Investigate suspected non-compliant individuals

Overview

This standard concerns confirming the nature of non-compliance and the level of culpability before making effective use of organisational powers to carry out investigations in defined complex cases.

You should identify and report other suspected areas of non-compliance revealed by your investigation and monitor the progress of the intervention, referring to others as necessary and reporting and quantifying the outcome of the investigation.

You will need to take a range of factors and implications into account in carrying out your investigations.

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Performance criteria

You must be able to:

1 maintain safety of self and others in line with organisational policies and procedures

2 apply required security, data protection, health and safety regulations and organisational policies and procedures throughout own working duties

3 check the accuracy and completeness of the evidence suggesting non-compliance in line with organisational policies and procedures

4 confirm the nature of the non-compliance in line with applicable regulations

5 record the level of individual responsibility in line with regulations and organisational policies and procedures

6 develop an investigation plan in line with organisational policies and procedures

7 conduct an investigation into the suspected non-compliance in line with organisational policies and procedures

8 report other suspected areas of non-compliance discovered as part of the investigation within organisational timescales

9 select the intervention required to address the non-compliance in line with organisational powers and procedures

10 monitor the progress of the intervention in line with organisational policies and procedures

11 update the investigation plan in line with security and data protection policies and procedures, including:

11.1 re-allocating resources in response to changing circumstances

12 refer case matters beyond own level of authority to the relevant people in line with organisational policies and procedures

13 record the nature and outcomes of the investigation in line with data protection and organisational policies and procedures

14 report the outcomes of the investigation in line with organisational policies and procedures, including:

14.1 validating conclusions

14.2 giving recommendations

15 communicate findings and the lessons learned to relevant others in line with confidentiality and organisational policies and procedures

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Knowledge and understanding

You need to know and understand:

1 organisational policies and procedures for investigating non-compliances

2 legislation and regulations relating to investigating non-compliances, including:

2.1 health and safety regulations

2.2 security regulations

2.3 data protection regulations

2.4 codes of practice

3 the importance of applying procedures and regulations to own role

4 the differences between compliance and non-compliance

5 the limits of own authority and powers

6 how to refer issues beyond own authority

7 the affects on the organisation's reputation if the investigation is questioned

8 how to access and use precedents from other similar cases

9 restrictions that apply to the dissemination and disclosure of information

10 the strengths and specialism's of colleagues

11 how to validate information

12 interviewing techniques

13 how to interpret and analyse information

14 available resources and what constitutes value for money

15 who the stakeholders are and their needs

16 the implications of actions taken

17 any constraints of the timescales

18 how to record data

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