



# Fraud Investigation



# Qualification Handbook

## SFJ Awards Level 4 Professional Certificate in Fraud Investigation

Qualification Number: 603/6195/5

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# 1 Introduction

## 1.1 About us

SFJ Awards is part of the Workforce Development Trust, together with Skills for Justice and Skills for Health. For over 10 years Skills for Health and Skills for Justice have been working with employers, Governments of the UK and agencies within the skills system, to better equip workforces with the right skills now and for the future.

During this time both Skills for Health and Skills for Justice have earned an enviable reputation for their knowledge of the health and justice sectors and their proactive approach to the development of skills and qualifications, along with an ability to deliver genuinely workable solutions for the employers they represent.

SFJ Awards is an awarding organisation that builds upon this reputation. We work with employers in the policing, community safety, legal, armed forces and health sectors and understand their specific challenges, enabling us to quality assure learning outcomes that are suited to the needs of the sectors.

Customer satisfaction is the cornerstone of our organisation, and is delivered through an efficient service, providing excellent value for money.

## 1.2 Customer Service Statement

Our Customer Service Statement is published on SFJ Awards website giving the minimum level of service that centres can expect. The Statement will be reviewed annually and revised as necessary in response to customer feedback, changes in legislation, and guidance from the qualifications Regulators.

## 1.3 Centre support

SFJ Awards works in partnership with its customers. For help or advice contact:

SFJ Awards  
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Meadowcourt Business Park  
4 Hayland Street  
Sheffield  
S9 1BY

Tel: 0114 284 1970

E-mail: [info@sfjawards.com](mailto:info@sfjawards.com)

Website: [www.sfjawards.com](http://www.sfjawards.com)

# 2 The Qualification

## 2.1 Qualification objective

This handbook relates to the following qualification:

### **SFJ Awards Level 4 Professional Certificate in Fraud Investigation**

This qualification has been developed by SFJ Awards in collaboration with [Cifas](#), an independent not-for-profit organisation working to reduce fraud and related financial crime in the UK.

The main objective of the **SFJ Awards Level 4 Professional Certificate in Fraud Investigation** is to develop the learner's knowledge and skills in how to conduct fraud investigations.

The qualification covers the key components of investigative practice, and the role and responsibilities of being a fraud investigator including conducting ethical, proportionate and fair investigations. Learners will explore the fraud types and theories that help identify why people are motivated to commit fraud, and review the legislation that underpins fraud investigations. Learners will also gain an understanding of how to identify and use intelligence and work with partner agencies. They will learn how to report on an investigation's findings to support disciplinary or judicial proceedings. Learners will also develop their skills in conducting investigative interviews and planning a corporate fraud investigation.

## 2.2 Pre-entry requirements

There are no pre-entry requirements to undertake this qualification.

## 2.3 Qualification structure

The learner must achieve nine mandatory units.

The unit *Understanding Fraud and Fraudsters* is also included in the SFJ Awards Level 4 Professional Certificate in Fraud Prevention. Learners who wish to undertake both qualifications will only have to complete this unit once and not repeat the learning.

The units are listed in the following table:

Mandatory Units					
Unit Number	Odyssey Reference	Unit Title	Level	GLH	Credit Value
H/618/3180	1464	Understanding Fraud and Fraudsters	4	7	1
F/618/3185	1469	The Role of the Fraud Investigator	4	4	1
J/618/3186	1470	Understanding Legislation and Regulations relating to Fraud Investigation	4	14	3
L/618/3187	1471	Understanding Intelligence Gathering	4	14	2
R/618/3188	1472	Principles of Fraud Investigation	4	14	3
Y/618/3189	1473	Working with Partner Organisations in Fraud Investigations	4	7	1
L/618/3190	1474	Undertaking Interviews in Fraud Investigations	4	21	3
R/618/3191	1475	Fraud Investigation Planning and Process	4	14	3
Y/618/3192	1476	Fraud Investigation Reporting and Closure	4	14	3

## 2.4 Total Qualification Time (TQT)

Values for Total Qualification Time<sup>1</sup>, including Guided Learning, are calculated by considering the different activities that Learners would typically complete to achieve and demonstrate the learning outcomes of a qualification. They do not include activities which are required by a Learner's Teacher based on the requirements of an individual Learner and/or cohort. Individual Learners' requirements and individual teaching styles mean there will be variation in the actual time taken to complete a qualification. Values for Total Qualification Time, including Guided Learning, are estimates.

Some examples of activities which can contribute to Total Qualification Time include:

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<sup>1</sup> Total Qualification Time, Ofqual November 2018

<https://www.gov.uk/guidance/ofqual-handbook/section-e-design-and-development-of-qualifications>

- Independent and unsupervised research/learning
- Unsupervised compilation of a portfolio of work experience
- Unsupervised e-learning
- Unsupervised e-assessment
- Unsupervised coursework
- Watching a pre-recorded podcast or webinar
- Unsupervised work-based learning
- All Guided Learning

Some examples of activities which can contribute to Guided Learning include:

- Classroom-based learning supervised by a Teacher
- Work-based learning supervised by a Teacher
- Live webinar or telephone tutorial with a Teacher in real time
- E-learning supervised by a Teacher in real time
- All forms of assessment which take place under the Immediate Guidance or Supervision of a lecturer, supervisor, tutor or other appropriate provider of education or training, including where the assessment is competence-based and may be turned into a learning opportunity.

The Total Qualification Time and Guided Learning Hours for this qualification are as follows:

Qualification Title	TQT	GLH
SFJ Awards Level 4 Professional Certificate in Fraud Investigation	196	109

## 2.4 Age restriction

This qualification is available to learners aged 18 years and over.

## 2.5 Opportunities for progression

This qualification creates opportunities for progression into employment in the counter fraud profession and those organisations with fraud functions. It also allows learners to progress to higher-level qualifications in fraud and financial crime.

## 2.6 Use of languages

SFJ Awards business language is English and we provide assessment materials and qualification specifications that are expressed in English. Assessment specifications and assessment materials may be requested in Welsh or Irish and, where possible, SFJ Awards will try to fulfil such requests. SFJ Awards will provide assessment materials and qualification specifications that are expressed in Welsh or Irish and support the assessment of those learners, where the number of learners makes it economically viable for SFJ Awards to do so. More information is provided in the SFJ Awards' Use of Language Policy.

For learners seeking to take a qualification and be assessed in British Sign Language or Irish Sign Language, please refer to SFJ Awards' Reasonable Adjustments Policy. A learner may be assessed in British Sign Language or Irish Sign Language where it is permitted by SFJ Awards for the purpose of Reasonable Adjustment.

Policies are available on our website [www.sfjawards.com](http://www.sfjawards.com) or on request from SFJ Awards.

### 3 Qualification Units

<b>Title</b>	Understanding Fraud and Fraudsters	
<b>Level</b>	4	
<b>Credit Value</b>	1	
<b>GLH</b>	7	
<b>Learning Outcomes</b> <i>The learner will:</i>	<b>Assessment Criteria</b> <i>The learner can:</i>	<b>Guidance</b>
1. Understand fraud	1.1 Explain what fraud is 1.2 Analyse the scale of fraud 1.3 Explain the impact of fraud on individuals, organisations and society	LO to include reference to: <ul style="list-style-type: none"> <li>• Cyber/digital fraud</li> <li>• Financial crime</li> </ul>
2. Understand how corporate structures are used in fraud	2.1 Explain how different types of company structures can be used to facilitate fraud  2.2 Explain how: <ul style="list-style-type: none"> <li>• offshore jurisdictions</li> <li>• stocks and bonds</li> </ul> are used to launder the proceeds of crime	AC2.1 to include <ul style="list-style-type: none"> <li>• Sole trader</li> <li>• Partnerships</li> <li>• Limited companies</li> <li>• Shell companies</li> </ul>

	2.3 Describe how trusts are used in the money laundering process	
3. Understand why people commit fraud	<p>3.1 Analyse the main motivational theories as to why people commit fraud</p> <p>3.2 Explain how to apply knowledge of motivational theories to prevent and detect fraud</p> <p>3.3 Define the elements that are required for the occupational fraudster to commit fraud</p>	<p>AC3.1 may include:</p> <ul style="list-style-type: none"> <li>• White collar crime Sutherland 1940</li> <li>• Fraud triangle Cressey 1950</li> <li>• Fraud Diamond Wolfe and Hermanson 2004</li> <li>• ABC Ramamoortie 2009</li> <li>• MICE Kranacher 2011</li> <li>• The new fraud triangle model KASSEM, R. And HIGSON, A.W 2012</li> </ul>
4. Understand fraud and financial crime typologies and key enablers	<p>4.1 Explain external fraud typologies relevant to organisations</p> <p>4.2 Explain the range of internal fraud typologies</p> <p>4.3 Describe bribery, corruption and abuse of trust typologies</p> <p>4.4 Explain how individuals are recruited to become money mules</p> <p>4.5 Explain the different types of fraud enablers</p> <p>4.6 Analyse how enablers facilitate fraud</p>	<p>AC4.1 may include reference to:</p> <ul style="list-style-type: none"> <li>• Advanced fee payments</li> <li>• Financial investments</li> <li>• Boiler room fraud</li> <li>• Ponzi schemes</li> <li>• Consumer and retail</li> <li>• Computer software service fraud</li> <li>• Banking and credit industry fraud</li> <li>• Application fraud</li> <li>• Mandate fraud</li> <li>• Insurance related fraud</li> <li>• Procurement fraud</li> <li>• Computer misuse crime</li> </ul> <p>AC4.2 may include:</p> <ul style="list-style-type: none"> <li>• Fraudulent financial reporting</li> <li>• Asset misappropriation</li> <li>• Occupational fraud</li> </ul>

		AC4.5 may include: <ul style="list-style-type: none"> <li>• Professional enablers</li> <li>• Digital enablers</li> <li>• Financial enablers</li> </ul>
5. Be able to identify fraud indicators	5.1 Define the term 'fraud indicator' 5.2 Describe the types of fraud indicators 5.3 Analyse material to identify fraud indicators	Fraud indicators are also known as 'red flags' AC5.2 may include: <ul style="list-style-type: none"> <li>• Financial</li> <li>• Personal</li> <li>• Products</li> <li>• Lifestyle</li> <li>• Behaviour</li> </ul>
<b>Additional information about the unit</b>		
Unit aim(s)	The aim of this unit is to provide the learner with an understanding of fraud, including the types of fraud and the theories that explain the motivation for the fraudster. The unit also covers the range of fraud indicators and how they might be identified.	

<b>Title</b>	The Role of the Fraud Investigator	
<b>Level</b>	4	
<b>Credit Value</b>	1	
<b>GLH</b>	4	
<b>Learning Outcomes</b> <i>The learner will:</i>	<b>Assessment Criteria</b> <i>The learner can:</i>	<b>Guidance</b>
1. Understand the fraud investigator role	1.1 Explain the role of the investigator 1.2 Describe the responsibilities of the fraud investigator 1.3 Explain the expected behaviours of a fraud investigator	AC1.3 may include areas such as: <ul style="list-style-type: none"> <li>• personal code of conduct</li> <li>• Nolan Principles</li> <li>• honesty</li> <li>• objectivity</li> </ul>
2. Understand the professional requirements of the fraud investigator role	2.1 Explain the legislative and regulatory knowledge requirements for different types of investigations 2.2 Analyse sources of information and ways to identify policy and law change to maintain own professional knowledge	
3. Understand fair and ethical investigations	3.1 Define the term 'ethics' in an investigative context 3.2 Evaluate the role of ethics in investigations	AC3.2 may include reference to: <ul style="list-style-type: none"> <li>• Equality Act 2010</li> <li>• College of Policing Code of Ethics</li> </ul>

	<p>3.3 Summarise the articles of human rights legislation relevant to investigations</p> <p>3.4 Compare the three types of rights</p> <p>3.5 Analyse the impact of human rights legislation on investigations</p>	<p>AC3.3 Human Rights Act 1998 (Articles 3, 5, 6 and 8)</p> <p>AC3.4 absolute, limited and qualified rights</p>
<b>Additional information about the unit</b>		
Unit aim(s)	<p>The aim of this unit is to ensure the learner understands the role and responsibilities of the fraud investigator and the importance of ethical, proportionate and fair investigations. The learner will understand the requirement for the investigator to maintain their own professional knowledge.</p>	
Assessment guidance	N/A	

<b>Title</b>	Understanding Legislation and Regulations relating to Fraud Investigation	
<b>Level</b>	4	
<b>Credit Value</b>	3	
<b>GLH</b>	14	
<b>Learning Outcomes</b> <i>The learner will:</i>	<b>Assessment Criteria</b> <i>The learner can:</i>	<b>Guidance</b>
1. Understand the legislative and procedural frameworks that relate to corporate fraud investigations	<p>1.1 Summarise the legislative framework that relates to corporate fraud investigations</p> <p>1.2 Explain procedural frameworks relevant to corporate fraud investigations</p>	<p>AC1.1. may include reference to:</p> <ul style="list-style-type: none"> <li>• Police and Criminal Evidence Act 1984 to include Sections 76 (Inadmissibly of confessions) and 78 (Exclusion of unfair evidence)</li> <li>• Regulation of Investigatory Powers Act 2000 (RIPA)</li> <li>• Criminal Procedures and Investigations Act 1996</li> <li>• Data Protection Act 2018</li> </ul> <p>AC1.2 may include reference to:</p> <ul style="list-style-type: none"> <li>• PACE Codes of Practice</li> <li>• GDPR</li> <li>• Civil Procedures</li> <li>• Criminal Procedures Rules</li> </ul>

<p>2. Understand fraud and related financial crime legislation</p>	<p>2.1 Define the offences of fraud and financial crime</p> <p>2.2 Explain the key case law which has had a significant impact on fraud legislation</p>	<p>AC2.1 may include:</p> <ul style="list-style-type: none"> <li>• Fraud Act 2006</li> <li>• Criminal Finances Act 2017</li> <li>• Computer Misuse Act 1990</li> <li>• Bribery Act 2010</li> <li>• Proceeds of Crime Act 2002 Sections 327 to 333 (connected to the offences of Money Laundering)</li> <li>• Crime and Courts Act 2013 (Deferred Prosecution Agreements)</li> <li>• Theft Act 1968 (False accounting s17, retention of a wrongful credit s24a)</li> <li>• Forgery and Counterfeiting Act 1981</li> <li>• Serious Crime Act 2007</li> <li>• Digital Economy Act 2017</li> </ul> <p>AC2.2 should include reference to Ivey v Genting Casinos 2017 (rule of dishonesty)</p>
<p>3. Understand civil legislation and procedures relevant to corporate fraud investigations</p>	<p>3.1 Summarise the requirements of civil legislation relevant to corporate fraud investigations</p> <p>3.2 Explain the rights of individuals to be accompanied during investigations</p> <p>3.3 Summarise the range of civil law tools available</p> <p>3.4 Summarise the disciplinary investigation process</p>	<p>AC3.1 Civil Evidence Act 1968</p> <p>AC3.2 may include reference to:</p> <ul style="list-style-type: none"> <li>• Employment Relations Act 1999</li> <li>• ACAS Guidelines</li> <li>• Equality Act 2010</li> </ul> <p>AC3.3 may include reference to:</p> <ul style="list-style-type: none"> <li>• Injunctions</li> <li>• Freezing orders</li> <li>• Search orders (Anton Piller)</li> <li>• Civil restraint orders</li> </ul>

	<p>3.5 Explain the role of employment tribunals</p> <p>3.6 Describe the procedures for formal reporting to law enforcement and regulatory bodies</p>	<p>AC3.6 may include bodies such as:</p> <ul style="list-style-type: none"> <li>• Action Fraud</li> <li>• Police forces</li> <li>• National Crime Agency</li> <li>• Financial Conduct Authority</li> <li>• Financial Reporting Council</li> </ul>
4. Understand the regulatory framework and bodies for financial services	<p>4.1 Summarise legislation which introduced the regulatory framework for financial services and markets</p> <p>4.2 Analyse the roles of the regulatory bodies for financial services</p> <p>4.3 Summarise guidance that applies to the regulatory bodies' enforcement powers</p>	<p>AC4.1 includes:</p> <ul style="list-style-type: none"> <li>• Financial Services and Markets Act 2000</li> <li>• Financial Services Act 2012</li> </ul> <p>AC4.3 includes:</p> <ul style="list-style-type: none"> <li>• Financial Conduct Authority</li> <li>• Prudential Regulation Authority</li> <li>• FPC – Financial Policy Committee (Bank of England)</li> <li>• HM Treasury</li> </ul> <p>AC4.3 may include reference to FCA Handbook of Rules and Guidance</p>
<b>Additional information about the unit</b>		
Unit aim(s)	The aim of this unit is to provide the learner with the knowledge of the legislation and regulatory framework relevant to the investigation of fraud. It provides the learner with an understanding of the criminal legislation used to prosecute fraud offenders.	
Assessment guidance	N/A	

<b>Title</b>	Understanding Intelligence Gathering	
<b>Level</b>	4	
<b>Credit Value</b>	2	
<b>GLH</b>	14	
<b>Learning Outcomes</b> <i>The learner will:</i>	<b>Assessment Criteria</b> <i>The learner can:</i>	<b>Guidance</b>
1. Understand the Intelligence Cycle	1.1 Explain the difference between information and intelligence 1.2 Explain the stages of the Intelligence Cycle	AC1.2 could reference the College of Policing's Authorised Professional Practice (Intelligence Management)
2. Understand the National Intelligence Model	2.1 Explain the purpose of the National Intelligence Model 2.2 Summarise how the National Intelligence Model works 2.3 Analyse how to apply the National Intelligence Model in a corporate setting	AC2.2 could reference the College of Policing's Authorised Professional Practice (Intelligence Management)
3. Understand how to use and analyse intelligence in fraud investigations	3.1 Explain how intelligence can be used in: <ul style="list-style-type: none"> <li>• fraud prevention</li> <li>• fraud detection</li> </ul> 3.2 Explain techniques used to analyse intelligence	AC3.2 for example data analysis tools

4. Understand the sources of Intelligence	4.1 Compare different sources of information and intelligence 4.2 Explain open source investigations	
5. Understand intelligence handling in fraud prevention and detection	5.1 Explain handling codes and conditions to enable information sharing 5.2 Explain how to handle intelligence in fraud prevention and detection	
<b>Additional information about the unit</b>		
Unit aim(s)	This unit will provide the learner with the knowledge to understand the intelligence cycle and how to identify and handle intelligence in accordance with recognised protocols.	
Assessment guidance	N/A	

<b>Title</b>	Principles of Fraud Investigation	
<b>Level</b>	4	
<b>Credit Value</b>	3	
<b>GLH</b>	14	
<b>Learning Outcomes</b> <i>The learner will:</i>	<b>Assessment Criteria</b> <i>The learner can:</i>	<b>Guidance</b>
1. Understand the investigation models for fraud enquiries	1.1 Explain the investigation models relevant to countering fraud 1.2 Describe how to maximize the use of the models in fraud investigations 1.3 Explain the importance of disruption techniques in countering fraud	AC1.1 an example may include College of Policing's APP investigation process Fraud Investigation Model
2. Understand an investigative mind-set	2.1 Explain the principles of the investigative mind-set 2.2 Explain how to implement the investigative mind-set in investigations	AC2.1 may include College of Policing APP for Investigations
3. Understand the decision-making process	3.1 Describe the decision-making process 3.2 Evaluate the impact of bias on the decision-making process 3.3 Explain how to identify risks in decision-making	Learners may refer to the National Decision Model (NDM), College of Policing

	3.4 Explain how to mitigate risk in decision-making	
4. Understand supporting victims of fraud	<p>4.1 Explain how to identify victims of fraud</p> <p>4.2 Explain which victims would be classed as vulnerable or intimidated</p> <p>4.3 Describe sources of support and advice for victims of fraud</p> <p>4.4 Explain how to maintain victim focus throughout the fraud investigation</p> <p>4.5 Describe how to support victims of fraud</p> <p>4.6 Compare techniques available to mitigate the psychological impact of fraud on the victim</p> <p>4.7 Describe the use of intermediaries and special measures to protect victims' identity in the judicial process</p>	<p>Learners should refer to the Code of Practice for Victims of Crime / Victims' Code (Ministry of Justice)</p> <p>AC4.1 to include both individuals and organisations</p> <p>AC4.2 may include reference to the Youth and Criminal Evidence Act 1999 (S16-17), CPS Victims' Code</p> <p>AC4.3 may include organisations such as:</p> <ul style="list-style-type: none"> <li>• Victim Support</li> <li>• Citizen's Advice</li> <li>• National Trading Standards (Friends Against Scams)</li> </ul> <p>AC4.5 may include reference to fraud prevention advice (Action Fraud)</p>
5. Understand the principles of evidence	<p>5.1 Explain when material becomes evidence</p> <p>5.2 Compare different types of material</p> <p>5.3 Explain when evidence might be excluded</p>	<p>AC5.2 may include:</p> <ul style="list-style-type: none"> <li>• best evidence</li> <li>• secondary evidence</li> <li>• use of hearsay/opinion evidence</li> <li>• circumstantial</li> <li>• documentary</li> </ul>

<p>6. Understand the management of materials during an investigation</p>	<p>6.1 Analyse the types of material, including digital material, during an investigation</p> <p>6.2 Explain how sensitive material is handled</p> <p>6.3 Explain how to manage materials gathered during an investigation</p>	
<p>7. Understand the differences of approach in civil, criminal and regulatory investigations</p>	<p>7.1 Compare the burden of proof required for civil and criminal investigations</p> <p>7.2 Summarise the process for:</p> <ul style="list-style-type: none"> <li>• civil</li> <li>• regulatory</li> <li>• criminal</li> </ul> <p>investigations</p>	
<p>8. Understand the management of parallel investigations</p>	<p>8.1 Explain the rationale for undertaking parallel investigations</p> <p>8.2 Explain how inquiries are undertaken when parallel investigations are being conducted</p> <p>8.3 Evaluate the risks in parallel investigations</p> <p>8.4 Explain how risks can be mitigated in parallel investigations</p>	

<p>9. Understand record keeping during an investigation</p>	<p>9.1 Explain the importance of record keeping during an investigation</p> <p>9.2 Explain records that need to be kept during an investigation</p> <p>9.3 Compare different types of record keeping</p>	<p>AC9.2 may include records of:</p> <ul style="list-style-type: none"> <li>• decision making</li> <li>• strategies</li> <li>• actions</li> <li>• correspondence</li> <li>• investigative procedures</li> </ul> <p>AC9.3 Examples may include activity and decision logs and contemporaneous note taking</p>
<p><b>Additional information about the unit</b></p>		
<p>Unit aim(s)</p>	<p>The aim of this unit is to provide the learner with the core knowledge of the different aspects of a corporate fraud investigation and how to carry one out.</p>	
<p>Assessment guidance</p>	<p>N/A</p>	

<b>Title</b>	Working with Partner Organisations in Fraud Investigations	
<b>Level</b>	4	
<b>Credit Value</b>	1	
<b>GLH</b>	7	
<b>Learning Outcomes</b> <i>The learner will:</i>	<b>Assessment Criteria</b> <i>The learner can:</i>	<b>Guidance</b>
1. Understand working with partner organisations in fraud investigations	1.1 Summarise the role of partner organisations involved in fraud investigations 1.2 Analyse the risks of working with partner organisations 1.3 Explain the benefits of working with partner organisations 1.4 Describe the frameworks required for working with a partner organisation	AC1.4 may include Memorandum of Understanding, data sharing agreement
2. Understand communication in partnership working in fraud investigations	2.1 Analyse the role of communications between partner organisations 2.2 Explain barriers to communication in partnership working 2.3 Analyse ways to overcome barriers to communication in partnership working	

<p>3. Understand working with law enforcement agencies in fraud investigations</p>	<p>3.1 Describe communication channels between corporate and law enforcement organisations</p> <p>3.2 Explain data protection requirements when transferring materials between agencies</p> <p>3.3 Explain the importance of joint strategies when working with law enforcement agencies</p>	<p>AC3.1 may include for example communication via appropriate departments</p> <p>AC3.2 may include:</p> <ul style="list-style-type: none"> <li>• data protection forms</li> <li>• disclosure of verbal and hardcopy material</li> </ul>
<p>4. Understand own role and responsibilities in partnership working</p>	<p>4.1 Analyse own role and responsibilities within partnership teams</p> <p>4.2 Evaluate how different partner organisations can complement own role</p> <p>4.3 Explain ways own role can support partnership working</p> <p>4.4 Explain methods used to gain support for proposed actions from partner organisations</p>	
<p><b>Additional information about the unit</b></p>		
<p>Unit aim(s)</p>	<p>This unit aims to provide learners with the knowledge required when working with partner organisations on fraud investigations, including the role of communication and their own responsibilities.</p>	
<p>Assessment guidance</p>	<p>N/A</p>	

<b>Title</b>	Undertaking Interviews in Fraud Investigations	
<b>Level</b>	4	
<b>Credit Value</b>	3	
<b>GLH</b>	21	
<b>Learning Outcomes</b> <i>The learner will:</i>	<b>Assessment Criteria</b> <i>The learner can:</i>	<b>Guidance</b>
1. Understand principles of investigative interviews of witnesses, victims and suspects	1.1 Explain how memory works in the interview context 1.2 Explain how to maximise memory recall during an investigative interview 1.3 Summarise the key principles of investigative interviewing 1.4 Summarise cognitive interviewing techniques 1.5 Describe active listening skills 1.6 Summarise the PEACE interview model 1.7 Describe the benefits of documented and rationalised decision making within investigative interviewing 1.8 Explain the role of third parties in the interview 1.9 Summarise pre-interview disclosure requirements in suspect interviews	AC1.8 could include union representative or colleague

<p>2. Understand how to conduct a fraud interview</p>	<p>2.1 Explain how to create the optimum environment for effective interviews carried out:</p> <ul style="list-style-type: none"> <li>• face to face</li> <li>• digitally</li> <li>• by telephone</li> </ul> <p>2.2 Analyse effective question types used in investigative interviews</p> <p>2.3 Explain circumstances when a subject matter expert would add value to the interview</p> <p>2.4 Explain how to facilitate the input of a subject matter expert in an interview</p> <p>2.5 Describe how to present material in an interview</p> <p>2.6 Explain recording requirements when interviewing a suspect</p> <p>2.7 Explain how to take notes during an interview</p>	<p>AC2.6 may reference PACE Codes E and F</p> <p>AC2.7 for example use of Note Taker, PLAT lines, SE3R</p>
<p>3. Understand the use of cautions in the interview process</p>	<p>3.1 Explain the meaning of a caution</p> <p>3.2 Explain the impact of giving a caution during an interview</p> <p>3.3 Explain when a caution should be given</p> <p>3.4 Explain who should give the caution</p>	<p>Police and Criminal Evidence Act (PACE) 1984 (section 67(9)) and associated Code of Practice</p> <p>AC3.2 may include issues such as:</p> <ul style="list-style-type: none"> <li>• the right to silence and its inference</li> <li>• evidence given in court</li> </ul>

	<p>3.5 Describe how the caution is administered</p> <p>3.6 Summarise how to progress the investigation once a caution has been given</p>	
4. Understand how to take written statements	<p>4.1 Describe the different types of written statements</p> <p>4.2 Explain when a statement should be recorded</p> <p>4.3 Explain how to record a victim and witness statement</p>	<p>AC4.1 to include:</p> <ul style="list-style-type: none"> <li>• narrative statement</li> <li>• production statement</li> <li>• statement by expert witness</li> <li>• victim statement</li> <li>• 5-part statement</li> </ul>
5. Be able to conduct investigative interviews	<p>5.1 Apply the PEACE model during an investigative interview</p> <p>5.2 Demonstrate effective questioning typology throughout an investigative interview</p> <p>5.3 Conduct interviews with victims, witnesses and suspects</p> <p>5.4 Use verbal and observational skills</p> <p>5.5 Apply active listening skills</p> <p>5.6 Manage materials during an investigative interview</p> <p>5.7 Record an investigative interview</p> <p>5.8 Analyse notes recorded during an investigative interview</p> <p>5.9 Evaluate an investigative interview</p>	

**Additional information about the unit**

Unit aim(s)

This unit aims to provide learners with the knowledge and skills necessary to undertake an investigative interview. It covers how the memory works, effective question types to aid memory recall, written statements and the use of cautions.

Assessment guidance

Learning outcome 5 can be assessed in a simulated environment such as a role play.

<b>Title</b>	Fraud Investigation Planning and Process	
<b>Level</b>	4	
<b>Credit Value</b>	3	
<b>GLH</b>	14	
<b>Learning Outcomes</b> <i>The learner will:</i>	<b>Assessment Criteria</b> <i>The learner can:</i>	<b>Guidance</b>
1. Understand how to develop a case theory	1.1 Explain how bias impacts on case theory development 1.2 Describe when it would be appropriate to seek assistance in developing a case theory 1.3 Explain how information can lead to multiple case theories 1.4 Explain the link between case theory and investigative strategies 1.5 Describe how to review the case theory during the investigation and act on information received 1.6 Compare inductive and deductive reasoning	
2. Understand how to resource an investigation	2.1 Explain resources required for an investigation 2.2 Explain how to build a multi-disciplinary team	AC2.1 may include people, skills, financial resources AC2.2 may include financial investigator, forensic accountant, cyber expert

	2.3 Explain how to maintain motivation throughout the investigation	
3. Understand how to build a case	<p>3.1 Explain the elements that make up a fraud investigation case file</p> <p>3.2 Describe how to follow all reasonable lines of inquiry</p> <p>3.3 Explain how to lawfully gather material to build a case</p> <p>3.4 Explain how to examine information to identify its relevance to the investigation and further lines of inquiry</p>	<p>AC3.1 may include:</p> <ul style="list-style-type: none"> <li>• summary of the case</li> <li>• details of subject(s), witnesses, exhibits</li> <li>• interviews</li> <li>• other information relevant to the case</li> </ul> <p>Best practice is the Manual of Guidance and MG forms (CPS website)</p> <p>AC3.2 may reference the Criminal Procedure and Investigations Act (CPIA) 1996 S23 (Code of Practice)</p>
4. Understand the briefing models used in fraud investigations	<p>4.1 Explain the briefing up model</p> <p>4.2 Explain the briefing down model</p>	<p>AC4.1 may be the Situation Aim Factors Choices Options Risks Monitoring (SAFCORM) briefing model</p> <p>AC4.2 may be the Information Intention Method Administration Risk Assessment Communication Human Rights (IIMARCH) briefing model</p> <p>AC4.2 may reference APP College of Policing</p>
5. Be able to plan a fraud investigation	5.1 Explain how to apply a fraud investigation process	<p>AC5.1 such as the Process of Investigation (College of Policing)</p> <p>AC5.2 may incorporate decisions such as:</p>

	<p>5.2 Describe initial decisions to be made in an investigation</p> <p>5.3 Explain the range of strategies that can be developed to support an investigation</p> <p>5.4 Develop a fraud investigation plan</p>	<ul style="list-style-type: none"> <li>• case theory development</li> <li>• fast track enquiries</li> <li>• investigative aims and objectives</li> <li>• offence types</li> </ul> <p>AC5.3 may include:</p> <ul style="list-style-type: none"> <li>• search</li> <li>• witness management</li> <li>• suspect/subject management</li> <li>• crime scene management</li> <li>• digital material management</li> <li>• covert opportunities</li> </ul>
<b>Additional information about the unit</b>		
Unit aim(s)	The aim of this unit is to provide the learner with the knowledge of how to undertake a corporate fraud investigation and to be able use this knowledge to plan one.	
Assessment guidance	N/A	

<b>Title</b>	Fraud Investigation Reporting and Closure	
<b>Level</b>	4	
<b>Credit Value</b>	3	
<b>GLH</b>	14	
<b>Learning Outcomes</b> <i>The learner will:</i>	<b>Assessment Criteria</b> <i>The learner can:</i>	<b>Guidance</b>
1. Understand report writing in fraud investigations	1.1 Explain information required in a fraud investigation report 1.2 Describe the structure of a fraud investigation report 1.3 Explain the protective markings to be applied to confidential reports 1.4 Explain how to write an objective report in fraud investigations	AC1.2 reports could include: <ul style="list-style-type: none"> <li>• executive summary</li> <li>• introduction/terms of reference (ToR)</li> <li>• methodology</li> <li>• investigation following ToR</li> <li>• recommendations</li> <li>• conclusions</li> <li>• appendices</li> </ul> AC1.3 for example government security classifications
2. Understand disclosure requirements	2.1 Evaluate what material is required to be revealed to the defence 2.2 Explain the principles of the relevance test 2.3 Explain the principles of the disclosure test	Learners may refer to: <ul style="list-style-type: none"> <li>• Attorney General's Guidelines</li> <li>• CPIA 1996 Code of Practice</li> <li>• Retain, Record, Reveal and Review</li> <li>• Sensitive and non-sensitive material</li> </ul>

3. Understand the judicial process relating to fraud investigations	3.1 Explain the type and functions of the courts in England and Wales 3.2 Summarise the role of: <ul style="list-style-type: none"> <li>• court staff</li> <li>• defence team</li> <li>• prosecution team</li> </ul> 3.3 Explain how evidence is presented in court	
4. Understand structured debriefs in fraud investigations	4.1 Explain when and how to conduct a structured debrief 4.2 Describe how to effectively share operational learning	
5. Understand the use of sanctions in fraud cases	5.1 Explain the range of sanctions available 5.2 Describe the criteria required for applying sanctions 5.3 Explain how sanctions are obtained 5.4 Describe how sanctions can deter fraud	AC5.1 may include: <ul style="list-style-type: none"> <li>• written warning</li> <li>• civil sanctions</li> <li>• criminal sanctions</li> <li>• licence suspensions</li> <li>• restitution</li> <li>• compensation</li> </ul>
<b>Additional information about the unit</b>		
Unit aim(s)	The aim of this unit is to equip learners with the knowledge of reporting requirements in fraud investigations and the process for closing fraud cases, including the judicial process and the use of debriefs and sanctions.	
Assessment guidance	N/A	

# 4 Centre Requirements

Centres must be approved by SFJ Awards and also have approval to deliver the qualifications they wish to offer. This is to ensure centres have the processes and resources in place to deliver the qualifications. Approved centres must adhere to the requirements detailed in the SFJ Awards Centre Handbook, which includes information for centres on assessment and internal quality assurance (IQA) processes and procedures and is available in the centres' area of the SFJ Awards website <http://sfjawards.com/approved-centres>.

Centres are responsible for ensuring that their assessor and internal quality assurance staff:

- are occupationally competent and/or knowledgeable as appropriate to the assessor or IQA role they are carrying out
- have current experience of assessing/internal quality assuring as appropriate to the assessor or IQA role they are carrying out, and
- have access to appropriate training and support.

Information on the induction and continuing professional development of those carrying out assessment and internal quality assurance must be made available by centres to SFJ Awards through the external quality assurance process.

This qualification handbook should be used in conjunction with the SFJ Awards Centre Handbook, the SFJ Awards Assessment Guide and the SFJ Awards Quality Assurance (Internal and External) Guidance, which are available in the centres' area of the SFJ Awards website <http://sfjawards.com/approved-centres>.

# 5 Assessment

## 5.1 Qualification assessment methods

Assessment methods<sup>2</sup> that can be used for the SFJ Awards Level 4 Professional Certificate in Fraud Investigation are as follows:

- Coursework
- E-assessment
- Multiple Choice Examination
- Portfolio of Evidence (including for example records of professional discussions, question and answer sessions, reflective accounts)
- Practical Demonstration / Assignment
- Written Examination

## 5.2 Assessor and internal quality assurer and requirements

### 5.2.1 Occupational knowledge and competence

All assessors, internal and external quality assurers must:

- be occupationally knowledgeable across the range of units for which they are responsible prior to commencing the role
- engage in continuous professional development activities to maintain:
  - occupational competence and knowledge by keeping up-to-date with the changes taking place in the sector(s) for which they carry out assessments
  - professional competence and knowledge.

Assessors must also:

- be occupationally competent in the functions covered by the units they are assessing
- have gained their occupational competence by working in the sector relating to the units or qualifications they are assessing. This means they must be able to demonstrate consistent application of the skills and the current supporting knowledge and understanding in the context of a recent role directly related to the qualification units they are assessing as a practitioner, trainer or manager
- be able to interpret and make judgements on current working practices and technologies within the area of work.

Internal quality assurers (IQAs) must also:

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<sup>2</sup> Selected from the Ofqual list on submission to the Register of Regulated Qualifications

- understand the nature and context of the assessors' work and that of their learners. This means that they must have worked closely with staff who carry out the functions covered by the qualifications, possibly by training or supervising them, and have sufficient knowledge of these functions to be able to offer credible advice on the interpretation of the units
- understand the content, structure and assessment requirements for the qualification(s) they are internal quality assuring\*.

*\*Centres should provide IQAs with an induction to the qualifications that they are responsible for quality assuring. IQAs should also have access to ongoing training and updates on current issues relevant to these qualifications.*

Approved centres will be required to provide SFJ Awards with current evidence of how each member of their team meets these requirements, for example certificates of achievement or testimonials.

### **5.2.2 Assessor competence**

Assessors must be able to make valid, reliable and fair assessment decisions. To demonstrate their competence, assessors must be:

- qualified with a recognised assessor qualification, or
- working towards a recognised assessor qualification, or
- able to prove equivalent competence through training to appropriate national standards, for example, National Occupational Standard 9: Assess learner achievement<sup>3</sup> or Police Sector Standard for the Training of Assessors, Assessor Standard.

Approved centres will be required to provide SFJ Awards with current evidence of how each assessor meets these requirements, for example certificates of achievement or testimonials.

### **5.2.3 Internal Quality Assurer competence**

IQAs must occupy a position in the organisation that gives them the authority and resources to:

- coordinate the work of assessors
- provide authoritative advice
- call meetings as appropriate
- conduct pre-delivery internal quality assurance on centre assessment plans, for example, to ensure that any proposed simulations are fit for purpose
- visit and observe assessment practice
- review the assessment process by sampling assessment decisions

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<sup>3</sup> National Occupational Standards for Learning and Development, LLUK 2010  
<https://www.excellencegateway.org.uk/>

- ensure that assessment has been carried out by assessors who are occupationally competent, or for knowledge-based qualifications occupationally knowledgeable, in the area they are assessing
- lead internal standardisation activity
- resolve differences and conflicts on assessment decisions.

To demonstrate their competence, IQAs must be:

- qualified with a recognised internal quality assurance qualification, or
- working towards a recognised internal quality assurance qualification, or
- able to prove equivalent competence through training to appropriate national standards, for example National Occupational Standard 11: Internally monitor and maintain the quality of assessment<sup>4</sup> or Police Sector Standard for the Training of Internal Verifiers, Internal Verifier Standard.

Approved centres will be required to provide SFJ Awards with current evidence of how each IQA meets these requirements, for example certificates of achievement or testimonials.

### **5.3 Expert witnesses**

Expert witnesses, for example line managers and supervisors, can provide evidence that a learner has demonstrated competence in an activity. Their evidence contributes to performance evidence and has parity with assessor observation. Expert witnesses do not however perform the role of assessor.

#### **5.3.1 Occupational competence**

Expert witnesses must, according to current sector practice, be competent in the functions covered by the units for which they are providing evidence.

They must be able to demonstrate consistent application of the skills and the current supporting knowledge and understanding in the context of a recent role directly related to the qualification unit that they are witnessing as a practitioner, trainer or manager.

#### **5.3.2 Qualification knowledge**

Expert witnesses must be familiar with the qualification unit(s) and must be able to interpret current working practices and technologies within the area of work.

### **5.4 Assessing competence**

The purpose of assessing competence is to make sure that an individual is competent to carry out the activities required in their work. Assessors gather and judge evidence during normal work activities to determine whether the learner demonstrates their competence against the standards in the qualification unit(s). Competence should be demonstrated at a

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<sup>4</sup> National Occupational Standards for Learning and Development, LLUK 2010  
<https://www.excellencegateway.org.uk/>

level appropriate to the qualification. The skills required at the different qualification levels are defined in Ofqual's level descriptors.<sup>5</sup> Further information on qualification levels is included in the SFJ Awards Assessment Policy.

Evidence must be:

- Valid
- Authentic
- Sufficient
- Current
- Reliable

Assessment should be integrated into everyday work to make the most of opportunities that arise naturally within the workplace.

## **5.5 Methods for assessing competence**

Qualifications may be assessed using any method, or combination of methods in Section 5.1, which clearly demonstrate that the learning outcomes and assessment criteria have been met.

Assessors need to be able to select the right assessment methods for the competences that are being assessed, without overburdening the learner or the assessment process, or interfering with everyday work activities. SFJ Awards expects assessors to use a combination of different assessment methods to make decisions about an individual's occupational competence. Further information on assessment methods is provided below and in the SFJ Awards Assessment Policy.

### **5.5.1 Observation**

SFJ Awards believes that direct observation in the workplace by an assessor or testimony from an expert witness is preferable as it allows for authenticated, valid and reliable evidence. Where learners demonstrate their competence in a real work situation, this must be done without the intervention from a tutor, supervisor or colleague.

However, SFJ Awards recognises that alternative sources of evidence and assessment methods may have to be used where direct observation is not possible or practical.

### **5.5.2 Testimony of witnesses and expert witnesses**

Witness testimonies are an accepted form of evidence by learners when compiling portfolios. Witness testimonies can be generated by peers, line managers and other individuals working closely with the learner. Witnesses are defined as being those people who are occupationally expert in their role.

Testimony can also be provided by expert witnesses who are occupationally competent and familiar with the qualification/unit(s)/criteria. Expert witnesses are the preferred witness type

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<sup>5</sup> Qualification and Component Levels, Ofqual November 2018, <https://www.gov.uk/guidance/ofqual-handbook/section-e-design-and-development-of-qualifications>

recommended by SFJ Awards as they provide a stronger form of evidence which is more easily authenticated and verified.

The assessor should consider witness testimonies of either type as a typical form of evidence. Assessors are therefore responsible for making the final judgement in terms of the learner meeting the evidence requirements of the qualification/unit(s)/criteria.

### **5.5.3 Work outputs (product evidence)**

Examples of work outputs include plans, reports, budgets, photographs, videos or notes of an event. Assessors can use work outputs in conjunction with other assessment methods, such as observation and discussion, to confirm competence and assure authenticity of the evidence presented.

### **5.5.4 Professional discussion**

Professional discussions are a free-flowing two-way dialogue between the assessor and learner. It should not be confused with questioning where the assessor asks specific questions and the learner provides answers. Discussions allow the learner to describe and reflect on their performance and knowledge in relation to the standards. Assessors can use discussions to test the authenticity, validity and reliability of a learner's evidence. Written/audio/electronic records of discussions must be maintained.

### **5.5.5 Questioning the learner**

Questioning can be carried out orally or in written form and used to cover any gaps in assessment or corroborate other forms of evidence. Written/audio/electronic records of all questioning must be maintained.

### **5.5.6 Simulations**

Simulations may take place either in an operational or non-operational environment, for example a training centre, or in the learner's workplace. Proposed simulations must be reviewed to ensure they are fit for purpose as part of the IQA's pre-delivery activity.

Simulations can be used when:

- the employer or assessor consider that evidence in the workplace will not be demonstrated within a reasonable timeframe
- there are limited opportunities to demonstrate competence in the workplace against all the assessment criteria
- there are health and safety implications due to the high risk nature of the work activity
- the work activity is non-routine and assessment cannot easily be planned for
- assessment is required in more difficult circumstances than is likely to happen day to day.

Simulations must follow the principles below:

1. The nature of the contingency and the physical environment for the simulation must be realistic
2. Learners should be given no indication as to exactly what contingencies they may come across in the simulation
3. The demands on the learner during the simulation should be no more or less than they would be in a real work situation
4. Simulations must be planned, developed and documented by the centre in a way that ensures the simulation correctly reflects what the specific qualification unit seeks to assess and all simulations should follow these documented plans
5. There should be a range of simulations to cover the same aspect of a unit and they should be rotated regularly.

## 5.6 Assessing knowledge and understanding

Knowledge-based assessment involves establishing what the learner knows or understands at a level appropriate to the qualification. The depth and breadth of knowledge required at the different qualification levels are defined in Ofqual's level descriptors.<sup>6</sup> Further information on qualification levels is included in the SFJ Awards Assessment Policy.

Assessments must be:

- Fair
- Robust
- Rigorous
- Authentic
- Sufficient
- Transparent
- Appropriate

Good practice when assessing knowledge includes use of a combination of assessment methods to ensure that as well as being able to recall information, the learner has a broader understanding of its application in the workplace. This ensures that qualifications are a valid measure of a learner's knowledge and understanding.

A proportion of any summative assessment may be conducted in controlled environments to ensure conditions are the same for all learners. This could include use of:

- Closed book conditions, where learners are not allowed access to reference materials
- Time bound conditions
- Invigilation.

## 5.7 Methods for assessing knowledge and understanding

Qualifications may be assessed using any method, or combination of methods in Section 5.1, which clearly demonstrate that knowledge-based learning outcomes and assessment criteria have been met. Evidence of assessment, examples listed below, can be included in a portfolio of evidence.

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<sup>6</sup> Qualification and Component Level, Ofqual November 2018

<https://www.gov.uk/guidance/ofqual-handbook/section-e-design-and-development-of-qualifications>

- a) Written tests in a controlled environment
- b) Multiple choice questions
- c) Evidenced question and answer sessions with assessors
- d) Evidenced professional discussions
- e) Written assignments (including scenario-based written assignments).

Where written assessments are used centres must maintain a bank of assessments that are sufficient to be changed regularly.

## **5.8 Assessment planning**

Planning assessment allows a holistic approach to be taken. Holistic assessments are those which focus on assessment of the learner's work activity as a whole. This means that the assessment:

- reflects the skills requirements of the workplace
- saves time and streamlines processes
- makes the most of naturally occurring evidence opportunities.

Planning assessment enables assessors to track learners' progress and incorporate feedback into the learning process. By effectively planning assessors can therefore be sure that learners have had sufficient opportunity to acquire the skills and knowledge to perform competently and consistently to the standards before being assessed. As a consequence the assessment is a more efficient, cost effective process which minimises the burden on learners, assessors and employers.

## **5.9 Standardisation**

Internal and external standardisation is required to ensure the consistency of evidence, assessment decisions and qualifications awarded over time. Written/audio/electronic records of all standardisation must be maintained, including records of all involved parties.

IQAs should facilitate internal standardisation events for assessors to attend and participate to review evidence used, make judgments, compare quality and come to a common understanding of what is sufficient. In addition, it is also good practice to participate in external standardisation activities. SFJ Awards will facilitate external standardisation events which are open to centres and their teams.

Further information on standardisation is available in the SFJ Awards Quality Assurance (Internal and External) Policy and the SFJ Awards Standardisation Policy.

## **5.10 Recognition of Prior Learning (RPL)**

Recognition of prior learning (RPL) is the process of recognising previous formal, informal or experiential learning so that the learner avoids having to repeat learning/assessment within a new qualification. RPL is a broad concept and covers a range of possible approaches and

outcomes to the recognition of prior learning (including credit transfer where an awarding organisation has decided to attribute credit to a qualification).

The use of RPL encourages transferability of qualifications and/or units, which benefits both learners and employers. SFJ Awards supports the use of RPL and centres must work to the principles included in Section 6 Assessment and Quality Assurance of the SFJ Awards Centre Handbook and outlined in SFJ Awards Recognition of Prior Learning Policy.

### **5.11 Equality and diversity**

Centres must comply with legislation and the requirements of the RQF relating to equality and diversity. There should be no barriers to achieving a qualification based on:

- Age
- Disability
- Gender
- Gender reassignment
- Marriage and civil partnerships
- Pregnancy and maternity
- Race
- Religion and belief
- Sexual orientation

Reasonable adjustments are made to ensure that learners who have specific learning needs are not disadvantaged in any way. Learners must declare their needs prior to the assessment and all necessary reasonable adjustment arrangements must have been approved by SFJ Awards and implemented before the time of their assessment.

Further information is available in the SFJ Awards Reasonable Adjustments and Special Considerations Policy and the SFJ Awards Equality of Opportunity Policy.

### **5.12 Health and safety**

SFJ Awards is committed to safeguarding and promoting the welfare of learners, employees and volunteers and expect everyone to share this commitment.

SFJ Awards fosters an open and supportive culture to encourage the safety and well-being of employees, learners and partner organisations to enable:

- learners to thrive and achieve
- employees, volunteers and visitors to feel secure
- everyone to feel assured that their welfare is a high priority.

Assessment of competence based qualifications in the justice sector can carry a high-risk level due to the nature of some roles. Centres must therefore ensure that due regard is taken to assess and manage risk and have procedures in place to ensure that:

- qualifications can be delivered safely with risks to learners and those involved in the assessment process minimised as far as possible
- working environments meet relevant health and safety requirements.

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