

Specification of Competency Standards
for the Security Services Industry
Unit of Competency

Functional Area - Investigation

Title	Formulate the policies and guidelines for investigations
Code	107843L6
Description	This unit of competency applies to security personnel at managerial level responsible for managing investigative services. It covers the abilities to formulate policies and guidelines for investigations.
Level	6
Credit	3
Competency	<p>Performance Requirements</p> <p>1. Knowledge about investigation and policies making:</p> <ul style="list-style-type: none"> • Understand the mission and business operations and objectives of the organisation • Understand legal issues relevant to investigations in Hong Kong • Be proficient in best practices for managing investigative services • Be proficient in the knowledge and techniques for conducting effective and efficient investigations • Understand the manpower and resources requirements for implementing the policies and guidelines • Possess the analytical skills to evaluate and revise policies and guidelines <p>2. Formulate the policies and guidelines for investigations</p> <p>Be able to:</p> <ul style="list-style-type: none"> • Determine the scope of investigative services, which may include: <ul style="list-style-type: none"> ○ Incident investigations ○ Misconduct investigations ○ Compliance investigations ○ Due diligence investigations of employees / vendors / customers ○ Other investigations not falling in the above • Develop policies and guidelines, including but not limited to: <ul style="list-style-type: none"> ○ Organisation and reporting structure of the investigative services ○ Roles and responsibilities of investigative services and related functions such as Legal & Compliance, Audit, HR and Information Security in investigations ○ The performance pledge of investigative services, such as the scope of service, turnaround time for completing an investigation and service quality ○ Deployment of manpower, technology and facilities ○ The investigation methods to be engaged ○ Authority to investigate ○ Authority to access information ○ Authority to carry out investigative interviews ○ Authority to carry out surveillance ○ Authority to outsource and/or engage external parties to support investigations ○ Information security and confidentiality as well as document sensitivity classification, storage and destruction ○ Consequence management ○ Budget approvals for investigations • Publish the policies and guidelines: <ul style="list-style-type: none"> ○ Document the policies and guidelines in the required format and style ○ Obtain the endorsement of senior management and other stakeholders ○ Publish the endorsed policies and guidelines

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Assessment Criteria	The integrated outcome requirements of this UoC are the abilities to: <ul style="list-style-type: none">• Formulate policies and guidelines that will facilitate the effective and efficient operations of the investigative services of an organisation; and• Effectively communicate and confirm with relevant parties the scope, objectives and performance standard of the investigative services.
Remark	