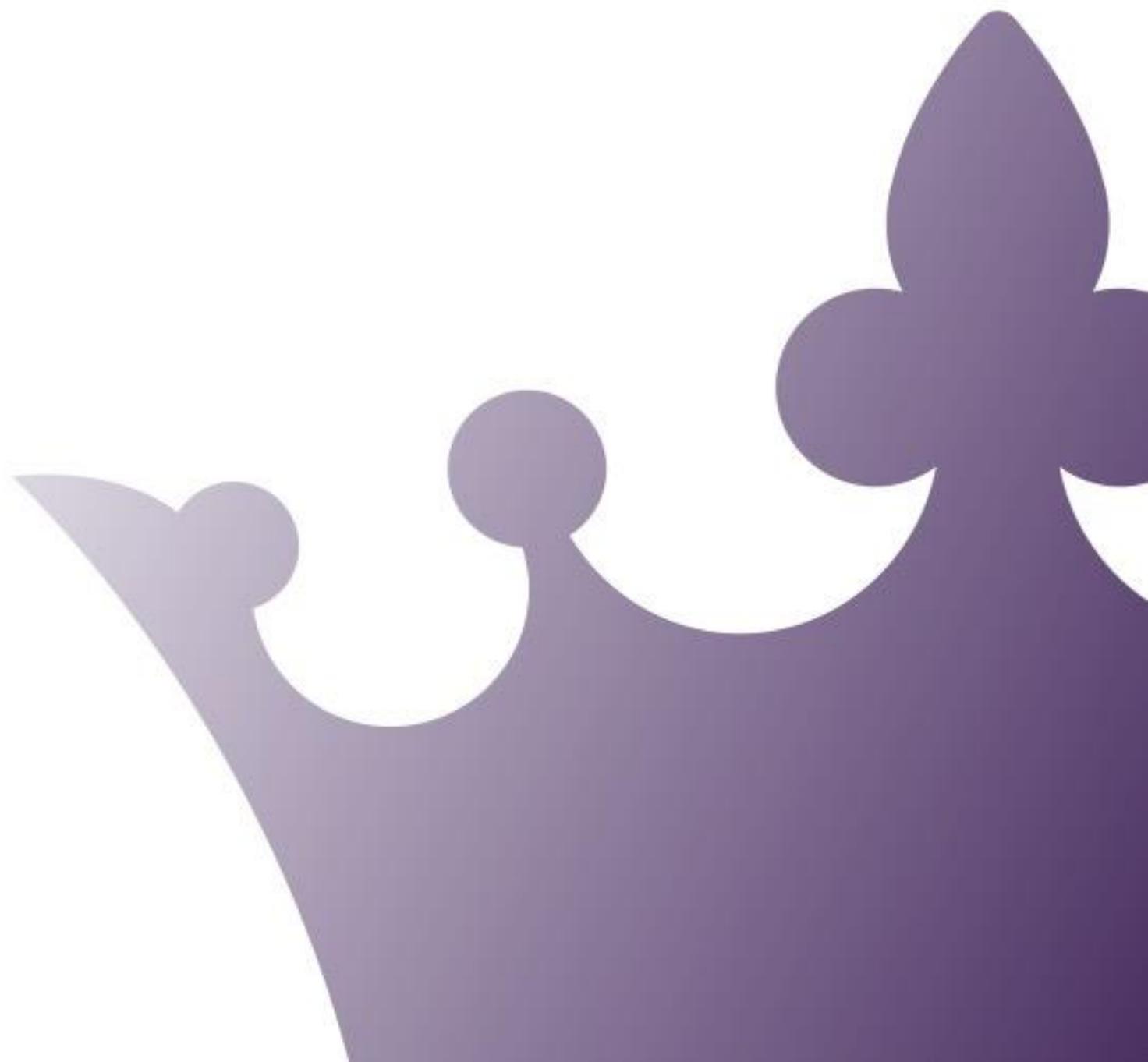# Fraud Prevention

Qualification Handbook

SFJ Awards Level 4 Professional Certificate in Fraud Prevention

Qualification Number: 603/6196/7

Version	Date of issue	Amendment(s)	Page
V1	30.07.20	N/A	

QD2.10 Qualification Handbook (v1)　　　2　　　© SFJ Awards
SFJ Awards Level 4 Professional Certificate in Fraud Prevention

Contents

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
Consult House
Meadowcourt Business Park
4 Hayland Street
Sheffield
S9 1BY

Tel: 0114 284 1970
E-mail: info@sfjawards.com
Website: 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 Prevention

This qualification has been developed by SFJ Awards in collaboration with <u>Cifas</u>, 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 Prevention** is to enable the learner to understand and assess the risk of fraud facing an organisation, and to be able to develop prevention strategies.

The learner will explore the nature of fraud, what motivates people to commit it, and how to identify fraud indicators. They will also consider how technology can both enable fraud as well as be a defence against it. Looking at the ways organisations can deter fraud through fraud risk management and counter fraud policies, the learner will develop skills to develop a fraud prevention programme. They will also look at how to protect individuals through the delivery of fraud prevention advice and support, and learn how to plan a fraud prevention campaign.

2.2   Pre-entry requirements

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

2.3   Qualification structure

The learner must achieve five mandatory units.

The unit *Understanding Fraud and Fraudsters* is also included in the SFJ Awards Level 4 Professional Certificate in Fraud Investigation. 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
K/618/3181	1465	Deterring Fraud in Organisations	4	21	5
M/618/3182	1466	Protecting Individuals from Fraud	4	14	3
T/618/3183	1467	Fraud Prevention Campaigns	4	7	2
A/618/3184	1468	Use of Technology to Prevent Fraud	4	7	1

2.4   Total Qualification Time (TQT)

Values for Total Qualification Time[1], 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

- 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

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[1] Total Qualification Time, Ofqual November 2018
https://www.gov.uk/guidance/ofqual-handbook/section-e-design-and-development-of-qualifications

- 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 Prevention	124	56

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 or on request from SFJ Awards.

3 Qualification Units

Title	Understanding Fraud and Fraudsters
Level	4
Credit Value	1
GLH	7

Learning Outcomes *The learner will:*	Assessment Criteria *The learner can:*	Guidance
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: • Cyber/digital fraud • Financial crime
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: • offshore jurisdictions • stocks and bonds are used to launder the proceeds of crime	AC2.1 to include • Sole trader • Partnerships • Limited companies • Shell companies

	2.3	Describe how trusts are used in the money laundering process	
3. Understand why people commit fraud	3.1	Analyse the main motivational theories as to why people commit fraud	AC3.1 may include: • White collar crime Sutherland 1940 • Fraud triangle Cressey 1950 • Fraud Diamond Wolfe and Hermanson 2004 • ABC Ramamoortie 2009 • MICE Kranacher 2011 • The new fraud triangle model KASSEM, R. And HIGSON, A.W 2012
	3.2	Explain how to apply knowledge of motivational theories to prevent and detect fraud	
	3.3	Define the elements that are required for the occupational fraudster to commit fraud	
4. Understand fraud and financial crime typologies and key enablers	4.1	Explain external fraud typologies relevant to organisations	AC4.1 may include reference to: • Advanced fee payments • Financial investments • Boiler room fraud • Ponzi schemes • Consumer and retail • Computer software service fraud • Banking and credit industry fraud • Application fraud • Mandate fraud • Insurance related fraud • Procurement fraud • Computer misuse crime AC4.2 may include: • Fraudulent financial reporting • Asset misappropriation • Occupational fraud
	4.2	Explain the range of internal fraud typologies	
	4.3	Describe bribery, corruption and abuse of trust typologies	
	4.4	Explain how individuals are recruited to become money mules	
	4.5	Explain the different types of fraud enablers	
	4.6	Analyse how enablers facilitate fraud	

		AC4.5 may include: • Professional enablers • Digital enablers • Financial enablers
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: • Financial • Personal • Products • Lifestyle • Behaviour

Additional information about the unit	
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.

Title	Deterring Fraud in Organisations
Level	4
Credit Value	5
GLH	21

Learning Outcomes The learner will:	Assessment Criteria *The learner can:*	Guidance
1. Understand the principles of fraud deterrence	1.1 Explain the role of fraud prevention, detection, investigation and sanctions in the delivery of successful fraud deterrence 1.2 Analyse the role of corporate governance in deterring fraud 1.3 Describe how to prepare a fraud deterrence strategy	AC1.2 could include reference to Chartered Institute of Management Accountants – Fraud Risk Management: A Guide to Good Practice
2. Understand fraud risk management	2.1 Explain the principles of fraud risk management 2.2 Describe internal and external fraud risks used to compile a typology index	AC2.1 could include reference to Chartered Institute of Management Accountants – Fraud Risk Management: A Guide to Good Practice

3. Understand fraud risk methodology	3.1 Describe how to record and assess identified fraud risks in a risk register	
	3.2 Explain the controls and information needed to mitigate fraud risks within an organisation	
	3.3 Describe how to develop action plans to deal with residual fraud risks	
	3.4 Summarise the content of a fraud risk management report	
	3.5 Explain how to monitor and review the effectiveness of fraud controls	
4. Understand counter fraud policies and plans	4.1 Explain the elements of a counter fraud policy and response plan	AC4.1 could include reference to the Fraud Advisory Panel guidance
	4.2 Describe how to prepare a protocol document outlining how departments will work together to deter fraud	
	4.3 Explain the requirements of an annual fraud deterrence report	
5. Understand a fraud prevention programme	5.1 Explain the component parts of a fraud prevention programme	
	5.2 Summarise the policies and procedures required to prevent fraud	
	5.3 Explain the importance of stakeholder engagement	AC5.3 could include the need to gain top level commitment and resources

6. Understand the life cycle of a fraud prevention programme	6.1	Summarise how to plan a fraud prevention programme	
	6.2	Explain the departments that need to be involved in the fraud prevention programme	AC6.2 may include for example internal audit, external audit and compliance
	6.3	Explain how to implement a fraud prevention programme across an organisation	
	6.4	Explain how to review a fraud prevention programme	
	6.5	Describe how to report on effectiveness of fraud prevention programme to stakeholders	
	6.6	Explain how to share best practice in fraud prevention programmes between internal and external stakeholders	
7. Understand how employees are protected when reporting concerns relating to fraud	7.1	Summarise the legislation relating to the protection of employees who report concerns	AC7.1 to include Public Interest Disclosure Act 1998
	7.2	Explain how the legislation protects employees in the workplace	
	7.3	Explain the relevance of the legislation to fraud prevention	

Additional information about the unit	
Unit aim(s)	The aim of this unit is to provide learners with the knowledge of how organisations can deter fraud, including fraud risk management and methodology and counter fraud policies and plans. The unit also covers knowledge of fraud prevention programmes and how employees are protected when reporting concerns relating to fraud.

Title	Protecting Individuals from Fraud
Level	4
Credit Value	3
GLH	14

Learning Outcomes The learner will:	Assessment Criteria The learner can:	Guidance
1. Understand the threat of fraud to individuals	1.1 Explain how individuals are susceptible to fraud 1.2 Compare different victim profiles across fraud typologies 1.3 Explain how to identify those at further risk following a reported fraud 1.4 Analyse methods to reduce the risk of fraud to individuals	AC1.1 may include the use of: • Landline and mobile phones • Computer • Mail • In person (i.e. the 5 routes) AC1.2 to include the most common fraud typologies (boiler room, phishing and smishing scams, pension liberation, home buying, romance)
2. Understand the use of disruption to prevent fraud	2.1 Explain how fraud enablers are identified 2.2 Describe techniques available to disrupt use of fraud enablers 2.3 Explain how to share lessons learnt to prevent others becoming a victim of fraud	AC2.2 Range of techniques which may include: • Website take down • Denial of bank accounts • Use of telecommunications • Liaison with professional bodies

3. Understand the delivery of fraud prevention advice to individuals	3.1	Explain the range of fraud prevention advice available to support individuals	AC3.1 may include advice that supports the 5 routes – landline phone, mobile phone, computer, mail, in person
	3.2	Analyse methods of delivering fraud prevention advice	
	3.3	Compare stakeholders involved in delivering fraud prevention advice	AC3.3 will include private, public and third sector organisations
	3.4	Evaluate the effectiveness of fraud prevention advice	
4. Understand the support available for fraud victims	4.1	Explain the role of organisations who offer support for victims of fraud	AC4.1 may include: • Citizens Advice • Trading Standards • Financial institutions • Victim Support • Government
	4.2	Describe the support services available to victims of fraud	AC4.2 may include: • Victims Strategy (Ministry of Justice) • Code of Practice for Victims of Crime / Victims' Code (Ministry of Justice) • Contingent Reimbursement Model (CRM) Code (Lending Standards Board)
	4.3	Explain how victims of fraud can access support	
Additional information about the unit			
Unit aim(s)	This unit aims to provide learners with the knowledge of how individuals can be protected from fraud, the delivery of fraud prevention advice and the support available for victims.		

Title	Fraud Prevention Campaigns
Level	4
Credit Value	2
GLH	7

Learning Outcomes *The learner will:*	Assessment Criteria *The learner can:*		Guidance
1. Understand fraud reduction plans	1.1	Summarise the sources of fraud data	Developing Crime Reduction Plans (Home Office)
	1.2	Explain how data is used to identify individuals and organisations at risk from fraud	
	1.3	Explain the components of a fraud reduction plan	
	1.4	Explain the role of campaigns in a fraud reduction plan	
2. Understand how to plan a fraud prevention campaign	2.1	Describe stakeholders in a fraud prevention campaign	Planning may include marketing principles/models such as the 'four C's' (collaboration, communication, coordination, creativity)
	2.2	Explain fraud prevention campaign parameters to include: • Area (local, national or international) • Timing considerations • Media to be used • Call to action	

		2.3	Explain how to resource a fraud prevention campaign	AC2.3 resources could include for example financial, people, sponsorship
		2.4	Analyse how key messages and language can be used in a campaign	
		2.5	Analyse channels to communicate the fraud prevention message	
		2.6	Summarise ways to deal with responses to the campaign	
		2.7	Explain methods to monitor the campaign	
		2.8	Explain how to evaluate a fraud prevention campaign	
3.	Be able to plan a fraud prevention campaign	3.1	Produce a fraud prevention campaign plan	
Additional information about the unit				
Unit aim(s)		This unit aims to provide learners with the knowledge of how campaigns are used in fraud prevention and the skills to produce a fraud prevention campaign plan.		

Title	Use of Technology to Prevent Fraud
Level	4
Credit Value	1
GLH	7

Learning Outcomes *The learner will:*	Assessment Criteria *The learner can:*	Guidance
1. Understand how technology is used by fraudsters	1.1 Explain how digital and online retail platforms and devices are susceptible to fraud 1.2 Explain how technology can be used to enable fraud	AC1.1 may include online platforms such as e-bay
2. Understand how technology can detect fraud	2.1 Explain the use of technology in detecting fraud 2.2 Describe the benefits of using technology to detect fraud 2.3 Critically compare software available to detect fraud	AC2.1 may include: • Spotting patterns of fraud that has occurred or is occurring • Transaction monitoring • Pattern analysis • Trending and statistics • Insider threat modelling
3. Understand how technology can be used to prevent fraud	3.1 Explain the use of data analytics in preventing fraud 3.2 Analyse the role of artificial intelligence and machine learning in preventing fraud	AC3.1 may include link analysis, data visualisation, predictive modelling

	3.3	Evaluate the benefits of automated screening of data	
	3.4	Critically compare software available to prevent fraud	AC3.4 may include: • Virus software • Password protection systems focused on stopping fraud from occurring • Securing the customer • Protecting data • Securing the service provider/point of sale • Vetting • Customer and supplier due diligence using online tools and credit checks

Additional information about the unit	
Unit aim(s)	This unit aims to provide learners with the knowledge of how technology is used by fraudsters and how technology can be used to prevent fraud.

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[2] that can be used for the SFJ Awards Level 4 Professional Certificate in Fraud Prevention 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.

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[2] Selected from the Ofqual list on submission to the Register of Regulated Qualifications

Internal quality assurers (IQAs) must also:

- 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[3] 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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[3] 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[4] 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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[4] 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.[5] 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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[5] 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.[6] 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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[6] 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) Guidance 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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