

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

Functional Area - Investigation

Title	Draw conclusions at the completion of an investigation
Code	107858L4
Description	This unit of competency applies to security personnel responsible for carrying out investigations. It covers the abilities to draw sensible and logical conclusions based on facts established in the investigation.
Level	4
Credit	3
Competency	<p>Performance Requirements</p> <p>1. Analyse relevant information to identify critical factors that will affect the drawing of conclusions at the completion of an investigation</p> <p style="padding-left: 40px;">Be able to:</p> <ul style="list-style-type: none"> • Evaluate the organisation's policies, procedures and guidelines for investigations • Evaluate the concepts and techniques for conducting effective and efficient investigations • Understand the organisation's established policies and procedures for handling civil and criminal matters • Understand the judicial system and key elements of civil and criminal proceedings in Hong Kong • Understand legal and regulatory obligations pertaining to the business operations and objectives of the organisation • Understand the elements of common criminal offences relevant to the business operations of the organisation • Evaluate the rules of evidence in Hong Kong • Evaluate the organisation's policies, procedures and guidelines regarding collection and preservation of evidence • <p>2. Draw conclusions at the completion of an investigation</p> <p style="padding-left: 40px;">Be able to:</p> <ul style="list-style-type: none"> • Evaluate the nature and purpose of the investigation <ul style="list-style-type: none"> ○ Incident/accident investigations - to document facts and establish root cause for remediation and preservation of evidence ○ Misconduct investigations or Compliance investigations - to document facts about violations of laws, policies and/or rules; identify wrong-doers for disciplinary actions, regulatory reporting and/or legal proceedings; loss and gaps or failures in internal control for remediation, restitution and/or recovery actions. ○ Due diligence investigations to document actions and findings to form the basis of business decisions and records of due diligence done • Consolidate actions taken and facts established in chronological order • Assess whether all elements of the laws, policies and/or guidelines pertaining to the matter under investigation have been explored • Assess whether the facts established meet these qualities: <ul style="list-style-type: none"> ○ Objectivity ○ Thoroughness ○ Relevance ○ Accuracy ○ Timeliness • Assess whether all leads have been exhausted and further action is deemed unproductive

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	<ul style="list-style-type: none"> • Conclude, confirm or rebut allegations or complaints with justifications drawn from the established facts • Draw further conclusions based on the established facts to: <ul style="list-style-type: none"> ○ Identify the root cause of the matter under investigation ○ Identify loss/liabilities to the organisation ○ Identify wrong-doer(s) and their culpability in respect of relevant laws, policies and/or rules ○ Identify gaps and failures in internal control ○ Identify areas of ineffectiveness and inefficiency in existing policies, procedures and practices • Recommend further actions, which may include legal actions, regulatory reporting, disciplinary actions, remediation, restitution and recovery, etc. • Present the conclusions and recommendations as part of the investigation report
Assessment Criteria	<p>The integrated outcome requirements of this UoC are the abilities to:</p> <ul style="list-style-type: none"> • Assess the completeness and accuracy of investigation actions; and • Draw relevant and logical conclusions and recommendations based on the established facts.
Remark	