC405A, candidates should provide evidence that confirms security classified information handled in a range of (3 or more) contexts (or occasions, over time).

**Do you consistently meet your organisation's performance standards for:**

<b>PSPSEC405A – Handle security classified information (Chosen required elective)</b>	<b>Yes</b>	<b>Not Yet</b>	<b>Not able to comment</b>
Receiving security classified information			
Dealing with security classified information			
Maintaining security classified information			

**Candidate's Comments and Attachment/s number as included in Portfolio of Evidence:**

**Referee (Third party) Comments:**

*I have read the candidate's recognition application and documentation. I support the claims of the candidate to have met the knowledge and skill requirements in performing the tasks in this unit of competency.*

**Signature of Referee:** **Date:**

*I agree with the statements above and that I have met the knowledge and skill requirements in this unit of competency.*

**Signature of Candidate:** **Date:**

