

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

Functional Area - Investigation

Title	Understand the different types of investigations and their objectives
Code	107846L5
Description	This unit of competency applies to security personnel at managerial level responsible for managing investigative services of an organisation. It covers the abilities to properly classify investigations and determine their investigative needs, so that resources and actions will be planned accordingly to achieve the desired outcomes.
Level	5
Credit	3
Competency	<p>Performance Requirements</p> <p>1. Knowledge about the different types of investigations and their objectives:</p> <ul style="list-style-type: none"> • Understand the legal and regulatory obligations of the organisation in investigations • Understand the organisation's policies and guidelines for investigations • Understand the characteristics of different types of investigations • Possess good analytical and critical thinking skills about investigations • Possess good people skills and communication skills to liaise with others <p>2. Identify the different types of investigations and their objectives</p> <p>Be able to:</p> <ul style="list-style-type: none"> • Determine the nature of a matter requiring investigation based on the initial information, which may include: <ul style="list-style-type: none"> ○ Incidents/accidents involving legal liabilities or litigations ○ Employee misconduct ○ Due diligence ○ Violations of regulatory compliance ○ Violations of policies/procedures or internal controls ○ Violations of proprietary information, data privacy or confidentiality of customer information ○ Workplace violence ○ Assaults and crimes against persons ○ Harassment (including sexual harassment) ○ Vandalism or damage to property ○ Fraud ○ Theft, pilferage or misappropriation ○ Product tampering • Classify the investigation into the respective type and determine the investigative needs, such as: <ul style="list-style-type: none"> ○ For incident investigation: <ul style="list-style-type: none"> ▪ Establish the facts ▪ Identify root cause of the incident ▪ Identify wrong-doers and liabilities ▪ Identify loss and gaps/failures in controls ▪ Document the findings and evidence ▪ Determine whether referral to legal department is necessary ▪ Recommend follow up actions ○ For misconduct investigations: <ul style="list-style-type: none"> ▪ Coordinate with HR and/or Legal & Compliance ▪ Investigate as per incident investigation ▪ Identify relevant laws, regulations and policies and procedures pertaining to the misconduct

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	<ul style="list-style-type: none"> ▪ Determine culpability based on the requirements of the laws, regulations, policies and procedures ▪ Determine whether reporting to law enforcement, regulator or other public office is necessary, taking guidance from Legal & Compliance and senior management where relevant ▪ Recommend follow up actions ○ For compliance investigations: <ul style="list-style-type: none"> ▪ Identify relevant laws and policies and procedures ▪ Investigate following laid-down guidelines and standards ▪ Determine violations/deviations/failures based on relevant laws and/or policies/procedures ▪ Determine whether reporting to law enforcement, regulator or other public office is necessary, taking guidance from Legal & Compliance and senior management where relevant ▪ Recommend follow up actions ○ For due diligence investigations: <ul style="list-style-type: none"> ▪ Identify relevant policies/procedures ▪ Investigate following laid-down guidelines and standards ▪ Document the findings and evidence ▪ Report to relevant stakeholders ▪ Recommend follow up actions • Monitor the investigative actions and outcomes and reclassify the investigation where necessary
Assessment Criteria	<p>The integrated outcome requirements of this UoC are the abilities to:</p> <ul style="list-style-type: none"> • Correctly identify the nature of a matter requiring investigation; and • Classify the investigation into the appropriate type and determine the necessary resources and actions.
Remark	