

SFJODPS6.15.2

Investigate suspected non-compliant individuals



Overview

This unit 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.

SFJODPS6.15.2

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Performance criteria

You must be able to:

- P1 follow organisational procedures at all times
- P2 maintain your own personal safety
- P3 work in a way that ensures the safety of others
- P4 confirm the accuracy and completeness of your evidence
- P5 the nature of the non-compliance
- P6 confirm the level of culpability in accordance with the agreed criteria
- P7 identify and report other suspected areas of non-compliance
- P8 make effective use of the organisation's powers and meet the requirements of the timescale
- P9 maintain the requirements of confidentiality, Freedom of Information (FOI), Data Protection and Human Rights Act (HRA)
- P10 monitor the progress of the intervention and update the investigation plan and re-allocate resources in response to changing circumstances
- P11 refer matters beyond your level of authority or beyond your remit to the right person
- P12 record on appropriate databases the nature and outcomes of the investigation according to procedures
- P13 report and quantify the outcome of the investigation, substantiating your conclusions and recommendations from the evidence obtained
- P14 communicate your findings and the lessons learned to those who need to know

SFJODPS6.15.2

Investigate suspected non-compliant individuals

Knowledge and understanding

You need to know and understand:

- K1 the requirements of organisational procedures
- K2 the legal requirements for health and safety
- K3 your organisation's health and safety requirements
- K4 relevant legislation, policies and codes of practice
- K5 the limits of your authority and powers
- K6 when to refer issues beyond your authority or competence
- K7 the requirements of your organisation's Customer Charter
- K8 how the way in which you handle the case could affect your organisation's reputation
- K9 how to access and use or add to precedents from other similar cases
- K10 restrictions that apply to the dissemination and disclosure of information
- K11 the strengths and specialisms of your team and colleagues
- K12 how to validate information
- K13 interviewing techniques
- K14 how to interpret and analyse information
- K15 your available resources and what constitutes value for money
- K16 who your stakeholders are and their needs
- K17 the implications of your decisions
- K18 any constraints of the timescales

SFJODPS6.15.2

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Additional Information

Scope/range related to performance criteria

Different conditions which affect how you apply your knowledge, and in which you must demonstrate competence are:

1. powers: where you are solely responsible/authorized; in collaboration
2. factors: errors made by your own organisation/third party; customer error; avoidance; fraud
3. complexity: of the case; inter-related factors; cost-effectiveness versus the public interest; collaboration with external agencies
4. implications: justifiable complaints; public perception; impact on achievement of objectives/targets

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Key words	operational delivery, complexity, implications, non-compliance, culpability, monitor progress, report and quantify, lessons learned
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