

# INVESTIGATION PLAN

## Key Information

**Detail key information about the complainant/supplier:**

- ABN/ACN details – recommendation for ASIC business search to be completed
- Procuring Agency details and appropriate contact for the Agency
- Project details including Project Contacts (PM) and relevant details
- Subject of the Investigation: Principal Contractor, Subcontractor details or Supplier details

## Background

**Outline Complaint Background, or Audit Background and/or any activity that informed you of the allegations:**

- Brief summary or overview of the complaint, detail date of complaint and the allegations and supporting evidence.
- Outline contract details such as contract type and relevant contract clauses which commit a supplier to a policy, law requirements or any other commitments.
- Establish scope of investigation – this sets out a high-level scope of investigation to be undertaken.

## Conduct of Investigation

**How will you conduct the investigation? Consider phases of the investigation.**

- Outline relevant policy QPP, ESM, EST, BPP commitments, BCTP etc.
- Outline Alleged Non-Compliance/s – what is the non-compliance?
- List relevant legislation where applicable
  - Refer breaches to regulator if there is available evidence of legislative breaches.
  - The referral can be done parallel to investigation, especially if officer is considering proceeding investigation using ‘compelling evidence’ which does not require a regulators outcome on the matter.
- Break down elements of the evidence: this is facilitation of proof and helps identify evidence available and identify required / missing evidence.

## Detailed Overview

**Assessment of Non-Compliance requires a detailed overview.**

- Add comments on the assessment of the non-compliances identified and provide detail on any further evidence that may be required.
- Consider if you have sufficient evidence for investigation, mention any challenges that the investigation may encounter.
- Provide commentary on any evidence reviewed to date that may relate to whether the factors that led to this non-compliance were negligent, deliberate and/or repeated.
- Consider the severity of non-compliance by referring to type of non-compliance and applying ESM/EST.
- Check contract date to help you determine which EMS non-compliance apply (2019 or 2021).
- Identify any risk to investigation if applicable – for example anonymous complaints and evidence may be hard to obtain or validate.
- Where applicable (complex investigations) - step out investigation methodology.
- Consider how you are going to execute the investigation - Listing steps and tasks will assist with executing the investigation and close out any gaps.
  - Determine investigation milestones and set KPI's if applicable
  - Outline preliminary findings if applicable
  - Seek consultation and approval from superior before commencing investigation