



National Occupational Standards

For

Investigations

Approved Suite of NOS
May 2010

National Occupational Standards for Investigations

Unit	Title
INV 1 Contribute to the effectiveness of investigation teams	INV 1.1 Create and maintain professional relationships with investigation colleagues and stakeholders
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INV 10 Take part in surveillance operations	INV 10.1 Contribute to surveillance operations briefings
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INV 12 Enter and integrate data, and present information using a computer system	INV 12.1 Enter data into a computer
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INV 13 Maintain understanding of legislation, regulation and codes of practice relevant to investigation	INV 13.1 Research and evaluate relevant legislation, regulation and codes of practice
	INV 13.2 Apply legislation, regulation and codes of practice to investigations
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INV 14 Carry out legal process serving	INV 14.1 Prepare to serve legal process
	INV 14.2 Serve and provide proof of service
DA5 Present evidence in court and at other hearings (This unit has been imported and tailored from a Skills for Justice approved suite of NOS)	DA5.1 Prepare for court or other hearings
	DA5.2 Present evidence to court or other hearings
Unit 3 Promote a healthy and safe culture in the workplace (This unit is imported from Skills for Security approved suite of Common Core NOS)	Promote a healthy and safe culture in the workplace
Unit 4 Communicate effectively with others (This unit is imported from Skills for Security approved suite of Common Core NOS)	Unit 4.1 Develop and maintain communication with people
	Unit 4.2 Maintain the security of information
Unit 9 Develop productive working relationships with colleagues and stakeholders (This unit is imported from Skills for Security approved suite of Common Core NOS)	Develop productive working relationships with colleagues and stakeholders

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<p>Unit 10 Provide leadership for your team (This unit is imported from Skills for Security approved suite of Common Core NOS)</p>	<p>Provide leadership for your team</p>
<p>Unit 11 Ensure compliance with legal, regulatory, ethical and social requirements (This unit is imported from Skills for Security approved suite of Common Core NOS)</p>	<p>Ensure compliance with legal, regulatory, ethical and social requirements</p>
<p>Unit 13 Manage your own resources and professional development (This unit is imported from Skills for Security approved suite of Common Core NOS)</p>	<p>Manage your own resources and professional development</p>
<p>Unit 15 Develop a culture and systems that promote equality and value diversity (This unit is imported from Skills for Security approved suite of Common Core NOS)</p>	<p>Develop a culture and systems that promote equality and value diversity</p>

Glossary of Terms

- Suspect – a person or persons considered to be potentially liable or guilty of a particular act or omission.
- Intelligence – information that has been or can be developed in the context of the investigation
- Information – facts or knowledge provided or learned
- Data – facts and statistics used for reference or analysis
- Client – a person engaging the services of an investigator
- Third party – party other than the client or investigator
- Records – retained data or information
- Intelligence Model – a current best practice model for collation, evaluation, dissemination of intelligence
- Vehicles – the term vehicle should be interpreted in its widest possible terms

Unit INV 1

Contribute to the effectiveness of investigation teams

Overview

This unit sets out the skills, knowledge and understanding for you to participate in an investigation.

This unit consists of three elements:

- Create and maintain professional relationships with investigation colleagues and stakeholders (Element INV 1.1)
- Minimise risk to the health and safety of yourself and others during investigation operations (Element INV 1.2)
- Maintain records of personal investigation activity (INV 1.3)

Unit: INV 1

Unit Title: Contribute to the effectiveness of investigation teams

Element: INV 1.1

Element Title: Create and maintain professional relationships with investigation colleagues and stakeholders

Performance Criteria

You must be able to –

- a. recognise the limitations of your own knowledge and skills, and when required, request assistance in a manner which promotes a positive response
- b. respond positively to requests for assistance from colleagues which fall within your own area of expertise and ability
- c. make effective and mutually beneficial arrangements regarding division of work and joint responsibilities and resources
- d. discuss, resolve or factually report significant difficulties in working relationships to an appropriate authority
- e. develop, use and manage information networks with regard to the need for confidentiality

Knowledge Criteria

You must know and understand –

1. current relevant legislation, regulations, codes of practice and guidelines relating to investigation techniques and procedures
2. what to do when requests for assistance fall outside your own area of expertise, knowledge or ability
3. how to interact with others efficiently without adversely affecting your own work
4. how to consult with and help team members share work and joint responsibilities effectively and efficiently
5. the information networks used within your organisation, including how to maintain confidentiality
6. how to report any unresolved difficulties within a working relationship to an appropriate authority

There is no Range Statement for this element

Unit: INV 1

Unit Title: Contribute to the effectiveness of investigation teams

Element: INV 1.2

Element Title: Minimise risk to the health and safety of yourself and others during investigation operations

Performance Criteria

You must be able to –

- a. recognise and respond appropriately to potential hazards and **risks** to yourself and others when carrying out **investigation operations**
- b. take prompt, evasive action, if required, to minimise any risks to yourself and others
- c. use operational equipment safely, correctly and in accordance with manufacturer's instructions
- d. behave in a manner which promotes the safety of yourself and others
- e. carry out investigation operations in accordance with your organisation's procedures
- f. report and record details of **incidents** promptly and in accordance with legal requirements

Knowledge Criteria

You must know and understand –

1. current relevant legislation, regulations, codes of practice and guidelines relating to health and safety, and how to comply with these requirements
2. how to recognise and respond appropriately to potential hazards and risks to yourself and others when carrying out investigation operations
3. how to safely use and maintain the technical equipment that you use
4. your organisation's policies and procedures for conducting investigation operations safely
5. how to report and record details of incidents
6. how the way you work and your personal conduct affect the health and safety of yourself and others

Range Statement

You must be competent to deal with the following types of:-

1. **risks:** physical, environmental, personal
2. **investigation operations:** interviewing, searching, surveillance
3. **incidents:** accident, attack, threatening behaviour

Unit: INV 1

Unit Title: Contribute to the effectiveness of investigation teams

Element: INV 1.3

Element Title: Maintain records of personal investigation activity

Performance Criteria

You must be able to –

- a. make records of investigation activity as soon as practical, following an appropriate format
- b. maintain records of investigations that are clear, succinct and contain all essential details
- c. maintain the security and confidentiality of all recorded information

Knowledge Criteria

You must know and understand –

1. current relevant legislation, regulations, codes of practice and guidelines relating to maintaining records
2. why it is important to make accurate records of investigation activities
3. why it is important and how to maintain the confidentiality of records
4. how to use an appropriate style and format for recording information
5. how and where the details of investigation activities can be used

There is no Range Statement for this element

Unit INV 2

Advise clients on the viability and consequences of carrying out investigations

Overview

This unit sets out the skills, knowledge and understanding for you to advise clients on available investigation options.

This unit consists of three elements:

- Evaluate and identify preferred investigation options (INV 2.1)
- Provide initial advice on potential investigation options (INV 2.2)
- Recommend investigation options to determine investigation action (INV 2.3)

Unit: INV 2

Unit Title: Advise clients on the viability and consequences of carrying out investigations

Element: INV 2.1

Element Title: Evaluate and identify preferred investigation options

Performance Criteria

You must be able to –

- a. confirm the origin, and evidential value of initial information provided by clients
- b. investigate the availability of additional information that is essential to the investigation
- c. identify and record details of constraints that have an impact on the proposed investigation
- d. identify and determine the expected cost of **investigation options** and resources needed to meet **investigation objectives**
- e. evaluate investigation options against relevant criteria, and match these to the investigation objectives
- f. prepare **presentations** of investigation options in a style that helps others involved in the investigation to understand the options
- g. confirm and agree investigation objectives with the clients, identifying any areas of concern

Knowledge Criteria

You must know and understand –

1. current relevant legislation, regulations, codes of practice and guidelines relating to investigation methods
2. how to confirm the source and evidential value of initial information
3. how and why it is important to investigate the availability of essential additional evidence
4. how and why it is important to evaluate and cross reference information
5. how to determine and cost different methods of meeting investigation objectives
6. how to determine and record limitations or restrictions that impact on the investigation options
7. how to record and store information
8. how to measure investigation options against investigation objectives
9. how to present investigation options in a precise and clear way which assists others to understand the options

Range Statement

You must be competent to deal with the following types of:-

1. **investigation options**: research, interviews, surveillance, searches
2. **investigation objectives**: prosecution, litigation, prevention, recovery of property, intelligence gathering, disciplinary
3. **presentations**: oral, written, electronic

Unit: INV 2

Unit Title: Advise clients on the viability and consequences of carrying out investigations

Element: INV 2.2

Element Title: Provide initial advice on potential investigation options

Performance Criteria

You must be able to –

- a. confirm and agree **investigation objectives** with the clients, identifying any areas of concern
- b. collate and protect all available information in accordance with relevant legislation and codes of practice
- c. identify potential **investigation options**, that best match the investigation requirements
- d. consider, confirm and accurately record the details of constraints which impact on potential investigation options
- e. provide initial advice on potential investigation options
- f. identify and determine the expected cost of investigation options and resources needed to meet investigation objectives
- g. establish effective and professional relationships with those involved in the investigation that encourages confidence and understanding of the process

Knowledge Criteria

You must know and understand –

1. current relevant legislation, regulations, codes of practice and guidelines relating to investigation methods
2. how to recognise and agree investigation options whilst identifying any concerns
3. how to recognise and match investigation options to investigation requirements
4. how to research, confirm and accurately record limitations or restrictions that impact on the proposed investigation using your organisation's guidelines
5. how to determine and cost different methods of meeting investigation objectives
6. how to set up effective working relationships with others which could be involved in investigations
7. how to record and store information relating to your organisation's guidelines
8. how to measure investigation options against investigation objectives
9. how to present investigation options in a precise and clear way which assists others to understand the options

Range Statement

You must be competent to deal with the following types of:-

1. **investigation objectives:** prosecution, litigation, prevention, recovery of property, intelligence gathering, disciplinary
2. **investigation options:** research, interviews, surveillance, searches

Unit: INV 2

Unit Title: Advise clients on the viability and consequences of carrying out investigations

Element: INV 2.3

Element Title: Recommend investigation options to determine investigation action

Performance Criteria

You must be able to –

- a. provide recommended **investigation options** for consideration within agreed timescales
- b. provide details of investigation options in formats that help clients to make decisions
- c. confirm your clients' understanding of the options that you recommend in a polite and professional manner
- d. draw attention to potential constraints on the proposed **investigation objectives** in a manner which facilitates understanding
- e. agree and record **parameters** with clients for conducting investigations
- f. obtain a decision from the **appropriate person** on whether to proceed with the investigation

Knowledge Criteria

You must know and understand –

1. current relevant legislation, regulations, codes of practice and guidelines relating to investigation activities
2. how to present your recommended investigation option either written or orally to appropriate persons and within agreed timescales
3. the importance of obtaining a decision from the appropriate person prior to proceeding with investigation
4. how and why it is important to highlight and explain clearly the limitations or restrictions that impact on the proposed investigation using your organisation's guidelines
5. the importance of agreeing clear boundaries for conducting the investigation
6. how to record and store information of recommended options and clients' decisions

Range Statement

You must be competent to deal with the following types of:-

1. **investigation options:** research, interviews, surveillance, searches
2. **investigation objectives:** prosecution, litigation, prevention, recovery of property, intelligence gathering, disciplinary
3. **parameters:** investigation objectives, budget, duration, resources, frequency of up-dating
4. **appropriate person:** line manager, self, specialist, clients

Unit INV 3

Interview witnesses to support investigations

Overview

This unit sets out the skills, knowledge and understanding for you to carry out an interview to gain information from a witness.

This unit consists of three elements:

- Establish and maintain effective relationships with witnesses (INV 3.1)
- Interview witnesses and obtain relevant information (INV 3.2)
- Take statements from witnesses (INV 3.3)

Unit: INV 3

Unit Title: Interview witnesses to support investigations

Element: INV 3.1

Element Title: Establish and maintain effective relationships with witnesses

Performance Criteria

You must be able to –

- a. confirm the identity of the witness
- b. relate to potential **witnesses** in a sensitive and courteous manner
- c. conduct **enquiries** in a manner which elicits information relevant to the investigation
- d. assess the potential value and importance of information gathered from witnesses
- e. verify information by finding reliable sources of corroboration
- f. evaluate witnesses in accordance to the potential suitability and reliability of their evidence
- g. organise and conduct further interviews, if required, as soon as practicable
- h. take appropriate action to address any identified **specific needs** of witnesses

Knowledge Criteria

You must know and understand –

1. the acceptable forms of identification
2. the importance of relating to witnesses in a caring and polite manner
3. current relevant legislation, regulations, codes of practice and guidelines relating to –
 - interviewing witnesses
 - rules of disclosure
4. how to plan further witness interviews when necessary
5. how to identify and give attention to any specific needs of witnesses
6. the importance of using different ways of interviewing witnesses
7. how to take account of gender, cultural diversity and minority group related issues
8. how and why it is important to evaluate the suitability and reliability of witness' evidence
9. how and why you should handle information to protect its confidentiality, evidential, and organisational value

Range Statement

You must be competent to deal with the following types of:-

1. **witnesses**: directly involved, indirectly involved, co-operative, non co-operative, malicious
2. **enquiries**: pre-planned, ad-hoc
3. **specific needs**: language, physical, cultural, vulnerable persons, juveniles, religious

Unit: INV 3

Unit Title: Interview witnesses to support investigations

Element: INV 3.2

Element Title: Interview witnesses and obtain relevant information

Performance Criteria

You must be able to –

- a. conduct witness interviews in a manner which supports **investigation objectives**
- b. record all information accurately, and in accordance with the rules of evidence and legal requirements
- c. establish the relevance and evidential value of information from **witnesses**
- d. handle, label and store any exhibits in a manner which preserves their integrity
- e. comply with professional ethics and legal requirements at all times during interviews
- f. follow correct procedures and legal requirements at interviews
- g. take steps to ensure that the witnesses are not influenced by the presence of other persons
- h. take appropriate action to address any identified **specific needs** of witnesses

Knowledge Criteria

You must know and understand –

1. the importance of using appropriate witness interview techniques to meet the investigations purpose
2. how and why it is important to find out the relevance and value of evidence
3. current relevant legislation, regulations, codes of practice and guidelines relating to-
 - interviewing witnesses
 - rules of disclosure
 - interviews where other persons are present
4. how and why you should handle information to protect confidentiality, evidential, and organisational value
5. how and why it is important to comply with professional ethics and legal requirements during interviews
6. how to identify and give attention to any specific needs of witnesses
7. how to take account of gender, cultural diversity and minority group related issues
8. how and why you should handle and label exhibits to preserve their evidential integrity
9. how to record all information accurately
10. how and why it is important to ensure that a witness is not influenced by another person

Range Statement

You must be competent to deal with the following types of:-

1. **investigation objectives**: prosecution, litigation, prevention, recovery of property, intelligence gathering, disciplinary
2. **witnesses**: directly involved, indirectly involved, co-operative, non co-operative, malicious
3. **specific needs**: language, physical, cultural, vulnerable persons, juveniles, religious

Unit: INV 3

Unit Title: Interview witnesses to support investigations

Element: INV 3.3

Element Title: Take statements from witnesses

Performance Criteria

You must be able to –

- a. confirm **witnesses** know and understand their rights in accordance with legal requirements and codes of practice
- b. encourage witnesses to provide statements that are accurate and succinct
- c. respect the privacy and confidentiality of witnesses, within legal constraints
- d. produce accurate and legible statements that are agreed and endorsed by witnesses
- e. handle and label exhibits in a manner which preserves their integrity
- f. agree and endorse any corrections, alterations or additions to original statements, in accordance with legal requirements
- g. ensure that statements are countersigned, where necessary, in accordance with legal requirements
- h. take appropriate action to address any identified **specific needs** of witnesses

Knowledge Criteria

You must know and understand –

1. the importance of encouraging witnesses to provide accurate and clear statements
2. how and why it is important to determine the value of evidence
3. current relevant legislation, regulations, codes of practice and guidelines relating to-
 - rights of witnesses
 - rules of disclosure
 - endorsement, alteration or addition to statements
4. how to confirm that witnesses know their rights
5. how to identify and give attention to any specific needs of witnesses
6. how to take account of gender, cultural diversity and minority group related issues
7. the importance of using appropriate witness interview techniques to produce accurate and legible statements that are endorsed by witnesses
8. how to record and store information
9. how and when it is necessary that statements are countersigned
10. how and why you should label exhibits to maintain their evidential integrity

Range Statement

You must be competent to deal with the following types of:-

1. **witnesses**: directly involved, indirectly involved, co-operative, non co-operative, malicious
2. **specific needs**: language, physical, cultural, vulnerable persons, juveniles, religious

Unit INV 4

Interview suspects to collect information

Overview

This unit sets out the skills, knowledge and understanding for you to carry out an interview to gain information from a suspect.

This unit consists of three elements:

- Prepare to interview suspects (INV 4.1)
- Establish and maintain effective relationships with suspects (INV 4.2)
- Interview suspects to determine involvement (INV 4.3)

Unit: INV 4

Unit Title: Interview suspects to collect information

Element: INV 4.1

Element Title: Prepare to interview suspects

Performance Criteria

You must be able to –

- a. compile relevant background information on suspects, which support an investigation
- b. plan and organise **interviews** in a manner which maximises opportunities to establish facts
- c. choose the correct equipment for the interview and confirm its operational effectiveness
- d. obtain relevant exhibits required in interviews and maintain their security and integrity
- e. take appropriate action, to address any identified **specific needs** of suspects
- f. maintain the health and safety of yourself and others present at interviews

Knowledge Criteria

You must know and understand –

1. how to collect and collate relevant background information on suspects
2. how to plan interviews in a way which maximises opportunities to find out facts
3. the capabilities and limitations of equipment that you use during interviews and how to confirm its operational effectiveness
4. current relevant legislation, regulations, codes of practice and guidelines relating to:-
 - interviewing suspects
 - rules of disclosure
 - use of equipment
5. how to determine what exhibits are required for an interview and how to obtain and handle them in order to maintain integrity
6. how to record and store information in line with your organisation's procedures and legislation
7. safe practices to be used when holding office based interviews and external interviews

Range Statement

You must be competent to deal with the following types of:-

1. **interviews:** office based, external
2. **equipment:** tape recorders, video recorders, hand-writing materials
3. **specific needs:** language, physical, cultural, vulnerable persons, juveniles, religious

Unit: INV 4

Unit Title: Interview suspects to collect information

Element: INV 4.2

Element Title: Establish and maintain effective relationships with suspects

Performance Criteria

You must be able to –

- a. confirm the identity of the suspect
- b. relate to **suspects** sensitively and courteously
- c. use equipment in accordance with legal requirements and manufacturer's instructions
- d. confirm the identification of suspects following approved procedures
- e. confirm suspects know and understand their rights in accordance with legal requirements and codes of practice
- f. record and interpret relevant facts accurately
- g. deal with aggressive or anti social behaviour promptly, and in a manner which protects the well-being of yourself and others
- h. take appropriate action to address any identified **specific needs** of suspects
- i. follow correct legal procedures in relation to when other persons are present
- j. make accurate interview records, ensuring suspects integrity is protected
- k. take prompt action to calm any grievance where indications of suspicion are proved to be unfounded

Knowledge Criteria

You must know and understand –

1. the acceptable forms of identification
2. the importance of relating to suspects in a caring and polite manner
3. how to identify and respond to any specific needs of suspects
4. how to take account of gender, cultural diversity and minority group related issues
5. current relevant legislation, regulations, codes of practice and guidelines relating to:-
 - identification of suspects
 - rights of suspects
 - rules of disclosure
6. the importance of following correct legal procedures in relation to when other persons are present at interview
7. how to confirm suspects know their rights
8. the interpersonal and communications skills needed to maintain effective relationships and how to use them
9. how to record and interpret relevant facts
10. the importance of using equipment in accordance with the law and manufacturer's guidelines
11. how to record and store information
12. how to recognise when behaviour begins to become unacceptable
13. how to deal with these situations promptly and effectively whilst maintaining the health and safety of yourself and others

Please see next page for Range Statement

Range Statement

You must be competent to deal with the following types of:-

1. **suspects:** co-operative, non co-operative
2. **specific needs:** language, physical, cultural, vulnerable persons, juveniles, religious

Unit: INV 4

Unit Title: Interview suspects to collect information

Element: INV 4.3

Element Title: Interview suspects to determine involvement

Performance Criteria

You must be able to –

- a. confirm **suspects** know and understand their rights in accordance with legal requirements and codes of practice
- b. question suspects in a manner which maximises the acquisition of facts and in accordance with legal requirements
- c. establish the **level of suspects involvement**, where possible
- d. handle exhibits in a manner which preserves their integrity
- e. protect the integrity of **interview records** in accordance with organisational and legal requirements
- f. record and endorse suspects statements accurately and in accordance with legal requirements
- g. agree and endorse any corrections, alterations or additions to interview records in accordance with organisational and legal requirements
- h. take prompt action to calm any grievance where indications of suspicion are proved to be unfounded
- i. take appropriate action to address any identified **specific needs** of suspects
- j. suspend interviews, when necessary, in accordance with legal requirements
- k. evaluate the **outcome** of the interview and your own performance against interview objectives

Knowledge Criteria

You must know and understand –

1. current relevant legislation, regulations, codes of practice and guidelines relating to-
 - interviewing suspects
 - statement taking and endorsements
 - suspending interviews
2. how to find out the level of suspect involvement, where possible
3. how to recognise and deal with hostile or distressed suspect's behaviour
4. how to take account of gender, cultural diversity and minority group related issues
5. how to handle exhibits used in interviews
6. the interpersonal and communication skills needed to participate in an interview to gain factual information and how to use them
7. how to record information correctly
8. how to measure the effectiveness of the interview and your own performance against interview aim

Please see next page for Range Statement

Range Statement

You must be competent to deal with the following types of:-

1. **suspects:** co-operative, non co-operative
2. **level of suspects involvement:** none, accessory, principal
3. **interview records:** written, audio, video
4. **specific needs:** language, physical, cultural, vulnerable persons, juveniles, religious
5. **outcome:** closed investigation, progress investigation

Unit INV 5

Carry out physical searches to obtain evidence

Overview

This unit sets out the skills, knowledge and understanding for you to conduct a search.

This unit consists of five elements:

- Prepare to carry out searches (INV 5.1)
- Carry out physical searches to identify evidence (INV 5.2)
- Searching people for evidence (INV 5.3)
- Record and preserve the integrity of evidence (INV 5.4)
- Maintain the continuity of evidence (INV 5.5)

Unit: INV 5

Unit Title: Carry out physical searches to obtain evidence

Element: INV 5.1

Element Title: Prepare to carry out searches

Performance Criteria

You must be able to –

- a. confirm you have the necessary authority to carry out a **search** before searching
- b. confirm that appropriate equipment needed for the search is available and is in effective working order
- c. arrange for witnesses to be present at the search, as appropriate
- d. secure the search area, to prevent contamination of potential evidence
- e. brief all relevant persons on the requirements and conditions for the search

Knowledge Criteria

You must know and understand –

1. current relevant legislation, regulations, codes of practice and guidelines relating to your authority to search people and their property
2. the procedures and instructions you must follow in order to confirm authorisation to conduct searches, including:-
 - why it is good practice to have witnesses during searches
 - searching males and females
 - different types of search method used
3. the implications of carrying out searches incorrectly or not in accordance with legal requirements
4. the importance of briefing relevant people on the requirements and conditions for the search
5. how to secure an area and prevent contamination of evidence
6. how to make sure equipment that you need for the search is available and in effective working order

Range Statement

You must be competent to deal with the following types of:-

1. **search:** people, property, premises, vehicles

Unit: INV 5

Unit Title: Carry out physical searches to obtain evidence

Element: INV 5.2

Element Title: Carry out physical searches to identify evidence

Performance Criteria

You must be able to –

- a. carry out **searches** in a sensitive and courteous manner and in line with legal and organisational requirements
- b. carry out searches in a manner which maximises the opportunity to gather **physical evidence**
- c. maintain the integrity of evidence found during searches
- d. maintain the health and safety of yourself and others during searches
- e. complete accurate **reports** of searches, submitting them to the appropriate person within agreed timescales
- f. maintain the security and confidentiality of information relating to searches

Knowledge Criteria

You must know and understand –

1. current relevant legislation, regulations, codes of practice and guidelines relating to physical searches
2. the procedures and instructions you should follow when searching property, including:-
 - why it is important to have witnesses during searches
 - permission to search
 - different types of search
3. the implications of carrying out searches incorrectly
4. types of evidence that you should look for during searches
5. what you should do when you find evidence
6. how to maintain the health and safety of yourself and others during searches
7. how work with others efficiently and effectively to meet search objective
8. what information you should record and how to record and store it

Range Statement

You must be competent to deal with the following types of:-

1. **searches**: people, property, premises, vehicles
2. **physical evidence**: movable, immovable
3. **reports**: search registers, records

Unit: INV 5

Unit Title: Carry out physical searches to obtain evidence

Element: INV 5.3

Element Title: Searching people for evidence

Performance Criteria

You must be able to –

- a. carry out searches in a sensitive and courteous manner and in line with legal and organisational requirements
- b. carry out searches in a manner which maximises the opportunity to gather evidence
- c. give clear reasons for the search to individuals you are searching
- d. take prompt and appropriate **action** when you find evidence during a search
- e. maintain the integrity of evidence found during searches
- f. maintain the health and safety of yourself and others during searches
- g. complete accurate **reports** of searches, submitting them to the appropriate person within agreed timescales
- h. maintain the security and confidentiality of information relating to searches

Knowledge Criteria

You must know and understand –

1. current relevant legislation, regulations, codes of practice and guidelines relating to searching people
2. the procedures and instructions you should follow when searching people, including:-
 - why it is important to have witnesses during searches
 - searching males and females
 - permission to search
 - different types of search
3. how to take account of gender, cultural diversity and minority group related issues
4. the implications of carrying out searches incorrectly
5. types of evidence that you should look for during searches
6. what you should do when you find evidence and to whom it should be reported
7. how to maintain the health and safety of yourself and others during searches
8. how to respond to possible reactions of suspects to finding evidence during a search
9. what information you should record and how to record and store it

Range Statement

You must be competent to deal with the following types of:-

1. **action**: apprehend suspect, secure evidence, call for other authority, report the incident
2. **reports**: search registers, records

Unit: INV 5

Unit Title: Carry out physical searches to obtain evidence

Element: INV 5.4

Element Title: Record and preserve the integrity of evidence

Performance Criteria

You must be able to –

- a. handle, store and secure evidence in a manner which prevents contamination and preserves its integrity
- b. record the required details of **evidence** found during searches accurately and completely
- c. complete and provide relevant persons with **documentation** as necessary, obtaining signatures when required
- d. maintain the safety and security of evidence in its location, until it can be processed

Knowledge Criteria

You must know and understand –

1. how and why you should handle store and secure evidence in a way which prevents contamination and maintains its integrity
2. what details of evidence found during searches should be recorded and how to record this information
3. to whom information about searches should be provided and how this is done
4. the importance of gaining appropriate signatures when sharing or delivering completed documentation

Range Statement

You must be competent to deal with the following types of:-

1. **evidence** gathered from searches of: people, property, premises, vehicles
2. **documentation**: search registers, records, exhibit labels, lists, photographs, logs, plans

Unit: INV 5

Unit Title: Carry out physical searches to obtain evidence

Element: INV 5.5

Element Title: Maintain the continuity of evidence

Performance Criteria

You must be able to –

- a. deal with **evidence** in accordance with organisational and legal requirements
- b. maintain the safety and security of evidence in its location, until it can be processed
- c. confirm the continuity of evidence following approved procedures or best practice, including unique marking
- d. record details of evidence gathered from search accurately
- e. handle evidence in a manner that preserves its integrity

Knowledge Criteria

You must know and understand –

1. current relevant legislation, regulations, codes of practice and guidelines relating to evidence preservation
2. how and why it is important to maintain the continuity of evidence
3. how and why it is important to protect evidence in its location, until it can be processed
4. how and why it is important to ensure the availability of evidence development, sequence and integrity
5. how to record the location and time of find when recording evidence gathered from searches using your organisation's procedure
6. how to handle, store and secure evidence in a way which prevents contamination and maintains its integrity

Range Statement

You must be competent to deal with the following types of:-

1. **evidence** gathered from searches of: people, property, premises, vehicles

Unit INV 6

Plan and co-ordinate investigations

Overview

This unit sets out the skills, knowledge and understanding for you to manage investigations.

This unit consists of four elements:

- Plan investigations (INV 6.1)
- Conduct dynamic risk assessments during Investigations (INV 6.2)
- Brief colleagues and others involved in investigations (INV 6.3)
- Manage investigations (INV 6.4)

Unit: INV 6

Unit Title: Plan and co-ordinate investigations

Element: INV 6.1

Element Title: Plan investigations

Performance Criteria

You must be able to –

- a. plan and initiate investigations based on agreed **objectives** with clients
- b. match the preferred **investigation options** to agreed **parameters**
- c. quantify and obtain the resources needed for investigations
- d. plan investigations in a way which avoids conflict of interest
- e. maintain the security and confidentiality of investigation plans
- f. review and update implementation plans in response to changing circumstances

Knowledge Criteria

You must know and understand –

1. current relevant legislation, regulations, codes of practice and guidelines relating to investigations
2. how to prepare and initiate investigations meeting agreed aims or purpose guidelines
3. how and why it is important to match the preferred investigation option to agreed parameters
4. how to find and firmly secure the resources needed for investigations
5. how to identify and remove possible sources of conflict
6. how and why it is important to agree, plan and schedule investigations to avoid conflict of interest
7. how to respond appropriately, review and update implementation plans in response to changing circumstances
8. how to record and store information

Range Statement

You must be competent to deal with the following types of:-

1. **objectives:** prosecution, litigation, prevention, recovery of property, intelligence gathering, disciplinary
2. **investigation options:** research, interviews, surveillance, searches
3. **parameters:** investigation objectives, budget, duration, resources, frequency of up-dating

Unit: INV 6

Unit Title: Plan and co-ordinate investigations

Element: INV 6.2

Element Title: Conduct dynamic risk assessments during Investigations

Performance Criteria

You must be able to –

- a. base dynamic risk assessments on available information
- b. maintain your own safety and that of your colleagues whilst carrying out dynamic risk assessments, following your organisation's guidelines and good practice, including maintaining required communications
- c. act within the limits of your authority and responsibility
- d. call for assistance if needed from **relevant people**

Knowledge Criteria

You must know and understand –

1. current relevant legislation, regulations, codes of practice and guidelines relating to Investigations
2. your organisation's procedures and contractual requirements for Investigations
3. your responsibility in relation to health and safety, particularly when carrying out visual risk assessments
4. what factors you should take account of to assess the risks of entering sites, premises, vehicles and other possessions
5. why it is important to base dynamic risk assessments on available information
6. how to carry out dynamic risk assessment
7. the limits of your authority and responsibility in relation to Investigations
8. from whom and how to call for support

Range Statement

You must be competent to deal with the following types of:-

1. **relevant people**: colleagues, clients, contractors, specialists

Unit: INV 6

Unit Title: Plan and co-ordinate investigations

Element: INV 6.3

Element Title: Brief colleagues and others involved in investigations

Performance Criteria

You must be able to –

- a. create and maintain an environment where information can be exchanged openly and constructively
- b. brief all **relevant persons** fully with the detail of investigations, including roles and responsibilities
- c. conduct briefings in a manner which facilitates understanding and operational effectiveness
- d. ensure that information given to others is understood by them

Knowledge Criteria

You must know and understand –

1. current relevant legislation, regulations, codes of practice and guidelines relating to dissemination of information
2. how to provide opportunities where information can be shared openly and usefully
3. how to brief all relevant persons in a precise and clear way with the full details of investigations
4. why it is important to brief relevant persons in a way, which helps to improve understanding and increases possibility of a successful operation
5. how and why you should ensure that the information you have given is understood
6. how to record and store information
7. how to respond appropriately, review and update implementation plans in response to changing circumstances

Range Statement

You must be competent to deal with the following types of:-

1. **relevant persons:** investigators, colleagues, specialists, members of external organisations, clients

Unit: INV 6

Unit Title: Plan and co-ordinate investigations

Element: INV 6.4

Element Title: Manage investigations

Performance Criteria

You must be able to –

- a. present implementation plans in a manner which facilitates understanding of investigation objectives
- b. allocate and maintain relevant **resources** needed to achieve **investigation objectives**
- c. address and resolve promptly any conflicts of interest arising from investigation activity
- d. ensure that all **relevant persons** involved in investigations are kept fully informed of any changes and subsequent operational requirements
- e. maintain the safety and security of information about investigation progress
- f. provide relevant persons with accurate progress reports within agreed timescales

Knowledge Criteria

You must know and understand –

1. current relevant legislation, regulations, codes of practice and guidelines relating to managing investigations
2. the different methods of carrying out investigations to achieve different objectives
3. how to allocate and maintain relevant resources needed to meet investigation aims or purpose
4. how and why it is important to keep relevant persons informed of any changes and subsequent operational needs
5. how to record and produce accurate progress reports according to your organisation's guidelines
6. how and why it is important to remove the possibility of conflict of interests

Range Statement

You must be competent to deal with the following types of:-

1. **resources:** developed intelligence, human, budgets, technical specialists, equipment
2. **investigation objectives:** prosecution, litigation, prevention, recovery of property, intelligence, disciplinary
3. **relevant persons:** investigators, colleagues, specialists, clients, clients' agents, members of external organisations

Unit INV 7

Investigate sources of information and develop intelligence for investigations

Overview

This unit sets out the skills, knowledge and understanding for you to gather and evaluate relevant information.

This unit consists of three elements:

- Gather and grade information (INV 7.1)
- Analyse information and develop intelligence (INV 7.2)
- Make recommendations, based on developed intelligence, for further investigation activity (INV 7.3)

Unit: INV 7

Unit Title: Investigate sources of information and develop intelligence for investigations

Element: INV 7.1

Element Title: Gather and grade information

Performance Criteria

You must be able to –

- a. identify and access appropriate **sources of information** on **incidents** to be investigated promptly
- b. obtain **information** by lawful means
- c. gather corroborative information where necessary to support investigations
- d. handle information in line with a recognised intelligence model
- e. gather sufficient information on which to develop investigation intelligence
- f. handle and store information in a way which protects its confidentiality and evidential value

Knowledge Criteria

You must know and understand –

1. current relevant legislation, regulations, codes of practice and guidelines relating to developing intelligence for investigations
2. organisational limits in relation to obtaining information
3. how to recognise and find information relating to incidents and irregularities
4. the range of information sources commonly used to find information and how to use these
5. how to use computer equipment when recording or accessing information
6. why and how to handle and store information to protect its confidentiality and evidential value

Range Statement

You must be competent to deal with the following types of:-

1. **sources of information:** computerised, documentary, human intelligence sources, professional contacts,
2. **incidents:** reports of crime, breaches of civil law, breaches of company rules and procedures
3. **information:** from witnesses, material evidence, hearsay evidence and documentary evidence

Unit: INV 7

Unit Title: Investigate sources of information and develop intelligence for investigations

Element: INV 7.2

Element Title: Analyse information and develop intelligence

Performance Criteria

You must be able to –

- a. establish patterns and links in **relevant information** through logical and systematic analysis
- b. use analysis to develop intelligence to progress the investigation
- c. corroborate information where necessary to support investigations
- d. record details of information accurately, completely and in appropriate formats
- e. follow up the results of your analysis of information promptly including passing on to the relevant person

Knowledge Criteria

You must know and understand –

1. current relevant legislation, requirements, codes of practice and guidelines relating to:-
 - information gathering
 - confidentiality
2. how to use different information development techniques effectively
3. how to identify patterns of incidents and irregularities
4. how to find links between people, incidents and irregularities
5. how and why it is important to grade and cross reference sources of information
6. how to grade and analyse corroborated information according to your organisation's procedures
7. how to recognise and take appropriate action to follow up with the results of your analysis of information
8. how to give full and accurate details of your analysis of information to the relevant person or authority without delay
9. how to record and store information

Range Statement

You must be competent to deal with the following types of:-

1. **relevant information:** from witness, material evidence, hearsay evidence, documentary evidence, electronic media

Unit: INV 7

Unit Title: Investigate sources of information and develop intelligence for investigations

Element: INV 7.3

Element Title: Make recommendations, based on developed intelligence, for further investigation activity

Performance Criteria

You must be able to –

- a. identify the need for further evidence relevant to the incident or irregularity, based on analysis of available information and intelligence
- b. identify and prioritise any additional evidence requirements
- c. maintain the safety and confidentiality of details of investigation **recommendations**
- d. make **presentations** of recommendations to the appropriate person accurately, fully and within agreed timescales

Knowledge Criteria

You must know and understand –

1. current relevant legislation, regulations, codes of practice and guidelines relating to obtaining and storing evidence
2. how to identify any shortfall in evidence and what further action could be appropriate
3. how to prioritise and record evidence according to its value
4. the different ways of presenting clear and concise recommendations
5. how to record and store information

Range Statement

You must be competent to deal with the following types of:-

1. **recommendations** made by: self, line manager, specialist
2. **presentations**: oral, written, electronic

Unit INV 8

Handle evidence arising from investigations

Overview

This unit sets out the skills, knowledge and understanding for you to properly deal with evidence.

This unit consists of two elements:

- Handle evidence according to legal requirements and good practice (INV 8.1)
- Produce investigation reports and prepare documentation for further actions (INV 8.2)

Unit: INV 8

Unit Title: Handle evidence arising from investigations

Element: INV 8.1

Element Title: Handle evidence according to legal requirements and good practice

Performance Criteria

You must be able to –

- a. collate **evidence** to support investigation objectives
- b. confirm sufficient evidence is available to support **investigation objectives**
- c. confirm the legality of evidence
- d. establish patterns and links in evidence through logic, and systematic analysis
- e. identify where there is insufficient evidence, and take appropriate action
- f. maintain the integrity of evidence at all times
- g. assess and determine the relevance of evidence
- h. manage evidence that has been obtained but is not required for investigations, in line with legal requirements
- i. confirm the continuity of evidence to comply with legal or other relevant requirements

Knowledge Criteria

You must know and understand –

1. current relevant legislation, regulations, codes of practice and guidelines relating to the handling of evidence
2. how to assess and determine the relevance of evidence according to the law
3. how and why it is important to ensure evidence is complete, adequate and meets with investigation objectives
4. how to identify any shortfall of evidence and what action could be appropriate
5. how to confirm legality of evidence
6. how and why it is important to protect the quality and security of evidence and exhibits
7. how and why it is important to prove the continuity of evidence
8. how to record and store information
9. what action you should take to manage evidence that is not needed for the investigation
10. how to collate and evaluate relevant evidence

Range Statement

You must be competent to deal with the following types of:-

1. **evidence:** witness statements, suspect statements, physical evidence, documentary evidence, interview records
2. **investigation objectives:** prosecution or defence, litigation, prevention, recovery of property, intelligence gathering, disciplinary

Unit: INV 8

Unit Title: Handle evidence arising from investigations

Element: INV 8.2

Element Title: Produce investigation reports and prepare documentation for further actions

Performance Criteria

You must be able to –

- a. record details of **evidence** accurately, and in accordance with organisational and legal requirements
- b. determine from evidence whether the purposes of the investigation are being met
- c. justify against **investigation objectives** any recommendations for further action
- d. take account of foreseeable constraints that might impact on your recommendations
- e. prepare and provide reports within agreed timescales and in the required format
- f. prepare documentation needed for further action, in accordance with organisational procedures
- g. collate evidence and other necessary information accurately, and in accordance with organisational procedures
- h. complete, where necessary, schedules of sensitive and non-sensitive information needed for the purpose of disclosure

Knowledge Criteria

You must know and understand –

1. current relevant legislation, regulations, codes of practice and guidelines relating to:-
 - rules of disclosure
 - confidentiality of information
2. how to access, gather and record evidence
3. how to assess and determine the relevance of evidence according to the law
4. how and why it is important to ensure evidence is complete and adequate and meets with investigation objectives
5. how to explain your reason for further action against investigation aim or purpose to an appropriate person
6. how to recognise constraints that may impact upon your recommendation
7. how to present reports in approved formats and within agreed timescales
8. how to prepare appropriate documentation that is needed for further action
9. how to complete information needed for the purpose of disclosure
10. how to record and store information

Range Statement

You must be competent to deal with the following types of:-

1. **evidence:** witness statements, suspect statements, physical evidence, documentary evidence, interview records
2. **investigation objectives:** prosecution or defence , litigation, prevention, recovery of property, intelligence gathering, deterrence, disciplinary

Unit INV 9

Manage surveillance operations

Overview

This unit sets out the skills, knowledge and understanding for you to organise a surveillance operation.

This unit consists of four elements:

- Prepare surveillance plans (INV 9.1)
- Brief personnel to undertake surveillance operations (INV 9.2)
- Collate information obtained during surveillance operations (INV 9.3)
- Evaluate surveillance operations (INV 9.4)

Unit: INV 9

Unit Title: Manage surveillance operations

Element: INV 9.1

Element Title: Prepare surveillance plans

Performance Criteria

You must be able to –

- a. confirm that surveillance operations are authorised when necessary
- b. discuss and agree surveillance options with **relevant persons** when necessary
- c. plan to use operational methods that are ethical and comply with relevant legislation
- d. define **surveillance objectives** accurately, and prioritise effective allocation of resources
- e. allocate **roles** and responsibilities to maximise the best use of team skills and expertise
- f. allocate and record operational code names and call signs
- g. identify, highlight and record details of constraints that impact on operations
- h. prepare and present **plans** in a manner which facilitates understanding of the surveillance objectives
- i. conduct a risk assessment to minimise dangers to team and public

Knowledge Criteria

You must know and understand –

1. current relevant legislation, regulations, codes of practice and ethical guidelines relating to:
 - surveillance operations
 - health and safety during surveillance operations
 - use of technical surveillance equipment
2. how to discuss and agree surveillance options with relevant persons
3. why it is important and how to state precisely the surveillance aim and purpose
4. how to allocate resources effectively
5. how to agree tasks and responsibilities with team members to make the best use of skills and expertise
6. how to use technical equipment, its capabilities and its limitations
7. how to recognise constraints that impact on surveillance operations
8. how to prepare and present plans in a precise and clear way that helps others understand the surveillance objectives

Range Statement

You must be competent to deal with the following types of:-

1. **relevant persons:** investigators, colleagues, specialists, clients, clients' agents, members of external organisations
2. **surveillance objectives:** identification and location of subjects, associates, vehicles, premises, activity
3. **roles:** co-ordinator, drivers, footmen, static personnel
4. **plans:** oral, written, visual

Unit: INV 9

Unit Title: Manage surveillance operations

Element: INV 9.2

Element Title: Brief personnel to undertake surveillance operations

Performance Criteria

You must be able to –

- a. conduct a briefing in line with a recognised briefing model
- b. explain **surveillance objectives** and planned surveillance operation clearly and concisely to others involved in surveillance operations
- c. agree and confirm understanding of surveillance **roles**, responsibilities and activities with individuals involved in surveillance operations
- d. give the correct operational code names and call signs to all relevant parties
- e. confirm communication requirements, arrangements and procedures to be used during operational activity are effective
- f. consider and agree contingency plans to offset foreseeable risks to the surveillance operations
- g. encourage and consider opinions and suggestions from others involved to improve planned surveillance operations

Knowledge Criteria

You must know and understand –

1. current relevant legislation, regulations, codes of practice and guidelines relating to:
 - surveillance operations
 - use of technical surveillance equipment
 - health and safety during surveillance operations
2. how to explain plans in a precise and clear way that helps others to understand surveillance objectives and activities
3. how to give details of surveillance and investigation objectives and operations in a precise and clear way to others
4. how to agree tasks, responsibilities and surveillance activities with others
5. how and why it is important to confirm communication requirements during surveillance activity
6. why it is important to make contingency plans with appropriate persons to offset any risk to surveillance operations
7. how to encourage opinions and suggestions from others involved in surveillance operations

Range Statement

You must be competent to deal with the following types of:-

1. **surveillance objectives:** identification and location of subjects, associates, vehicles, premises, activity
2. **roles:** co-ordinator, drivers, footmen, static personnel, log keeper

Unit: INV 9

Unit Title: Manage surveillance operations

Element: INV 9.3

Element Title: Collate information obtained during surveillance operations

Performance Criteria

You must be able to –

- a. confirm the quality, quantity and relevance of **recorded information** taken during surveillance activity supports the surveillance objectives
- b. confirm information gathered during surveillance activity complies with legal requirements
- c. handle, store and secure written or recorded information in a manner which preserves its integrity and evidential value
- d. maintain the confidentiality of all information obtained during surveillance activity, in line with legal requirements
- e. collate all information obtained during surveillance activity, recording and reporting results promptly and in the required format

Knowledge Criteria

You must know and understand –

1. current relevant legislation, regulations, codes of practice and guidelines relating to
 - evidence gathering, preservation and protection
 - confidentiality of information
2. how to gather, record and store information during surveillance activity
3. how and why it is important to examine and investigate recorded information taken for quality, quantity and relevance
4. how to communicate with others to work efficiently
5. the limits of your responsibility and authority
6. how to gather, record and report information in an appropriate format without delay using your organisation's procedures
7. how and why you should protect confidentiality of all information in accordance with the law and using your organisation's procedures
8. how and why you should handle, store and secure written or recorded information to protect its quality and evidential value using your organisation's procedures

Range Statement

You must be competent to deal with the following types of:-

1. **recorded information:** written logs, photographs, video recordings, audio recordings

Unit: INV 9

Unit Title: Manage surveillance operations

Element: INV 9.4

Element Title: Evaluate surveillance operations

Performance Criteria

You must be able to –

- a. evaluate the outcome of surveillance operations to determine if original objectives have been met
- b. analyse and evaluate the effectiveness of **surveillance methods** used, to identify potential improvements to surveillance operations
- c. identify and develop opportunities to enhance the competence and effectiveness of individuals involved in surveillance operations
- d. identify alternative courses of action to enhance effectiveness of future surveillance activity
- e. propose **recommendations** arising from evaluations, and make **presentations** to the appropriate person within agreed timescales
- f. encourage open and constructive exchange of **information** during debriefs
- g. establish and agree links and patterns identified in subject activity, with appropriate members of the investigation team
- h. determine and accurately record details of the effectiveness of surveillance, identifying any shortfalls or defects in operational procedures or equipment

Please see next page for Range Statement

Knowledge Criteria

You must know and understand –

1. current relevant legislation, regulations, codes of practice and guidelines relating to surveillance
2. how to measure the outcome of surveillance operations against original objectives
3. how to recognise and take appropriate action to improve learning opportunities
4. how to work out alternative solutions to recognised difficult situations during operations
5. how to prepare and present your recommendations in a clear and precise manner to the appropriate person
6. how to record and store information
7. how to identify and quantify when operational procedures or equipment have had detrimental impact on surveillance operations
8. how to find and agree links and patterns identified in subject activity with appropriate team members
9. how to give information in a clear and precise way to others during the debriefs
10. how and why it is important to debrief all appropriate people involved in surveillance operations
11. how to evaluate the effectiveness of operational plans and surveillance methods used
12. how to identify other actions that could improve success of future surveillance activities
13. how to evaluate the effectiveness of operational plans and surveillance methods
14. how and why it is important to encourage open and constructive exchange of information

Range Statement

You must be competent to deal with the following types of:-

1. **surveillance methods:** static surveillance, pedestrian surveillance, mobile surveillance
2. **recommendations:** procedural change, equipment procurement, training needs, personnel changes
3. **presentations:** written, oral, electronic
4. **information:** written, oral, recorded, photographs

Unit INV 10

Take part in surveillance operations

Overview

This unit sets out the skills, knowledge and understanding for you to participate in a surveillance operation.

This unit consists of three elements:

- Contribute to surveillance operations briefings (INV 10.1)
- Carry out surveillance activities (INV 10.2)
- Provide recorded information for evaluation (INV 10.3)

Unit: INV 10

Unit Title: Take part in surveillance operations

Element: INV 10.1

Element Title: Contribute to surveillance operations briefings

Performance Criteria

You must be able to –

- a. respond to surveillance **briefings** in a positive and constructive manner
- b. provide information that is of potential assistance to surveillance operations in a prompt and concise way
- c. understand and confirm the **roles** and responsibilities of people involved in surveillance operations
- d. confirm operational code names and call signs with all relevant parties
- e. understand contingency plans for dealing with possible problems and obstacles
- f. confirm your own understanding of **surveillance objectives, surveillance methods** and surveillance plan, in a clear manner to the **appropriate person**

Knowledge Criteria

You must know and understand –

1. current relevant legislation, regulations, codes of practice and guidelines relating to surveillance operations
2. the importance of recognising different investigation aims or purpose
3. the importance of being able to carry out different surveillance techniques and tactics
4. how and why it is important to confirm operation code names and call signs with all relevant parties
5. the importance of contingency plans for dealing with possible problems
6. how to share your knowledge of surveillance objectives and methods clearly with an appropriate person
7. how to provide or share relevant information clearly and without delay with the appropriate persons
8. why it is important to know and confirm the tasks and responsibilities that team members carry out

Range Statement

You must be competent to deal with the following types of:-

1. **briefings:** one to one, group
2. **roles:** driver, footman, static
3. **surveillance objectives:** identification and location of subjects, associates, vehicles, premises and activity
4. **surveillance methods:** mobile, pedestrian, static, technical
5. **appropriate person:** line manager or other higher authority, client

Unit: INV 10

Unit Title: Take part in surveillance operations

Element: INV 10.2

Element Title: Carry out surveillance activities

Performance Criteria

You must be able to –

- a. use planned and agreed **surveillance methods** to achieve **surveillance objectives**
- b. locate and occupy the correct surveillance start position
- c. record and provide accurate **information** on observed subjects in accordance with agreed procedure
- d. maintain effective communications with other team members
- e. take prompt and appropriate action if surveillance subject is lost
- f. comply with legal requirements and relevant codes of practice during surveillance operations
- g. use **equipment** in accordance with legal requirements and manufacturer's guidelines
- h. conduct surveillance activities in a manner which protects the well being of yourself and others
- i. identify **situations** which could jeopardise the surveillance objectives, consider contingencies and take prompt appropriate action
- j. identify, assess and report any change in circumstances to all members of the surveillance team as soon as possible

Knowledge Criteria

You must know and understand –

1. current relevant legislation, regulations, codes of practice and guidelines relating to surveillance activities
2. the importance of recognising different investigation objectives
3. the importance of being able to carry out different surveillance techniques and tactics
4. how and why it is important to confirm and use operation code names and call signs with all relevant parties
5. what action you should take if you lose surveillance subject
6. the importance of using equipment correctly in accordance with legal and regulatory requirements and manufacturer's guidelines
7. how to write or record notes taken during surveillance activity in an appropriate format that supports surveillance operation
8. how to record and provide relevant information to the appropriate persons
9. how to conduct surveillance activities whilst maintaining the health and safety of yourself and others
10. how and why it is important to recognise, evaluate, and report any change in the circumstances to all team members
11. how to recognise and act upon situations which could jeopardise the surveillance objectives

Please see next page for Range Statement

Range Statement

You must be competent to deal with the following types of:-

1. **surveillance methods:** mobile, pedestrian, static, technical
2. **surveillance objectives:** identification and location of subjects, associates, vehicles, premises, activity
3. **information:** reconnaissance, background of subject
4. **equipment:** cameras, binoculars, radio, telephone, observation logs
5. **situations:** dangerous conditions, equipment failure, adverse weather conditions, insufficient resources

Unit: INV 10

Unit Title: Take part in surveillance operations

Element: INV 10.3

Element Title: Provide recorded information for evaluation

Performance Criteria

You must be able to –

- a. transcribe written or recorded notes taken during the surveillance activity accurately and in the required format
- b. confirm the quality, quantity and relevance of **recorded information** taken during surveillance activity supporting investigation
- c. make recorded information available to the appropriate person within an agreed timescale
- d. handle, store and secure recorded information in a way which preserves integrity and evidential value
- e. maintain the security and confidentiality of all information

Knowledge Criteria

You must know and understand –

1. current relevant legislation, regulations, codes of practice and guidelines relating to
 - evidence preservation and protection
 - the use of surveillance equipment
2. how to handle, store and keep safe recorded information to protect its quality
3. the different formats used to provide surveillance information according to its intended use
4. how and why you should keep the security and confidentiality of all information
5. the importance of using equipment correctly in accordance with legal and regulatory requirements and manufacturer's guidelines
6. how and why it is important to ensure accuracy of recorded information for quality, quantity and relevance

Range Statement

You must be competent to deal with the following types of:-

1. **recorded information:** written logs, photographs, video recordings

Unit INV 11

Trace people

Overview

This unit sets out the skills, knowledge and understanding for you to locate an individual.

This unit consists of three elements:

- Evaluate available information and instructions (INV 11.1)
- Gather relevant information and data necessary to trace people (INV 11.2)
- Provide reports for your clients (INV 11.3)

Unit: INV 11

Unit Title: Trace people

Element: INV 11.1

Element Title: Evaluate available information and instructions

Performance Criteria

You must be able to –

- a. verify the origin and determine the potential value of initial **information** about persons to be traced
- b. collate, evaluate and protect all available information in accordance with relevant legislation and codes of practice
- c. research available information in a logical and systematic manner to establish any potential links
- d. determine investigation methods, resources needed and cost to meet objectives
- e. agree with clients and record clear requirements for the information you have been asked to research and locate
- f. use efficient research methods to locate the required information
- g. prepare recommendations arising from evaluation, presenting these to the appropriate persons as soon as possible

Knowledge Criteria

You must know and understand –

1. current relevant legislation, regulations, codes of practice and guidelines relating to
 - tracing people
 - confidentiality of information
2. how to gather, evaluate and protect all information
3. how to verify the source and relevance of initial information against your aim or objective
4. how and why you store and secure written or recorded information
5. how to recognise and cost what resources are needed to meet investigation objectives
6. how and why it is important to agree and record with clients requirements for the information you have been asked to research and locate
7. how and why it is important to use efficient research methods

Range Statement

You must be competent to deal with the following types of:-

1. **information:** paper-based, telephone information services, computerised, human intelligence sources, professional contacts, written, oral, recorded, photographs

Unit: INV 11

Unit Title: Trace people

Element: INV 11.2

Element Title: Gather relevant information and data necessary to trace people

Performance Criteria

You must be able to –

- a. determine whether you need further **information** to help trace people
- b. obtain information in accordance with relevant legislation and codes of practice
- c. maintain accurate details of costs involved in tracing activities
- d. record accurate details of relevant information
- e. establish any permission that might apply to searching for and using information
- f. identify information which helps you to trace people
- g. collate information in a logical and systematic manner that helps the tracing process
- h. use efficient research methods to locate information you require

Knowledge Criteria

You must know and understand –

1. current relevant legislation, regulations, codes of practice and guidelines relating to
 - tracing people
 - confidentiality of information
 - collecting information about people
2. typical sources of information needed to trace people
3. how and why you store and secure written or recorded information
4. how to use appropriate, effective and legal ways to find information
5. how to recognise and maintain accurate records of costs involved in tracing activities
6. how to identify when you have sufficient information to trace people, and what action to take when you do not have sufficient information
7. how and why it is important to gain permission that might apply to searching for and using information
8. how and why it is important to use efficient research methods

Range Statement

You must be competent to deal with the following types of:-

1. **information:** paper-based, telephone information services, computerised, human intelligence sources, professional contacts, written, oral, recorded, photographs

Unit: INV 11

Unit Title: Trace people

Element: INV 11.3

Element Title: Provide reports for your clients

Performance Criteria

You must be able to –

- a. pass on all relevant **information** to your clients in a prompt and concise way
- b. make presentations of information in a style and format that helps your clients to make decisions about further investigations if necessary
- c. submit report within agreed timescale
- d. determine the need for further information or activity to complete tracing investigations
- e. obtain a decision from the appropriate persons on whether to proceed with investigations
- f. maintain the security and confidentiality of information relevant to tracing activities

Knowledge Criteria

You must know and understand –

1. current relevant legislation, regulations, codes of practice and guidelines relating to
 - tracing people
 - confidentiality of information
2. how to decide whether there is a need to find further information to complete tracing investigations
3. how to make accurate and clear presentations of information to your clients
4. why it is important to provide reports to your clients within agreed timescales
5. how and why it is important to gain permission from an appropriate person to proceed with an investigation
6. why and how you should maintain the security and confidentiality of information

Range Statement

You must be competent to deal with the following types of:-

1. **information:** paper-based, telephone information services, computerised, human intelligence sources, professional contacts, written, oral, recorded, photographs
2. **appropriate persons:** line manager or other higher authority, clients

Unit INV 12

Enter and integrate data, and present information using a computer system

Overview

This unit sets out the skills, knowledge and understanding for you to use computers in investigations.

This unit consists of three elements:

- Enter data into a computer (INV 12.1)
- Integrate different types of data (INV 12.2)
- Present information in various formats (INV 12.3)

Unit: INV 12

Unit Title: Enter and integrate data, and present information using a computer system

Element: INV 12.1

Element Title: Enter data into a computer

Performance Criteria

You must be able to –

- a. use the correct **software application** for the type of **data** to be entered and the purpose for which the data is to be used
- b. organise files and the format of data within the computer system in a manner which allows data to be efficiently found, retrieved and transferred
- c. enter required data accurately
- d. use **input devices** to correctly effectively enter data
- e. minimise errors by effectively using automated checking facilities
- f. use on-line help facilities effectively when necessary
- g. save data to preserve its integrity, security and confidentiality
- h. use computer equipment safely, correctly and in accordance with best practice

Knowledge Criteria

You must know and understand –

1. current relevant legislation, regulations, codes of practice and guidelines relating to using computer equipment and systems
2. how to enter data using the appropriate input device and format for a specific use
3. how to organise files within a computer system which allows for data to be found, retrieved and transferred
4. how to use different methods of data entry
5. how to use automated checking facilities when entering data
6. how and why it is important to save files to preserve their integrity, security and confidentiality

Range Statement

You must be competent to deal with the following types of:-

1. **software application** for: text, graphics, numbers, presentations
2. **data**: numbers, text, graphics, images,
3. **input devices**: keyboard, scanner, camera, storage media

Unit: INV 12

Unit Title: Enter and integrate data, and present information using a computer system

Element: INV 12.2

Element Title: Integrate different types of data

Performance Criteria

You must be able to –

- a. confirm you have the authority to manipulate **data**
- b. identify your **document** requirements clearly
- c. use **manipulating facilities** effectively to achieve the required document
- d. use software facilities provided to effectively achieve the required data format and document layout
- e. use the on-line help when necessary
- f. save data to preserve its integrity, security and confidentiality
- g. use computer equipment safely, correctly and in accordance with the best practice

Knowledge Criteria

You must know and understand –

1. current relevant legislation, regulations, codes of practice and guidelines relating to using computer equipment and systems
2. how to find the data within computer systems to be manipulated
3. how and when to use the correct data format to achieve the required outcome
4. how to use computer software and hardware to manipulate data to achieve the required outcome
5. how to transfer data across applications and files
6. how to use automated checking facilities when manipulating data
7. how and why it is important to save files to preserve their integrity, security and confidentiality, including making back—up copies and password protection

Range Statement

You must be competent to deal with the following types of:-

1. **data**: numbers, text, graphics, images
2. **document** layout: page size, page orientation, page numbering, headers and footers, margins, sections, font types and sizes, justification
3. **manipulating facilities**: copy, inset, move, search and replace, sort, resize, transfer between applications

Unit: INV 12

Unit Title: Enter and integrate data, and present information using a computer system

Element: INV 12.3

Element Title: Present information in various formats

Performance Criteria

You must be able to –

- a. confirm data files are complete and ready for output
- b. use the correct **output devices** and **parameters** when presenting required information
- c. confirm that output device is compatible with the computer system being used
- d. determine the most appropriate method of presentation to meet its intended purpose
- e. ensure your methods of outputting data preserves its integrity
- f. use computer equipment safely, correctly and in accordance with the law and manufacturer's guidelines

Knowledge Criteria

You must know and understand –

1. current relevant legislation, regulations, codes of practice and guidelines relating to computer equipment and systems
2. what output devices are available and how best to select one for the intended purpose
3. how to identify and set computer and output device parameters to meet output requirements
4. how to recognise the appropriate method of presentation to meet its intended purpose
5. how to maintain the integrity of data information

Range Statement

You must be competent to deal with the following types of:-

1. **output devices**: electronically stored for use by others, electronic mail, printer
2. **output parameters**: hard copy, number of copies, page range, paper size

Unit INV 13

Maintain understanding of legislation, regulation and codes of practice relevant to investigation

Overview

This unit sets out the skills, knowledge and understanding for you to maintain a working knowledge of the law and best practice.

This unit consists of three elements:

- Research and evaluate relevant legislation, regulation and codes of practice (INV 13.1)
- Apply legislation, regulation and codes of practice to investigations (INV 13.2)
- Contribute to the increase of knowledge of law, regulation and codes of practice among colleagues (INV 13.3)

Unit: INV 13

Unit Title: Maintain understanding of legislation, regulation and codes of practice relevant to investigation

Element: INV 13.1

Element Title: Research and evaluate relevant legislation, regulation and codes of practice

Performance Criteria

You must be able to –

- a. identify emerging areas of legislation, regulation and codes of practice relevant to your investigation work
- b. determine the level of knowledge required to maintain understanding of investigative law, regulation and codes of practice
- c. identify and access appropriate **sources** of relevant information
- d. use **research methods** that are efficient and effective in obtaining relevant information
- e. use alternative sources to verify, clarify and validate single-source information
- f. evaluate the usefulness and relevance of emerging investigative law, regulation and codes of practice to your work

Knowledge Criteria

You must know and understand –

1. the need to maintain your knowledge and understanding of investigative law, regulation and codes of practice
2. the impact that current law, regulation and codes of practice has on investigation activities
3. the areas of your investigation activities that are affected by current law, regulation or code of practice
4. how to identify emerging legislation, regulation or codes of practice that could impact on your investigation role and responsibilities
5. how to carry out effective and efficient research
6. potential sources of information on laws, regulations and codes of practice relevant to your work
7. how to evaluate the usefulness of information

Range Statement

You must be competent to deal with the following types of:-

1. **sources** of information: informal, formal, published works, colleagues
2. **research methods**: informal, formal

Unit: INV 13

Unit Title: Maintain understanding of legislation, regulation and codes of practice relevant to investigation

Element: INV 13.2

Element Title: Apply legislation, regulation and codes of practice to investigations

Performance Criteria

You must be able to –

- a. confirm you have the **authority** to apply legislation, regulation and codes of practice to investigations
- b. determine accurately the potential **effects** of applying legislation, regulation and codes of practice to investigations
- c. apply legislation, regulation and codes of practice to investigations to update practices
- d. confirm the application of legislation, regulation and codes of practice meets its intended purpose
- e. report any **undesirable effects** of the application of legislation, regulation and codes of practice to the appropriate authority
- f. obtain other specialist help and advice when needed
- g. record accurate and full details of the results of applying legislation, regulation and codes of practice to investigations

Knowledge Criteria

You must know and understand –

1. the impact that current law, regulation and codes of practice has on investigation practices
2. how to determine the likely impact of applying legislation, regulation and codes of practice to investigations
3. how to determine the effect of applying legislation, regulation and codes of practice to investigations
4. to who and how to report undesirable effects of legislation, regulation or code of practice
5. when and how to get advice and guidance from other specialists when needed

Range Statement

You must be competent to deal with the following types of:-

1. **authority**: legislation, regulation, clients, organisational
2. **effects** of applying legislation, regulation and codes of practice on: investigative practices, procedures, resources
3. **undesirable effects**: reduced effectiveness of investigations, additional resources, adverse affect on investigation activities

Unit: INV 13

Unit Title: Maintain understanding of legislation, regulation and codes of practice relevant to investigation

Element: INV 13.3

Element Title: Contribute to the increase of knowledge of law, regulation and codes of practice among colleagues

Performance Criteria

You must be able to –

- a. identify and explain fully the potential impact of legislation, regulation and codes of practice on investigations
- b. propose potential improvements in practices that contribute to increased effectiveness of investigations
- c. make sure your contributions comply with relevant legislation, regulation and codes of practice
- d. provide full and accurate details to support proposed improvements, in formats and styles that aid understanding

Knowledge Criteria

You must know and understand –

1. the impact that current and new law, regulation and codes of practice has on investigations
2. the process of providing information to others
3. the formats in which information should be provided
4. current relevant legislation, regulation and codes of practice and guidelines that must be complied with

Range Statement

There is no Range Statement for this element

Unit INV 14

Carry out legal process serving

Overview

This unit sets out the skills, knowledge and understanding for you to serve and provide proof of service of legal process.

This unit consists of two elements:

- Prepare to serve legal process (INV 14.1)
- Serve and provide proof of service (INV 14.2)

Unit: INV 14

Unit Title: Carry out legal process serving

Element: INV 14.1

Element Title: Prepare to serve legal process

Performance Criteria

You must be able to –

- a. understand and agree clients' instructions to serve the legal process
- b. confirm the **process papers** are accurate and complete
- c. clarify information or instructions about which you are unclear
- d. agree and record accurate details of costs and timescales
- e. negotiate, agree and record accurate details of providing 'conduct money' if required

Knowledge Criteria

You must know and understand –

1. current legislation, regulations, codes of practice and guidelines relating to serving legal process
2. how to serve legal process
3. the importance of checking the process papers are accurate and complete
4. how to understand and agree your clients' instructions to serve the legal process
5. how to agree, plan and schedule costs and timescale
6. how to negotiate and agree provisions of providing conduct money

Range Statement

You must be competent to deal with the following types of:-

1. **process papers:** notice of application, court orders, statutory demands, writs, summonses, subpoenas, petitions, injunctions

Unit: INV 14

Unit Title: Carry out legal process serving

Element: INV 14.2

Element Title: Serve and provide proof of service

Performance Criteria

You must be able to –

- a. carry out the **method of service** in line with legal requirements and client instructions
- b. corroborate the identity of persons or **locations** on which to serve the process prior to the legal process being activated
- c. notify the client promptly where you are **unable to complete** the service
- d. prepare and produce proofs of service correctly and in accordance with legal requirements
- e. compile and submit client completion reports accurately and in the required format

Knowledge Criteria

You must know and understand –

1. current legislation, regulations, code of practice and guidelines relating to service of process and proofs of service (corroborating the serving of legal process, preparation of affidavits, swearing or affirming of affidavits)
2. how to confirm the identities of persons or locations on which to serve the process before the legal process starts
3. how and why it is important to notify the client quickly when you are unable to complete the service
4. how and why it is important to prepare proofs of service
5. how to gather information and prepare accurate client completion reports
6. why it is important and how to respect the rights of individuals

Range Statement

You must be competent to deal with the following types of:-

1. **method of service:** by post, in person, substituted, affixing to premises and property
2. **locations:** private premises and property, business premises, public places
3. **unable to complete:** non-location of persons, uncorroborated identities, deliberate obstructions

Unit DA5

Present evidence in court and at other hearings

Overview

This unit focuses preparing and presenting evidence in courts and at other hearings. You may be required to provide evidence in various capacities.

You must prepare for court or other hearings, ensuring that you identify and obtain all relevant exhibits, notes and materials in advance. You must also liaise with the relevant parties as required and take action to resolve any problems or difficulties that arise.

You must present evidence in an effective manner complying with the rules of evidence, court/hearing procedures and acceptable professional standards. You must also ensure that all relevant aspects of community and race relations, diversity and human rights are adhered to.

There are two elements:

DA5.1 Prepare for court or other hearings

DA5.2 Present evidence to court or other hearings

This unit has been imported from a Skills for Justice approved suite of standards and tailored by Skills for Security to meet requirements

Unit: DA5

Unit Title: Present evidence in court and at other hearings

Element: DA5.1

Element Title: Prepare for court or other hearings

Performance Criteria

You must be able to –

- a. respond promptly to any warnings, citations or notifications received from courts or other hearings
- b. provide any information requested by the court or hearing accurately and expeditiously
- c. ensure the availability of exhibits within your area of responsibility taking steps to maintain their continuity and integrity at all times
- d. consider your evidence in advance of the hearing and ensure that you are in possession of the appropriate notes and materials
- e. liaise with appropriate agencies to confirm witness attendance
- f. liaise with relevant authorities as required
- g. deal with individuals in an ethical manner, recognising their needs with respect to race, diversity and human rights

Knowledge Criteria

You must know and understand –

The knowledge which you need to perform this element is listed at the end of DA5.2

Range Statement

There is no Range Statement for this element

Unit: DA5

Unit Title: Present evidence in court and at other hearings

Element: DA5.2

Element Title: Present evidence to court or other hearings

Performance Criteria

You must be able to –

- a. present yourself at the venue in a timely manner and in possession of all necessary exhibits and documents
- b. ensure your appearance and behaviour confirms to acceptable professional standards at all times
- c. liaise with victims, witnesses and defendants in according with current policy and legislation
- d. deliver your evidence and respond to questions in a truthful, objective, clear and concise manner with due regard for the rules of evidence and the procedures of the venue
- e. provide oral evidence that is consistent with any written materials provided by you as part of the case
- f. respond to all directions of the court or hearing promptly and appropriately

Knowledge Criteria

You must know and understand –

The knowledge which you need to perform this element is listed at the end of this unit.

Range Statement

There is no Range Statement for this element

Knowledge requirements

To meet the standard, you need to know and understand;

Legal and organisation requirements

1. rules of evidence
2. procedures and protocols in courts and at hearings
3. the legislation relevant to the case in question
4. the importance of adhering to national guidelines relating to working appropriately with children and young people

Preparing for court or other hearings

5. how to prepare, label and make available exhibits in a manner that maintains their continuity and integrity
6. the importance of considering your evidence in advance
7. how and where to locate and obtain evidence, notes and materials for presentation
8. how to liaise with victims, witnesses and relevant authorities
9. relevant guidance regarding dealing with vulnerable victims and witnesses and how to apply it correctly
10. how to take reasonable steps to ensure the safety and welfare of victims and witnesses
11. actions to take in cases where problems or difficulties arise

Presenting evidence at court or other hearings

12. how to give evidence effectively in a court or hearing
13. how and when you can refer to any notes and materials in your possession
14. circumstances in which evidence of opinion can be provided
15. techniques for maintaining control and composure under cross-examination
16. the permitted liaison with victims, witnesses and defendants
17. the support services (e.g. victim support, duty solicitor) available at court/hearing and their role and responsibilities
18. the roles and responsibilities of court personnel
19. what constitutes a breach of court protocol or procedure and to whom any breaches should be reported

Unit 3

Promote a healthy and safe culture in the workplace

Overview

What this standard is about

This standard is about undertaking the research and planning that is necessary to develop a positive health and safety culture and involving others through consultation, communication and presentations. It is also about encouraging a culture where changes, which may impact on health and safety instructions, are discussed and resolved with the people responsible for health and safety matters.

There is one element:

3 Promote a healthy and safe culture in the workplace

This standard is imported from the ENTO (formerly the Employment NTO) suite of standards

Who this standard is for

This standard is for those who have responsibility for encouraging others to become aware of the importance of following health and safety instructions by promoting the benefits of doing so.

Unit: 3

Unit Title: Promote a healthy and safe culture in the workplace

Performance Criteria

You must be able to –

Develop plans to promote a health and safety culture in the workplace

- a. accurately identify where improvements and changes may be necessary using current sources of information available in the workplace
- b. find out how information on health and safety instructions and regulations is currently communicated within the workplace
- c. find out the current level of understanding of, and support for, health and safety instructions and procedures by people at the workplace
- d. base your improvement plans on your findings
- e. concisely describe in your plans those resources which are necessary to improve the current health and safety culture
- f. include suitable performance measures and review dates in your plans

Implement plans to promote a health and safety culture in the workplace

- g. present your plans for promoting a health and safety culture to the appropriate people in a clear and effective manner
- h. identify those people in the workplace who will require information and advice about the plans to promote a health and safety culture in the workplace
- i. check that relevant information and advice is provided at an appropriate time, level and pace
- j. make sure your plans include promoting the advantages and legal necessities of following health and safety procedures
- k. provide practical opportunities for regular consultation on health and safety issues and ways of encouraging ideas on good practice
- l. regularly monitor the effectiveness of your plans against agreed performance measures

Knowledge Criteria

You must know and understand –

1. the employers' and employees' main legal responsibilities for health and safety in the workplace
2. your responsibilities for health and safety as defined by any specific legislation covering your job role
3. how to interpret workplace health and safety data, kept at the workplace on risk assessment, incidents and complaints, as an indication of the level of understanding of health and safety within the workplace
4. the organisation structure and lines of communication
5. workplace instructions for communicating and consulting with colleagues and others in the workplace
6. what hazards may exist in your workplace
7. the particular health and safety risks which may be present in your own job role
8. the particular health and safety risks which may be present in other job roles
9. the importance of remaining alert to the presence of hazards in the whole workplace
10. the importance of dealing with, or promptly reporting, risks
11. the work areas and job roles where you are reviewing the current working practices
12. workplace requirements for conducting a review of current working practices
13. your own capabilities and the scope of your job role
14. the work areas and people who work there
15. the information needs of those people in the workplace affected by the plans
16. the available information sources on health and safety within the workplace
17. the importance of keeping people regularly informed and discussing their involvement

- m. identify and review opportunities for further improvements to the health and safety culture in the workplace

Range Statement

There is no Range Statement for this unit

Unit 4

Communicate effectively with others

Overview

What this standard is about

This standard is about communicating effectively with others – orally, in writing, using electronic and/or telecommunication and using non-verbal forms of communication.

The term ‘others’ is used broadly to cover any child, adult, group, community or agency that workers come into contact with, either directly or indirectly. It includes members of the public, individuals who are clients of the security sector, and colleagues in the workplace.

There are two elements:

- 4.1 Develop and maintain communication with people
- 4.2 Maintain the security of information

This standard has been informed by the Skills for Justice unit, SfJ AB1 ‘*Communicate effectively with people*’.

Who this standard is for

This standard is designed to be applicable to everyone who works in the security sector.

Unit: 4

Unit Title: Communicate effectively with others

Element: 4.1

Element Title: Develop and maintain communication with people

Performance Criteria

You must be able to –

- a. communicate in a manner that is consistent with relevant legislation, policies and procedures
- b. communicate with people in a form and manner and using language that:
 - is open and respectful of them as individuals
 - is consistent with their level of understanding, culture, background and preferred ways of communicating
 - is appropriate to the context in which the **communication** is taking place
 - promotes equality and values diversity
- c. give people opportunities to check their understanding of the information you have given them and ask questions
- d. take the appropriate action to reduce any **barriers to effective communication**
- e. make records that are accurate, legible and complete, contain only the information necessary for the record's purpose, and are free from labelling and discrimination
- f. seek support when you are having difficulty communicating effectively

Knowledge Criteria

You must know and understand –

The knowledge which you need to perform this element is listed at the end of 4.2

Range Statement

You must be competent to deal with the following types of:-

1. **communication:** non-verbal, oral, written, electronic and telecommunication,
2. **barriers to effective communication:** environmental (e.g. noise, lack of privacy), personal (e.g. language differences, gender differences, ethnic differences, age differences, religious beliefs, health and wellbeing of the individuals involved, literacy levels, personal experiences etc), social (e.g. violent and abusive situations)

Unit: 4

Unit Title: Communicate effectively with others

Element: 4.2

Element Title: Maintain the security of information

Performance Criteria

You must be able to –

- a. comply with legislation, policies and procedures related to the security of information
- b. disclose information only to those who have the right and need to know it
- c. take the appropriate precautions when communicating confidential or sensitive information
- d. maintain the security of records when handling and storing them
- e. alert the appropriate person when you think the security of information is not being maintained or information is being misused

Knowledge Criteria

You must know and understand –

The knowledge which you need to perform this element is listed at the end of this unit

Range Statement

You must be competent to deal with the following types of:

1. **appropriate precautions** in relation to, who might overhear or oversee the information, who might access the information

Knowledge requirements

To meet the standard, you must know and understand:

- 1 The legislation, organisational policies and procedures that apply to communication and particularly the security and management of information
- 2 The nature of effective communication (including when you feel confident communicating and when you do not)
- 3 The reasons for effective communication being an essential aspect of work in the security sector
- 4 The barriers to effective communication including:
 - a. those related to personal differences in: culture, language, gender, literacy levels, experience, health/illness
 - b. environmental barriers
 - c. social barriers
- 5 How to modify communication so that the differences between you and the people you are communicating with are minimised
- 6 How to communicate with people in ways which are open to them, show respect and promote equality and value diversity (non-verbally, orally, in writing and electronically)
- 7 How the context in which communication takes place can affect people's ability to understand and communicate
- 8 The reasons for checking with people to ensure that they understand the information you are giving them and allowing them to ask questions
- 9 The actions that can be taken to reduce barriers to communication and how to put them into practice
- 10 The nature and purpose of the records you make
- 11 The nature of information that might be sensitive and/or confidential and the subtleties of this
- 12 The reasons for records only containing the information that is necessary for the record's purpose and being free from labelling and discrimination
- 13 The reasons for only disclosing information to those people who have the right and need to know it and how you identify these people
- 14 What the appropriate precautions might be when communicating information
- 15 How to handle and store information securely and safely
- 16 The reasons for alerting an appropriate person when you have concerns about the handling of/misuse of information and who that person might be on different occasions and in different circumstances

Unit 9

Develop productive working relationships with colleagues and stakeholders

Overview

This standard is about developing productive working relationships with colleagues, within your own organisation and within other organisations with which your organisation works, and with identified stakeholders.

It involves being aware of the roles, responsibilities, interests and concerns of colleagues and stakeholders and working with and supporting them in various ways. The need to monitor and review the effectiveness of working relationships with colleagues and stakeholders is also a key requirement of this unit.

'Colleagues' are any people you are expected to work with, whether they are at a similar position or in other positions in terms of level of responsibility.

For the purpose of this unit, 'Stakeholders' refers to individuals or organisations that have a material, legal or political interest in or who may be affected by the activities and performance of your organisation.

There is one element:

9 Develop productive working relationships with colleagues and stakeholders

This standard is imported from the Management Standards Centre (MSC) suite of standards.

Who this standard is for

This standard is recommended for middle managers and senior managers.

Unit: 9

Unit Title: Develop productive working relationships with colleagues and stakeholders

Performance Criteria

You must be able to –

- a. identify stakeholders and the background to and nature of their interest in the activities and performance of the organisation
- b. establish working relationships with relevant colleagues and stakeholders
- c. recognise and respect the roles, responsibilities, interests and concerns of colleagues and stakeholders
- d. provide colleagues and stakeholders with appropriate information to enable them to perform effectively
- e. consult colleagues and stakeholders in relation to key decisions and activities and take account of their views, including their priorities, expectations and attitudes to potential risks
- f. fulfil agreements made with colleagues and stakeholders and let them know
- g. advise colleagues and stakeholders promptly of any difficulties or where it will be impossible to fulfil agreements
- h. identify and sort out conflicts of interest and disagreements with colleagues and stakeholders in ways that minimise damage to work and activities and to the individuals and organisations involved
- i. monitor and review the effectiveness of working relationships with colleagues and stakeholders, seeking and providing feedback, in order to identify areas for improvement
- j. monitor wider developments in order to identify issues of potential interest or concern to stakeholders in the future and to identify new stakeholders

Knowledge Criteria

You must know and understand –

General knowledge and understanding

1. the benefits of developing productive working relationships with colleagues and stakeholders
2. different types of stakeholders and key principles which underpin the 'stakeholder' concept
3. how to identify your organisation's stakeholders, including background information and the nature of their interest in your organisation
4. principles of effective communication and how to apply them in order to communicate effectively with colleagues and stakeholders
5. why it is important to recognise and respect the roles, responsibilities, interests and concerns of colleagues and stakeholders
6. how to identify and meet the information needs of colleagues and stakeholders
7. what information it is appropriate to provide to colleagues and stakeholders and the factors that need to be taken into consideration
8. how to consult with colleagues and stakeholders in relation to key decisions and activities
9. the importance of taking account, and being seen to take account, of the views of colleagues and stakeholders, particularly in relation to their priorities, expectations and attitudes to potential risks
10. why communication with colleagues and stakeholders on fulfilment of agreements or any problems affecting or preventing fulfilment is important
11. how to identify conflicts of interest with colleagues and stakeholders and the techniques that can be used to manage or remove them
12. how to identify disagreements with colleagues and stakeholders and the techniques for sorting them out

13. the damage with conflicts of interest and disagreements with colleagues and stakeholders can cause to individuals and organisations
14. how to take account of diversity issues when developing working relationships with colleagues and stakeholders
15. how to recognise and take account of political issues when dealing with colleagues and stakeholders
16. how to manage the expectations of colleagues and stakeholders
17. how to monitor and review the effectiveness of working relationships with colleagues and stakeholders
18. how to get and make effective use of feedback on the effectiveness of working relationships from colleagues and stakeholders
19. how to provide colleagues and stakeholders with useful feedback on the effectiveness of working relationships
20. the importance of monitoring wider developments in relation to stakeholders and how to do so effectively

Security specific knowledge and understanding

21. current and emerging political, economic, social, technological, environmental and legal developments in your area within security
22. legislation, regulations, guidelines and codes of practice relevant to your area of security
23. standards of behaviour and performance in your area of security
24. the culture of your area of security
25. developments, issues and concerns of importance to stakeholders in your area of security

Context specific knowledge and understanding

26. the vision, values, objectives, plans, structure and culture of your organisation
27. relevant colleagues, their work roles and responsibilities
28. identified stakeholders, their background and interest in the activities and performance of the organisation
29. agreements with colleagues and

stakeholders

30. the identified information needs of colleagues and stakeholders
31. mechanisms for consulting with colleagues and stakeholders on key decisions and activities
32. the organisation's planning and decision making processes
33. mechanisms for communicating with colleagues and stakeholders
34. power, influence and politics within the organisation
35. standards of behaviour and performance that are expected in the organisation
36. mechanisms in place for monitoring and reviewing the effectiveness of working relationships with colleagues and stakeholders

Behaviours

You demonstrate that you:

1. present information clearly, concisely, accurately and in ways that promote understanding
2. show respect for the views and actions of others
3. seek to understand people's needs and motivations
4. comply with and ensure others comply with legal requirements, industry regulations, organisational policies and professional codes
5. create a sense of common purpose
6. work towards win-win solutions
7. show sensitivity to internal and external politics that impact on your area of work
8. keep promises and honour commitments
9. consider the impact of your own actions on others
10. use communication styles that are appropriate to different people and situations
11. work to develop an atmosphere of professionalism and mutual support

Unit 10

Provide leadership for your team

Overview

This standard is about providing direction to the members of your team and motivating and supporting them to achieve the objectives of the team and their personal work objectives.

There is one element:

10 Provide leadership for your team

This standard is imported from the Management Standards Centre (MSC) suite of standards.

Who this standard is for

This standard is recommended for team leaders.

Unit: 10

Unit Title: Provide leadership for your team

Performance Criteria

You must be able to –

- a. set out and positively communicate the purpose and objectives of the team to all members
- b. involve members in planning how the team will achieve its objectives
- c. ensure that each member of the team has personal work objectives and understands how achieving these will contribute to achievement of the team's objectives
- d. encourage and support team members to achieve their personal work objectives and those of the team and provide recognition when objectives have been achieved
- e. win, through your performance, the trust and support of the team for your leadership
- f. steer the team successfully through difficulties and challenges, including conflict within the team
- g. encourage and recognise creativity and innovation within the team
- h. give team members support and advice when they need it especially during periods of setback and change
- i. motivate team members to present their own ideas and listen to what they say
- j. encourage team members to take the lead when they have the knowledge and expertise and show willingness to follow this lead
- k. monitor activities and progress across the team without interfering

Please see next page for Behaviours

Knowledge Criteria

You must know and understand –

General knowledge and understanding

1. different ways of communicating effectively with members of a team
2. how to set objectives which are smart (specific, measurable, achievable, realistic and time-bound)
3. how to plan the achievement of team objectives and the importance of involving team members in this process
4. the importance of and being able to show team members how personal work objectives contribute to achievement of team objectives
5. that different styles of leadership exist
6. how to select and successfully apply a limited range of different methods for motivating, supporting and encouraging team members and recognising their achievements
7. types of difficulties and challenges that may arise, including conflict within the team, and ways of identifying and overcoming them
8. the importance of encouraging others to take the lead and ways in which this can be achieved
9. the benefits of and how to encourage and recognise creativity and innovation within a team

Security specific knowledge and understanding

10. legal, regulatory and ethical requirements in security

Context specific knowledge and understanding

11. the members, purpose, objectives and plans of your team
12. the personal work objectives of members of your team
13. the types of support and advice that team members are likely to need and how to respond to these
14. standards of performance for the work of your team

Behaviours

You demonstrate that you:

1. create a sense of common purpose
2. take personal responsibility for making things happen
3. encourage and support others to take decisions autonomously
4. act within the limits of your authority
5. make time available to support others
6. show integrity, fairness and consistency in decision-making
7. seek to understand people's needs and motivations
8. model behaviour that shows respect, helpfulness and co-operation

Unit 11

Ensure compliance with legal, regulatory, ethical and social requirements

Overview

Organisations must show that they act responsibly in relation to their staff, customers, investors and the communities in which they work. All types of organisations must obey the law in key areas such as health and safety, employment, finance and company law. Many organisations also have to work within specific regulations for their industry and ethical frameworks. Organisations who want to maintain a good reputation also have to take account of the views of people in their communities on a whole range of issues such as the environment and other ways in which the organisation affects people's quality of life.

There is one element:

11 Ensure compliance with legal, regulatory, ethical and social requirements

This standard is imported from the Management Standards Centre (MSC) suite of standards.

Who this standard is for

The standard is recommended for middle managers and senior managers.

Unit: 11

Unit Title: Ensure compliance with legal, regulatory, ethical and social requirements

Performance Criteria

You must be able to –

- a. monitor the relevant legal, regulatory, ethical and social requirements and the effect they have on your area of responsibility, including what will happen if you don't meet them
- b. develop effective policies and procedures to make sure your organisation meets all the necessary requirements
- c. make sure relevant people have a clear understanding of the policies and procedures and the importance of putting them into practice
- d. monitor the way policies and procedures are put into practice and provide support
- e. encourage a climate of openness about meeting and not meeting the requirements
- f. identify and correct any failures to meet the requirements
- g. identify reasons for not meeting requirements and adjust the policies and procedures to reduce the likelihood of failures in the future
- h. provide full reports about any failures to meet the requirements to the relevant stakeholders

Knowledge Criteria

You must know and understand –

General knowledge and understanding

1. the importance of having an ethical and value-based approach to governance and how to put this into practice
2. relevant legal requirements governing the running of organisations
3. current and emerging social attitudes to management and leadership practice and the importance of being sensitive to these

Security specific knowledge and understanding

4. legal, regulatory and ethical requirements in your sector
5. procedures to follow if you do not meet the requirements
6. particular current and emerging social concerns and expectations that are relevant to your sector
7. ways in which other organisations deal with current and emerging social concerns and expectations

Context specific knowledge and understanding

8. the culture and values of your organisation and what effect they have on corporate governance
9. policies and procedures that make sure people meet the requirements
10. the processes for maintaining the relevant policies and procedures and making sure they continue to be effective
11. the different ways in which people may not meet the requirements and the risks of these actually happening
12. the procedures for dealing with people who do not meet the requirements, including requirements for reporting

Please see next page for Behaviours

Behaviours

You demonstrate that you:

1. recognise changes in circumstances promptly and adjust plans and activities accordingly
2. make time available to support others
3. give feedback to others to help them improve their performance
4. identify and raise ethical concerns
5. are vigilant for potential risks
6. make appropriate information and knowledge available promptly to those who need it and have a right to it
7. encourage others to share information and knowledge within the constraints of confidentiality
8. show sensitivity to stakeholders' needs and manage these effectively

Unit 13

Manage your own resources and professional development

Overview

This standard is about managing your personal resources (particularly knowledge, understanding, skills, experience and time) and your professional development in order to achieve your work objectives and your career and personal goals.

You need to understand your work role and how it fits into the overall vision and objectives of the organisation whilst also understanding what is driving you in terms of your values and your career and wider personal aspirations.

Identifying and addressing gaps in your skills and knowledge and understanding is an essential aspect of this standard.

There is one element:

13 Manage your own resources and professional development

This standard is imported from the Management Standards Centre (MSC) suite of standards.

The standard is recommended for first line managers, middle managers and senior managers.

Unit: 13

Unit Title: Manage your own resources and professional development

Performance Criteria

You must be able to –

- a. evaluate, at appropriate intervals, the current and future requirements of your work-role taking account of the vision and objectives of your organisation
- b. consider your values and your career and personal goals and identify information which is relevant to your work role and professional development
- c. discuss and agree personal work objectives with those you report to and how you will measure progress
- d. identify the learning styles which work best for you and ensure that you take these into account in identifying and undertaking development activities
- e. identify any gaps between the current and future requirements of your work-role and your current knowledge, understanding and skills
- f. discuss and agree, with those you report to, a development plan to address any identified gaps in your current knowledge, understanding and skills and support your own career and personal goals
- g. undertake the activities identified in your development plan and evaluate their contribution to your performance
- h. review and update your personal work objectives and development plan in the light of performance, any development activities undertaken and any wider changes
- i. get regular and useful feedback on your performance from those who are in a good position to judge it and provide objective and valid feedback
- j. ensure that your performance consistently meets or goes beyond agreed requirements

Knowledge Criteria

You must know and understand –

General knowledge and understanding

1. the principles which underpin professional development
2. the importance of considering your values and career and personal goals and how to relate them to your job role and professional development
3. how to evaluate the current requirements of a work role and how the requirements may evolve in the future
4. how to set objectives which are smart (specific, measurable, achievable, realistic and time-bound)
5. how to identify development needs to address any identified gaps between the requirements of your work-role and your current knowledge, understanding and skills
6. what an effective development plan should contain and the length of time that it should cover
7. the range of different learning style(s) and how to identify the style(s) which work(s) best for you
8. the type of development activities which can be undertaken to address identified gaps in your knowledge, understanding and skills
9. how to identify whether/how development activities have contributed to your performance
10. how to update work objectives and development plans in the light of performance, feedback received, any development activities undertaken and any wider changes
11. monitoring the quality of your work and your progress against requirements and plans
12. how to evaluate your performance against the requirements of your work-role
13. how to identify and use good sources of feedback on your performance

Security specific knowledge and understanding

14. requirements for the development or maintenance of knowledge, skills and understanding and continuing professional development within the security industry

Context specific knowledge and understanding

15. the requirements of your work-role including the limits of your responsibilities
16. the vision and objectives of your organisation
17. your own values and career and personal goals
18. your personal work objective
19. your preferred learning style(s)
20. your current knowledge, understanding and skills
21. identified gaps in your current knowledge, understanding and skills
22. your personal development plan
23. available development opportunities and resources in your organisation
24. your organisation's policy and procedures in terms of personal development
25. reporting lines in your organisation
26. possible sources of feedback in your organisation

Behaviours

You demonstrate that you:

1. address multiple demands without losing focus or energy
2. recognise changes in circumstances promptly and adjust plans and activities accordingly
3. prioritise objectives and plan work to make best use of time and resources
4. take personal responsibility for making things happen
5. take pride in delivering high quality work
6. show an awareness of your own values, motivations and emotions
7. agree achievable objectives for yourself and give a consistent and reliable performance
8. recognise your own strengths and limitations, play to your strengths and use alternative strategies to minimise the impact of your limitations
9. make best use of available resources and proactively seek new sources of support when necessary
10. reflect regularly on your own experiences and use these to inform future action

Unit 15

Develop a culture and systems that promote equality and value diversity

Overview

This standard is about developing a culture and systems within an organisation to promote equality and value diversity, ie setting the context in which others in an organisation are themselves able to promote equality and value diversity.

There is one element:

15 Develop a culture and systems that promote equality and value diversity

This standard has been informed by the Skills for Justice unit SfJ AA2 *'Develop a culture and systems that promote equality and value diversity.'*

This standard is for managers in organisations who have a functional senior responsibility and accountability for developing a culture and systems that promote equality and value diversity within their part of the organisation.

Unit: 15

Unit Title: Develop a culture and systems that promote equality and value diversity

Performance Criteria

You must be able to –

- a. interpret relevant legislation and employment regulations to inform how equality and individuals' rights and responsibilities should be promoted and diversity valued, in your organisation
- b. **evaluate** the effectiveness of your organisation's systems, policies, procedures and guidelines in promoting equality and valuing diversity
- c. take the appropriate actions to ensure that your organisation's systems, policies, procedures and guidelines do promote equality and value diversity
- d. **actively promote** equality and **value** diversity
- e. actively demonstrate by your behaviour the promotion of equality and valuing of diversity
- f. regularly review your organisation's systems and processes and improve them to address issues related to unfair and discriminatory practice
- g. actively support individuals whose rights have been compromised in having their complaints appropriately addressed
- h. actively challenge the discriminatory behaviour of individuals and institutional discrimination

Knowledge Criteria

You must know and understand –

1. how to interpret current and emerging relevant legislation and employment regulations that apply to the promotion of equality and the valuing of diversity
2. your duty of care under legislation and employment regulations
3. the benefits of diversity and the promotion of equality
4. how inequality and discrimination affect individuals, groups and communities and society as a whole
5. why the promotion of equality and valuing of diversity is of vital importance in the security sector
6. how the promotion of equality and valuing of diversity can be actively promoted by you in your day-to-day work and in a way which inspires others to see its value
7. the meaning of the term 'organisational culture', who this is set by and your role in this
8. the affect of organisational culture on groups who are in a minority in the workforce and how they may respond as a result
9. how the promotion of equality and valuing of diversity can be built into the culture and systems of your organisation and the reasons for doing this
10. how leadership roles and styles can be used in the promotion of equality and diversity and in challenging individual discrimination and institutional discrimination
11. how you can use complaints and grievance processes as a way of tackling discrimination and oppression
12. your own areas for personal growth in relation to promoting equality and valuing diversity and how this will benefit you as an individual
13. how the promotion of equality and valuing of diversity may be affected by systems and structures and your role in actively tackling these
14. the actions you may need to take to help

- other people promote equality and value diversity and how to do this effectively
15. what you need to do to support people whose rights have been compromised (including ensuring that adequate support systems are in place)
 16. how you can actively challenge individual and organisational discrimination, the risks that you might be taking in doing this and why it is necessary to take these risks
 17. who can support you in challenging individual and organisational discrimination
 18. effective methods of evaluating the effectiveness of equality and diversity policies and procedures
 19. how you can contribute to developing and implementing good and best practice in relation to equality and diversity
 20. why you should seek support when you are having difficulty understanding how to promote equality and diversity, where this support can be gained and how to use it effectively

Range Statement

You must be competent to deal with the following types of:-

1. **Evaluate:** formal (eg equality impact assessments), informal,
2. **Actively promote** and **value** by: profiling the workforce and promoting a diverse workforce, acting as a mentor/role model for people in relation to equality and diversity, involving diverse groups in different pieces of work, setting objectives for own team to promote equality and value diversity, ensuring that the organisational processes that you are responsible for are fair (eg recruitment and selection), regularly seeking the views of under-represented groups on their experiences (in the organisation and the local population) and acting on them, communicating the importance of equality and diversity at every opportunity linking it to the wider work of the organisation