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CPPINV3027

Develop Investigation Plans

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Introduction

This unit of competency outlines the specific outcomes required to develop and document an investigative plan. It includes scoping investigation parameters, selecting investigation methodologies based on factual and surveillance techniques, and ensuring legal compliance for investigative and evidence collection processes.

Elements & Performance Criteria

1.0 Confirm investigation requirements.

- 1.1 Review investigation brief and associated information to clarify investigation purpose, scope and timeframes.
- 1.2 Source additional information in consultation with relevant person to clarify investigation requirements.
- 1.3 Review legal rights and responsibilities and confirm authorisations to conduct investigation and collect evidence.

2.0 Determine investigation methodology.

- 2.1 Gather and assess information to support investigation and confirm validity of sources.
- 2.2 Select investigation methods that meet investigation brief and comply with legal requirements for collecting, preserving and presenting evidence.
- 2.3 Identify required resources and equipment and confirm their availability and efficiency in meeting investigation brief and budget.
- 2.4 Assess risk associated with investigation methods and apply contingency measures to ensure safety and regulatory compliance.
- 2.5 Identify limitations in conducting investigation and seek required assistance in consultation with relevant persons.

3.0 Finalise investigation plan.

- 3.1 Write investigation plan in accordance with workplace standards for style, format and accuracy.
- 3.2 Review investigation plan to confirm completeness and accuracy to meet investigation brief and make required modifications.
- 3.3 Securely store investigation information in a manner that facilitates future retrieval and maintains confidentiality.

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Introduction

In investigative services, the ability to meticulously plan and strategise is paramount. The module, "Develop Investigation Plans," is designed to equip budding investigators with the essential skills and knowledge to craft comprehensive and effective investigation plans. These plans serve as the backbone of any investigation, ensuring that the process is systematic, efficient, and adheres to the highest standards of legal and ethical conduct.

As we delve into this module, learners will gain insights into the nuances of establishing clear investigation requirements, formulating robust methodologies, and drafting detailed plans that cater to specific investigative needs. By understanding and mastering the art of planning, investigators not only enhance the quality of their work but also ensure that they are prepared for the myriad challenges that may arise during the course of an investigation.

Chapter 1: Introduction to Investigation Plans

In this chapter, learners are introduced to the foundational concepts of investigation plans. These plans are not just administrative documents; they are the backbone of any successful investigation. By understanding their purpose, importance, and the broader investigative process, investigators are better equipped to navigate the challenges they'll face in the field, ensuring that their inquiries are thorough, ethical, and effective.

1.1 Purpose and Importance of Investigation Plans

- **Definition:** An investigation plan is a meticulously crafted document that outlines the steps, strategies, and methodologies an investigator intends to employ to gather evidence, interview witnesses, and achieve the objectives of the investigation.
- **Purpose:**
 - **Guidance:** The plan serves as a roadmap, guiding investigators through the complexities of their inquiries, ensuring that they remain focused and organised.
 - **Resource Allocation:** It helps in determining the necessary resources, be it personnel, equipment, or time, ensuring that they are allocated efficiently.
- **Importance:**
 - **Efficiency:** A well-structured plan streamlines the investigative process, ensuring that resources are used effectively and redundancies are minimised.
 - **Consistency:** By following a plan, investigators ensure a uniform approach across different investigations, which is crucial for maintaining the integrity and reliability of the investigative process.
 - **Accountability:** A clear plan provides a record of the intended investigative steps, promoting transparency and accountability. It can be referred back to if there are any questions or disputes about the investigation's conduct.
 - **Legal Adherence:** With the myriad of legal regulations surrounding investigations, a plan ensures that every step taken is within the bounds of the law, reducing the risk of legal complications or challenges.

1.2 Overview of the Investigation Process

- **Initiation:** Every investigation starts with an incident or a suspicion. This phase involves understanding the issue at hand, reviewing any initial reports, complaints, or information that triggered the investigation, and setting clear objectives for what the investigation aims to achieve.
- **Planning:** This phase is pivotal. Here, the scope of the investigation is determined, potential sources of evidence are identified, and the detailed steps to be taken are outlined. This is where the investigation plan is meticulously crafted, ensuring that every potential avenue is explored.
- **Execution:** This is the action phase. Investigators gather evidence, conduct interviews, perform surveillance, and carry out all the necessary activities outlined in the plan.

Every step is taken with precision, ensuring that evidence is collected ethically and legally.

- **Analysis:** Once all the evidence is gathered, it's time to piece the puzzle together. Investigators review and analyse the evidence, cross-referencing facts, verifying statements, and drawing preliminary conclusions.
- **Reporting:** The culmination of the investigation is the report. It's a comprehensive document detailing every step of the investigative process, the evidence gathered, conclusions drawn, and any recommendations or next steps. This report can be used in legal proceedings, disciplinary actions, or simply to inform stakeholders of the investigation's findings.

Chapter 2: Establishing Investigation Requirements

Understanding the requirements of an investigation is paramount. Before diving into the actual process, investigators must have a clear picture of what they are looking for, the boundaries they must adhere to, and the objectives they aim to achieve. This chapter delves into the initial stages of setting up an investigation, ensuring that every subsequent step is built on a solid foundation.

2.1 Reviewing the Investigation Brief

- **Definition:** The investigation brief is a document or directive that provides initial information about the case or situation to be investigated. It often includes preliminary details, potential leads, and the primary objectives of the investigation.
- **Components:**
 - **Background Information:** This provides context, helping investigators understand the genesis of the issue or complaint.
 - **Objectives:** Clearly defined goals that the investigation aims to achieve, be it finding a culprit, verifying a claim, or gathering specific evidence.
 - **Initial Leads:** Any initial information or leads that can guide the investigation, such as potential witnesses, initial evidence, or suspicious activities.
- **Importance:**
 - **Direction:** The brief offers a starting point, guiding investigators on where to begin and what to prioritise.
 - **Efficiency:** By having a clear understanding of the case from the outset, investigators can allocate resources more effectively and avoid unnecessary avenues.



2.2 Legal Rights, Responsibilities, and Authorisations

- **Rights of Investigators:** Understanding the powers that an investigator has, such as the ability to interview witnesses, access certain records, or conduct surveillance.
- **Legal Responsibilities:** Adhering to laws and regulations is non-negotiable. This includes respecting privacy rights, ensuring evidence is collected legally, and maintaining confidentiality.
- **Authorisations:** Before certain investigative actions can be taken, proper authorisations might be required. This could be in the form of warrants, permissions, or other legal documents.
- **Importance:**
 - **Ethical Conduct:** Ensuring that the investigation is conducted ethically and respects the rights of all involved parties.
 - **Legal Adherence:** Avoiding potential legal pitfalls or challenges that could compromise the investigation or its findings.

2.3 Clarifying Scope, Timeframes, and Additional Information

- **Scope:** Determining the boundaries of the investigation. This includes understanding what is within the purview of the investigation and what falls outside of it.
- **Timeframes:** Setting clear timelines for different phases of the investigation, ensuring that it progresses efficiently and meets any deadlines.
- **Sourcing Additional Information:** Sometimes, the initial brief might not provide all the necessary details. In such cases, investigators might need to consult with relevant persons, access additional records, or seek clarifications to get a comprehensive understanding of the case.
- **Importance:**
 - **Focused Investigation:** By understanding the scope, investigators can concentrate their efforts on relevant avenues and avoid unnecessary diversions.
 - **Efficiency:** Timeframes ensure that the investigation progresses at a steady pace, ensuring timely conclusions.
 - **Comprehensive Understanding:** By seeking additional information, investigators ensure that they have all the necessary details to conduct a thorough investigation.

Establishing the requirements of an investigation is akin to laying the groundwork for a building. Without a solid foundation, the entire structure can become unstable. By reviewing the investigation brief, understanding legal boundaries, and clarifying the scope and timeframes, investigators ensure that their efforts are directed, legal, and efficient, setting the stage for a successful inquiry.

Chapter 3: Formulating the Investigation Methodology

The methodology of an investigation is its backbone. It dictates how the investigation will proceed, which tools and techniques will be employed, and how challenges will be addressed. A well-thought-out methodology not only ensures that the investigation is thorough and

effective but also that it stands up to scrutiny. This chapter will guide you through the intricacies of formulating a robust investigation methodology, ensuring that every step taken is purposeful and efficient.

3.1 Selecting Suitable Investigation Methods

- **Types of Methods:** There are various methods available to investigators, from surveillance and interviews to forensic analysis and digital investigations.
- **Criteria for Selection:**
 - **Nature of the Case:** Different cases require different approaches. A financial fraud might require a deep dive into financial records, while a missing person case might lean heavily on interviews and surveillance.
 - **Available Evidence:** The type of evidence available can guide the method. For instance, digital evidence might necessitate cyber forensics.
 - **Legal Constraints:** Some methods might be restricted or require special permissions.
- **Importance:**
 - **Effectiveness:** Choosing the right method increases the chances of uncovering the truth.
 - **Efficiency:** It ensures that resources are not wasted on ineffective or irrelevant techniques.

3.2 Resource Management and Risk Assessment

- **Resource Allocation:** Determining what tools, equipment, and personnel are required and ensuring they are available and properly trained.
- **Risk Analysis:** Identifying potential risks associated with chosen methods, be it physical danger, legal repercussions, or the risk of compromising evidence.
- **Safety Protocols:** Implementing measures to mitigate identified risks, ensuring the safety of all involved.
- **Importance:**
 - **Optimal Use of Resources:** Ensures that the investigation is well-equipped and that resources are used judiciously.
 - **Safety:** Prioritising the safety of investigators, witnesses, and other involved parties.
 - **Integrity of the Investigation:** Minimising risks ensures that the investigation proceeds without interruptions or compromises.

3.3 Addressing Limitations and Contingencies

- **Identifying Limitations:** Recognising what might hinder the investigation, be it lack of access to certain areas, uncooperative witnesses, or gaps in information.
- **Contingency Planning:** Developing backup plans or alternative strategies to address unforeseen challenges or roadblocks.
- **Seeking Assistance:** When faced with limitations beyond their expertise or authority, investigators might need to consult experts or collaborate with other agencies.
- **Importance:**

- **Adaptability:** Ensures that the investigation can adapt to changing circumstances or unexpected challenges.
- **Thoroughness:** By addressing limitations and having contingencies, investigators ensure that no stone is left unturned.
- **Collaboration:** Recognising when to seek external help can be the key to breaking through barriers.

Formulating a methodology is a strategic process, requiring foresight, adaptability, and a deep understanding of investigative techniques. By selecting the right methods, managing resources effectively, and preparing for potential challenges, investigators set themselves up for success. This chapter underscores the importance of a well-planned methodology, highlighting the steps and considerations that go into crafting a comprehensive investigative strategy.

Chapter 4: Drafting and Finalising the Investigation Plan

The culmination of the investigative process is the creation of a comprehensive investigation plan. This plan serves as a roadmap, guiding investigators through each phase of the investigation and ensuring that every step is methodical and purpose-driven. A well-drafted plan not only streamlines the investigative process but also ensures that the investigation is conducted ethically, legally, and efficiently. This chapter delves into the nuances of drafting, reviewing, and finalising an investigation plan, ensuring that it is both robust and actionable.

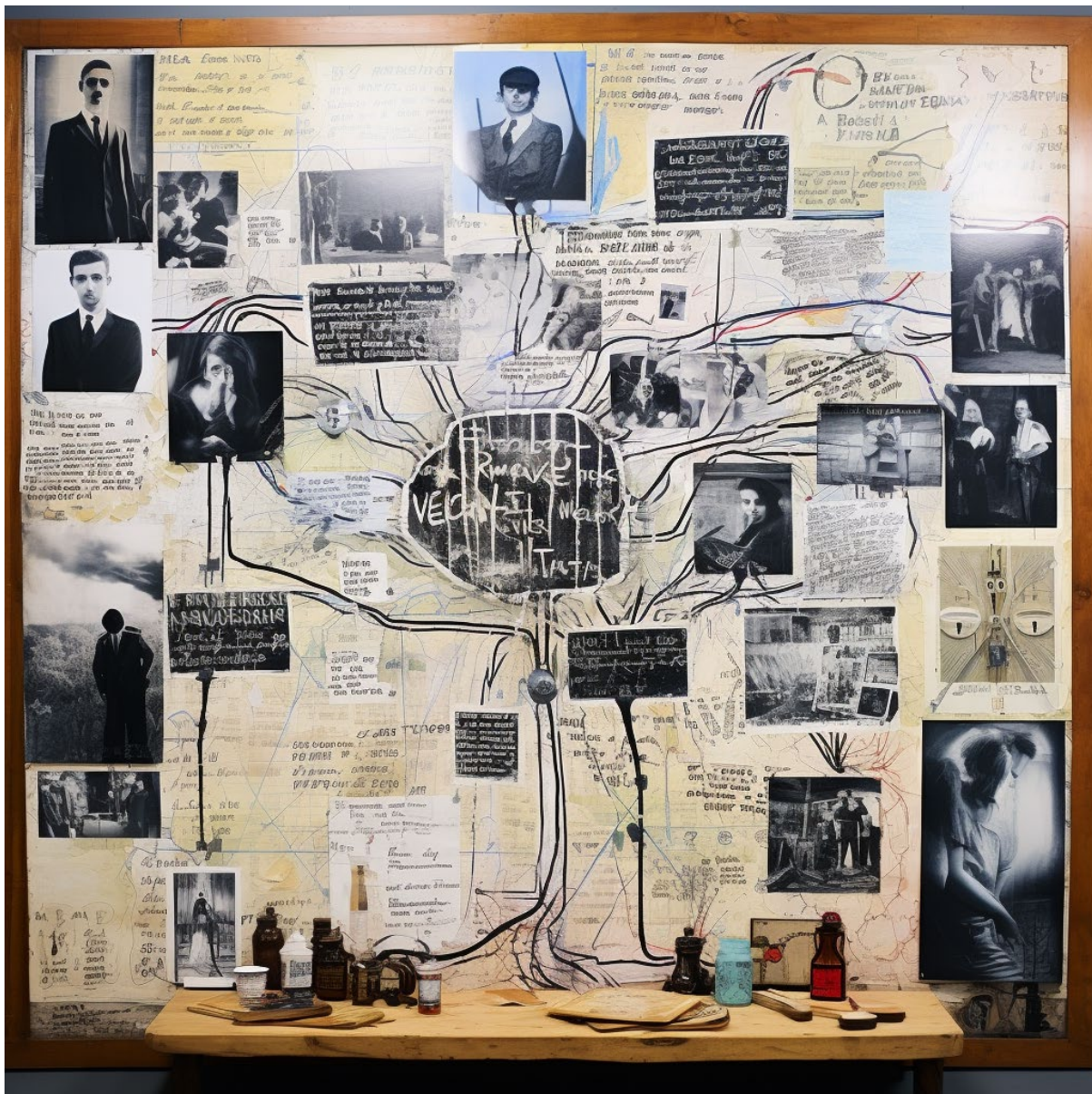
4.1 Writing and Reviewing the Plan

- **Structure and Components:** An investigation plan should be clear, structured, and detailed, outlining objectives, methods, resources, timelines, and potential challenges.
- **Review Process:**
 - **Self-review:** Investigators should first review their plan for coherence, completeness, and feasibility.
 - **Peer Review:** Having colleagues review the plan can provide fresh perspectives and identify potential oversights.
 - **Legal Review:** Ensuring that the plan adheres to all legal and regulatory requirements.
- **Importance:**
 - **Clarity:** A well-written plan provides clear direction and minimises ambiguity.
 - **Thoroughness:** Reviewing ensures that all bases are covered and potential pitfalls are addressed.

4.2 Secure Storage, Confidentiality, and Implementation

- **Storage Protocols:** Plans should be stored securely, ensuring they are protected from unauthorised access, loss, or damage.
- **Confidentiality:** Maintaining the confidentiality of the plan is crucial to protect sensitive information and the integrity of the investigation.
- **Implementation:** Once finalised, the plan should be actioned methodically, with investigators adhering to the outlined steps and timelines.
- **Importance:**
 - **Integrity:** Secure storage and confidentiality ensure that the investigation remains uncompromised.
 - **Efficiency:** A well-implemented plan ensures that the investigation progresses smoothly and systematically.

(this is not an investigation plan)



GLOSSARY:

1. **Investigation Plan:** A structured approach outlining the methods and resources required to conduct an investigation.
2. **Objective Setting:** The process of defining clear, specific, and achievable goals for the investigation.
3. **Scope of Investigation:** The parameters and limits within which the investigation will be conducted.
4. **Resource Allocation:** The distribution of available resources, such as time, budget, and personnel, to various tasks in the investigation.
5. **Stakeholder Engagement:** The involvement of individuals or groups who have an interest in the outcome of the investigation.
6. **Evidence Collection:** The systematic gathering of information, documents, and materials relevant to the investigation.
7. **Legal Compliance:** Adherence to laws and regulations that govern investigative practices.
8. **Ethical Standards:** The moral principles that guide the conduct of an investigation, ensuring fairness and integrity.
9. **Risk Management:** The identification, assessment, and prioritisation of risks followed by coordinated efforts to minimise, monitor, and control their impact.
10. **Data Analysis:** The process of examining, cleaning, transforming, and modelling data to discover useful information and support decision-making.
11. **Investigative Methods:** Techniques and procedures used to gather and analyse information during an investigation.
12. **Reporting:** The preparation of detailed reports that summarise the findings and processes of the investigation.
13. **Confidentiality:** The principle of keeping sensitive information secure and private during and after the investigation.
14. **Interview Techniques:** The strategies employed to question individuals in a manner that is likely to elicit useful and truthful information.
15. **Surveillance:** Monitoring of behaviour, activities, or information for the purpose of gathering evidence.
16. **Documentation:** The creation of detailed records that capture all aspects of the investigation process.
17. **Chain of Custody:** The chronological documentation that records the sequence of custody, control, transfer, analysis, and disposition of physical or electronic evidence.
18. **Strategic Planning:** The process of defining the strategy or direction of the investigation and making decisions on allocating resources to pursue this strategy.
19. **Tactical Operations:** Specific operations carried out to achieve short-term objectives within the broader strategic plan of the investigation.
20. **Operational Guidelines:** The procedures and instructions that govern the conduct of investigative activities.
21. **Case File Management:** The process of organising and maintaining documents and evidence related to the investigation.

22. **Quality Assurance:** Ensuring that all aspects of the investigation meet defined standards of quality.
23. **Investigative Tools:** Equipment and software used to assist in the investigation, such as cameras, recording devices, and database systems.
24. **Stakeholder Communication:** The exchange of information between the investigator and those affected by the investigation.
25. **Critical Thinking:** The objective analysis and evaluation of an issue in order to form a judgment, crucial in the planning and execution of an investigation.