



SVQ in Regulatory Services at SCQF Level 7



Qualification Handbook

SVQ in Regulatory Services at SCQF Level 7

Qualification Code: GP7M 47

Version	Date of issue	Amendment(s)	Page
V1	25.09.2019	Finalise with qualification code and amends requested by SQA Accreditation	Various
Draft V2	08.03.2019	Various based on SQA Accreditation feedback	-
Draft V1	17.04.2018	N/A	-

Contents

Contents	3
1 Introduction	4
1.1 About us	4
1.2 Customer Service Statement	4
1.3 Centre support	4
2 The Qualification	5
2.1 Qualification objective	5
2.2 Pre-entry requirements	5
2.3 Qualification structure	5
2.4 SCQF Overall Credit Value	7
2.5 Age restriction	7
2.6 Opportunities for progression	7
2.7 Use of languages	8
3 Qualification Units	9
Mandatory Units – Group A	9
Optional Units – Group B	30
Optional Units – Group C	35
4 Centre Requirements	62
5 Assessment	63
5.1 Qualification assessment methods	63
5.2 Assessor and internal quality assurer requirements	63
5.3 Expert witnesses	66
5.4 Assessing competence	67
5.5 Methods for assessing competence	67
5.6 Assessing knowledge and understanding	69
5.7 Methods for assessing knowledge and understanding	70
5.8 Assessment planning	70
5.9 External quality assurance	70
5.10 Standardisation	71
5.11 Recognition of Prior Learning (RPL)	71
5.12 Equality and diversity	72
5.13 Health and safety	72

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:

SVQ in Regulatory Services at SCQF Level 7

The main objective of this qualification is to prepare learners who work in regulatory services to be able to contribute to the effectiveness of investigation teams, provide enforcement information and advice, ensure health and safety requirements have been met, and liaise with other services in line with their own regulatory area of responsibility.

The Regulatory Services sector includes:

- Environmental Health
- Trading Standards
- Food Hygiene
- Pest Control
- Planning and Building Control
- Licensing

2.2 Pre-entry requirements

There are no pre-entry requirements for enrolling to complete this qualification.

2.3 Qualification structure

To be awarded this qualification the learner must achieve a minimum of 8 units, to include:

- all 5 mandatory units from Group A
- a minimum of 1 unit from Group B
- a minimum of 2 units from Group C

The units are listed on the following pages.

Mandatory Units – Group A (all units to be achieved)				
NOS Reference	Odyssey Reference	Unit Title	Level	SCQF Credit Value
SFSINV1	1317	Contribute to the effectiveness of investigation teams	7	14
SFSENF8	1318	Provide enforcement information and advice	7	14
CFAMLE6	1319	Ensure health and safety requirements are met in your area of responsibility	7	11
LSIAG12	1320	Liaise with other services	7	12
SFJZA1	1321	Receive, transmit, store and retrieve information	6	6

Optional Units – Group B (a minimum of 1 unit to be achieved)				
NOS Reference	Odyssey Reference	Unit Title	Level	SCQF Credit Value
SFSCWD15	1322	Provide witness statements of breaches of law and regulations	6	9
EUSWFRBE2	1323	Provide information for use in legal procedures	6	4

Optional Units – Group C (a minimum of 2 units to be achieved)				
NOS Reference	Odyssey Reference	Unit Title	Level	SCQF Credit Value
SFJCCDA1.3	1324	Search databases and sources of information	6	6
SFJ6121	1325	Provide technical guidance	7	9
EUSTPO13	1326	Take samples and measurements for quality assurance purposes	6	12
PROGP35	1327	Provide operational support	7	9
SFSINV7	1328	Investigate sources of information and develop intelligence for investigations	8	14
SFJDA101	1329	Provide expert evidence to courts and hearings	8	15

2.4 SCQF Overall Credit Value

The SCQF Overall Credit Value for this qualification is as follows:

Qualification Title	Minimum Credits	Maximum Credits
SVQ in Regulatory Services at SCQF Level 7	76	95

2.5 Age restriction

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

2.6 Opportunities for progression

This qualification creates a number of opportunities for progression within the Regulatory Services profession.

2.7 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

Mandatory Units – Group A

Title	Contribute to the effectiveness of investigation teams	
Odyssey Reference	1317	
NOS	SFSINV1	
SCQF Level	7	
SCQF Credit Value	14	
Learning Outcomes <i>The learner will:</i>	Assessment Criteria <i>The learner can:</i>	Guidance/NOS Reference
1. Understand legal and organisational requirements for conducting investigation operations safely	1.1 Summarise current legislation, regulations, codes of practice and guidelines relating to: <ul style="list-style-type: none"> • investigation techniques and procedures • health and safety, and how to comply • maintaining records 1.2 Explain organisational policies and procedures for conducting investigation operations safely	NOS – K+U: 1-2

<p>2. Understand how to create and maintain professional relationships with investigation colleagues and stakeholders</p>	<p>2.1 Describe actions to take when requests for assistance fall outside own area of expertise, knowledge or ability</p> <p>2.2 Explain how to interact with others efficiently without adversely affecting own work</p> <p>2.3 Explain how to consult with and help team members share work and joint responsibilities effectively and efficiently</p> <p>2.4 Explain the information networks used within own organisation, including how to maintain confidentiality</p> <p>2.5 Explain how to report unresolved difficulties within a working relationship to an appropriate authority</p>	<p><i>NOS – K+U: 3-7</i></p>
<p>3. Understand how to minimise the risk to the health and safety of self and others during investigation operations</p>	<p>3.1 Explain how to recognise and respond appropriately to potential hazards and risks to self and others when carrying out investigation operations</p> <p>3.2 Explain how to safely use and maintain the technical equipment used during investigation operations</p> <p>3.3 Explain how to report and record details of incidents during investigation operations</p> <p>3.4 Explain how own way of working and personal conduct affects the health and safety of self and others</p>	<p><i>NOS – K+U: 8-11</i></p>
<p>4. Understand how to maintain records of personal investigation activity</p>	<p>4.1 Explain the importance of making accurate records of investigation activities</p> <p>4.2 Explain the importance of maintaining the confidentiality of records</p>	<p><i>NOS – K+U: 12-15</i></p>

	<p>4.3 Explain how to maintain the confidentiality of records</p> <p>4.4 Explain how to use an appropriate style and format for recording information</p> <p>4.5 Explain how and where the details of investigation activities can be used</p>	
<p>5. Be able to create and maintain professional relationships with investigation colleagues and stakeholders</p>	<p>5.1 Recognise the limitations of own knowledge and skills, and when required, request assistance in a manner which promotes a positive response</p> <p>5.2 Respond positively to requests for assistance from colleagues which fall within own area of expertise and ability</p> <p>5.3 Make effective and mutually beneficial arrangements regarding division of work, joint responsibilities and resources</p> <p>5.4 Discuss, resolve or factually report significant difficulties in working relationships to an appropriate authority</p> <p>5.5 Develop, use and manage information networks with regard to the need for confidentiality</p>	<p><i>NOS – PC:1-5</i></p>
<p>6. Be able to minimise risk to health and safety of self and others during investigation operations</p>	<p>6.1 Recognise and respond appropriately to potential hazards and risks to self and others when carrying out investigation operations</p> <p>6.2 Take prompt, evasive action, if required, to minimise any risks to self and others</p> <p>6.3 Use operational equipment safely, correctly and in accordance with manufacturer’s instructions</p>	<p><i>NOS – PC:6-11</i></p> <p>Evidence must cover the following range related to this performance criteria:</p>

	<p>6.4 Behave in a manner which promotes the safety of self and others</p> <p>6.5 Carry out investigation operations in accordance with organisational procedures</p> <p>6.6 Report and record details of incidents promptly and in accordance with legal requirements</p>	<ul style="list-style-type: none"> • Risks – Physical, environmental and personal • Investigation operations – Interviewing, searching and surveillance • Incidents – Accident, attack and threatening behaviour
7. Be able to maintain records of personal investigation activity	<p>7.1 Make records of investigation activity as soon as practical, following an appropriate format</p> <p>7.2 Maintain records of investigations that are clear, succinct and contain all essential details</p> <p>7.3 Maintain the security and confidentiality of all recorded information</p>	NOS – PC:12-14
Additional information about the unit		
Unit aim(s)	This unit will provide the learner with the knowledge and skills to work within a team to conduct investigation operations safely effectively and efficiently.	
Assessment guidance	This unit requires a workplace assessment of occupational competence to cover the knowledge, understanding and skills criteria.	

Title	Provide enforcement information and advice	
Odyssey Reference	1318	
NOS	SFSENF8	
SCQF Level	7	
SCQF Credit Value	14	
Learning Outcomes <i>The learner will:</i>	Assessment Criteria <i>The learner can:</i>	Guidance/NOS Reference
1. Understand the legal and organisational requirements relating to enforcement	1.1 Summarise current relevant legislation, law, codes of practice and guidelines relating to enforcement	NOS – K+U:1
2. Understand how to communicate when providing enforcement information and advice	2.1 Explain how to give information and check understanding	NOS – K+U:2
3. Understand how to manage complaints	3.1 Explain how to manage conflict 3.2 Describe acceptable alternatives that may be offered to customers 3.3 Explain organisational policies and procedures for handling and dealing with complaints	NOS – K+U:3-5
4. Understand the organisational context	4.1 Explain why it is important to know about products and organisational procedures 4.2 Explain organisational policies and procedures for customer service and customer relationships and how these apply to own role	NOS – K+U:6-7

<p>5. Be able to provide enforcement information and advice</p>	<p>5.1 Acknowledge promptly and politely requests for information and advice</p> <p>5.2 Clarify accurately and confirm the individuals' needs for information and advice</p> <p>5.3 Communicate with individuals clearly and in ways most likely to be understood by the individual</p> <p>5.4 Take action that is supportive of the individuals' needs and takes in to consideration the individuals' situation</p> <p>5.5 Give individuals accurate advice about how best to meet their needs when the information and advice required cannot be provided directly</p> <p>5.6 Ensure information and advice provided is up-to-date, accurate and complete</p> <p>5.7 Ask individuals politely to confirm that the information provided meets their needs</p> <p>5.8 Identify and implement alternative ways to meet an individual's needs when they express dissatisfaction with the information provided</p>	<p><i>NOS – PC:1-8</i></p>
<p>6. Be able to assist individuals to resolve complaints</p>	<p>6.1 Identify accurately the nature of complaints from information obtained from individuals</p> <p>6.2 Deal with complaints, acknowledge them clearly and provide appropriate responses</p> <p>6.3 Ensure action to remedy complaints is consistent with standards and policies of customer service</p>	<p><i>NOS – PC:9-12</i></p>

	<p>6.4 Refer the matter to the appropriate person promptly when the action required to deal with complaints is outside own responsibility</p> <p>6.5 Explain the procedure clearly to the customer when the action required to deal with complaints is outside own responsibility</p>	
Additional information about the unit		
Unit aim(s)	This unit provides the learner with the skills and knowledge to be able to provide enforcement information and advice	
Assessment guidance	This unit requires a workplace assessment of occupational competence to cover the knowledge, understanding and skills criteria.	

Title	Ensure health and safety requirements are met in your area of responsibility	
Odyssey Reference	1319	
NOS	CFAMLE6	
SCQF Level	7	
SCQF Credit Value	11	
Learning Outcomes <i>The learner will:</i>	Assessment Criteria <i>The learner can:</i>	Guidance/NOS Reference
1. Understand health and safety in the workplace	1.1 Explain the importance of health and safety in the workplace 1.2 Explain how and where to identify personal responsibilities under health and safety legislation 1.3 Explain how to keep up with legislative and other developments relating to health and safety 1.4 Explain the requirement for organisations to have a written health and safety policy statement 1.5 Explain how to communicate the written health and safety policy statement to people who work in own area of responsibility and other relevant parties 1.6 Explain how and when to review the application of the written health and safety policy statement in own area of responsibility and produce/provide findings to inform development	NOS – K+U:1-14

	<p>1.7 Explain how and when to consult with people in own area of responsibility or their representatives on health and safety issues</p> <p>1.8 Identify sources of specialist expertise in relation to health and safety</p> <p>1.9 Evaluate ways of developing a culture in own area of responsibility which puts health and safety first</p> <p>1.10 Explain the type of hazards and risks that may arise in relation to health and safety</p> <p>1.11 Explain how to establish and use systems for identifying hazards and assessing risks</p> <p>1.12 Describe the type of actions that should be taken to control or eliminate hazards and risks</p> <p>1.13 Explain how to establish systems for monitoring, measuring and reporting on health and safety performance in own area of responsibility</p> <p>1.14 Explain why and how health and safety should inform planning and decision making</p> <p>1.15 Explain the importance of setting a good example to others in relation to health and safety</p> <p>1.16 Describe the type of resources required to deal with health and safety issues</p>	
<p>2. Understand industry/sector-specific health and safety</p>	<p>2.1 Summarise sector-specific legislations, regulations, guidelines and codes of practice relating to health and safety</p> <p>2.2 Identify health and safety risks, issues and developments particular to own industry/sector</p>	<p><i>NOS – K+U:15-16</i></p>

<p>3. Understand health and safety in own area of responsibility</p>	<p>3.1 Identify other relevant parties with an interest in health and safety in own area of responsibility</p> <p>3.2 Explain own organisation's written health and safety policy statement and how it is communicated to:</p> <ul style="list-style-type: none"> • people who work for the organisation • people in own area • other relevant parties <p>3.3 Identify sources of specialist health and safety expertise used in own area of responsibility</p> <p>3.4 Explain the operational plans for own area of responsibility</p> <p>3.5 Describe the resources allocated to and across own area of responsibility for health and safety</p> <p>3.6 Explain the allocated responsibilities for health and safety in own area and the organisation in general</p> <p>3.7 Explain the systems in place in own area of responsibility for identifying hazards, assessing risks and taking action</p> <p>3.8 Explain the systems in place for monitoring, measuring and reporting of health and safety performance in own area of responsibility</p>	<p><i>NOS – K+U:17-24</i></p>
<p>4. Be able to meet health and safety requirements in own area of responsibility</p>	<p>4.1 Identify personal responsibilities and liabilities under health and safety legislation</p> <p>4.2 Communicate clearly the organisation's written health and safety policy statement to all people in</p>	<p><i>NOS – PC:1-12</i></p>

	<p>own area of responsibility and other relevant parties</p> <p>4.3 Ensure the health and safety policy statement is put into practice in own area of responsibility</p> <p>4.4 Review health and safety policy as situations change and at regular intervals</p> <p>4.5 Pass findings from health and safety policy reviews to the appropriate people for consideration</p> <p>4.6 Perform regular consultation on health and safety issues with people in own area of responsibility or their representatives</p> <p>4.7 Seek and make use of specialist expertise in relation to health and safety issues</p> <p>4.8 Ensure that a system for identifying hazards and assessing risk is in place in own area of responsibility</p> <p>4.9 Ensure prompt and effective action is taken to eliminate or control identified hazards and risks in own area of responsibility</p> <p>4.10 Ensure that systems are in place for effective monitoring, measuring and reporting of health and safety performance in own area of responsibility</p> <p>4.11 Show continuous improvement in own area of responsibility in relation to health and safety performance</p>	
--	--	--

	<p>4.12 Make health and safety a priority area in terms of informing planning and decision-making in own area of responsibility</p> <p>4.13 Demonstrate that own actions reinforce the messages in the organisation's health and safety policy statement</p> <p>4.14 Ensure that sufficient resources are allocated across own area of responsibility to deal with health and safety issues</p> <p>4.15 Develop a culture within own area of responsibility which puts health and safety first</p>	
Additional information about the unit		
Unit aim(s)	This unit provides the learner with the skills and knowledge to be able to ensure that health and safety requirements are met in own area of responsibility.	
Assessment guidance	This unit requires a workplace assessment of occupational competence to cover the knowledge, understanding and skills criteria.	

Title	Liaise with other services	
Odyssey Reference	1320	
NOS	LSIAG12	
SCQF Level	7	
SCQF Credit Value	12	
Learning Outcomes <i>The learner will:</i>	Assessment Criteria <i>The learner can:</i>	Guidance
1. Understand the legal, professional and organisational requirements and guidelines for liaising with other services	1.1 Explain the importance of complying with relevant legal, professional and organisational requirements and guidelines 1.2 Explain legislation, codes of practice, organisational policies and procedures relating to own role and liaising with other services	<i>NOS – K+U:1-2</i>
2. Understand the services available, how to access services and what support is available	2.1 Describe services that may require information and the criteria to be used 2.2 Explain the culture and ethos of services 2.3 Describe the range of services and support available 2.4 Identify different methods of communication and how to adapt them to suit the needs and preferences of others 2.5 Identify people who should be informed of procedures relating to liaising with others	<i>NOS – K+U:3-8</i>

	2.6 Explain the importance of understanding the objectives of services	
3. Understand the information required by other services and how to manage it	<p>3.1 Describe the information required by available services</p> <p>3.2 Explain the importance of reaching agreement on types of information exchanged and who is involved in providing information</p> <p>3.3 Describe the priorities of other services</p> <p>3.4 Explain how to disseminate different procedures from services</p> <p>3.5 Identify procedures that need to be reviewed and timescales for review</p> <p>3.6 Explain how to obtain information on requirements and timescales for providing and exchanging information</p> <p>3.7 Explain how to match information to the requirements of services</p> <p>3.8 Describe where information is held</p> <p>3.9 Describe factors that affect the interpretation of material</p> <p>3.10 Explain why it is important to check that services have received the information they require</p> <p>3.11 Explain sources of information that are available and how services can access it</p> <p>3.12 Describe types of information required from services</p>	NOS – K+U:9-26

	<p>3.13 Explain methods that can be used for obtaining information and difficulties that can occur when getting it</p> <p>3.14 Explain how to decide whether information is valid</p> <p>3.15 Explain the importance of protecting information sources</p> <p>3.16 Describe the types of problems that could occur when exchanging information</p> <p>3.17 Describe actions that could be taken to address problems</p> <p>3.18 Explain the importance of addressing problems and the implications of not addressing them</p> <p>3.19 Describe the recording requirements of own organisation, including how to store recorded information securely</p>	
<p>4. Be able to liaise with other services</p>	<p>4.1 Identify services available who you might exchange information with in line with organisational requirements</p> <p>4.2 Consult with services on their information requirements in line with organisational requirements</p> <p>4.3 Agree purpose, scope and procedures for exchanging information with services</p> <p>4.4 Identify roles and responsibilities for exchanging information</p> <p>4.5 Identify priorities of different services for exchanging information</p>	<p><i>NOS – PC:1-20</i></p>

	<p>4.6 Disseminate procedures for exchanging information with services</p> <p>4.7 Review procedures for exchanging information</p> <p>4.8 Confirm information required by services</p> <p>4.9 Identify appropriate information in line with organisational requirements</p> <p>4.10 Assist services to access and interpret information they receive in line with organisational requirements</p> <p>4.11 Confirm with services that information provided is sufficient and appropriate for their needs</p> <p>4.12 Provide services with additional information in line with organisational requirements</p> <p>4.13 Determine methods to be used for obtaining information from services</p> <p>4.14 Access agreed information sources in line with organisational requirements</p> <p>4.15 Obtain information from services using specified methods</p> <p>4.16 Confirm the validity of information provided by services</p> <p>4.17 Protect information sources according to agreed procedures</p> <p>4.18 Identify problems with obtaining information</p> <p>4.19 Comply with all relevant legal, professional, and organisational requirements and guidelines in relation to liaising with other services</p>	
--	--	--

	4.20 Record information in line with organisational requirements	
Additional information about the unit		
Unit aim(s)	This unit will provide the learner with the skills and knowledge to be able to liaise with other services	
Assessment guidance	This unit requires a workplace assessment of occupational competence to cover the knowledge, understanding and skills criteria.	

Title	Receive, transmit, store and retrieve information	
Odyssey Reference	1321	
NOS	SFJZA1	
SCQF Level	6	
SCQF Credit Value	6	
Learning Outcomes <i>The learner will:</i>	Assessment Criteria <i>The learner can:</i>	Guidance
1. Understand legislation and organisational policy in relation to receiving, transmitting, storing and retrieving information	1.1 Explain the legal framework in which access to, and transmission of, information is set 1.2 Explain own responsibility under relevant legislation and organisational policy 1.3 Explain why records which are confidential should be marked to indicate this 1.4 Explain why information received should be accurately recorded 1.5 Explain the importance of filing records again correctly after use 1.6 Explain why it may be necessary to confirm the provision of information to others in different circumstances 1.7 Explain why it is important to take messages accurately and the potential effects of not doing so	<i>NOS – K+U: 1-7</i> AC1.2 for example, Data Protection Act, General Data Protection Regulation and the Access to Health Records Act
2. Understand how to manage information	2.1 Describe the information which may be required and the timescale that is necessary for its provision	<i>NOS – K+U: 8-18</i>

	<p>2.2 Describe different purposes for which information may be required and the degree of detail necessary for these different purposes</p> <p>2.3 Explain the sensitive nature of the information which may need to be dealt with and how this can best be managed</p> <p>2.4 Explain the extent to which messages may differ in importance</p> <p>2.5 Describe the particular aspects which have to be taken into account regarding how information is transmitted</p> <p>2.6 Identify the sort of problems which may arise during the maintenance, storage and retrieval of records and the reasons for reporting these without delay</p> <p>2.7 Explain how to assess the information needs of others</p> <p>2.8 Describe methods of modifying communication appropriate to the individual concerned</p> <p>2.9 Describe effective ways of maintaining confidentiality in any situation</p> <p>2.10 Describe the different methods of obtaining information and those which are appropriate to different circumstances and/or different information</p> <p>2.11 Explain ways of refusing to provide information whilst remaining polite and helpful</p>	
--	--	--

<p>3. Be able to receive, transmit, store and retrieve information</p>	<p>3.1 Accurately record received information consistent with organisational policy</p> <p>3.2 Take messages accurately and pass them on clearly, to the correct person, using an appropriate method</p> <p>3.3 Transmit messages at a time and using a method consistent with their urgency</p> <p>3.4 Transmit information accurately and completely in the required form, consistent with legal and organisational requirements</p> <p>3.5 Provide information required by others within the agreed time and using means appropriate to the situation</p> <p>3.6 Take appropriate measures to safeguard the confidentiality of information which is received or transmitted</p> <p>3.7 Take the appropriate action when there are difficulties in the receipt or transmission of information</p> <p>3.8 Identify the records as correct in relation to their intended purpose</p> <p>3.9 Keep accurate, legible and complete information on records which are to be transferred to another location</p> <p>3.10 Make entries in records that are legible, accurate and complete</p>	<p><i>NOS – PC: 1-14</i></p>
--	--	------------------------------

	<p>3.11 Send items for despatch to the correct location and on time</p> <p>3.12 Store confidential records, when they are not in use, in a safe location in accordance with organisational policy</p> <p>3.13 File records correctly after use</p> <p>3.14 Report any problems with maintaining, storing or retrieving records to the appropriate person with minimum delay</p>	
Additional information about the unit		
Unit aim(s)	This unit provides the learner with the skills and knowledge to be able to receive, transmit, store and retrieve information	
Assessment guidance	This unit requires a workplace assessment of occupational competence to cover the knowledge, understanding and skills criteria.	

Optional Units – Group B

Title	Provide witness statements of breaches of law and regulations	
Odyssey Reference	1322	
NOS	SFSCWD15	
SCQF Level	6	
SCQF Credit Value	9	
Learning Outcomes <i>The learner will:</i>	Assessment Criteria <i>The learner can:</i>	Guidance
1. Understand legal and organisational requirements for providing witness statements of breaches of law and regulations	1.1 Explain current relevant legislation, regulations, codes of practice and guidelines relating to providing witness statements 1.2 Explain the limits and scope of own authority and responsibility for reporting actual or potential breaches of law or regulations 1.3 Describe the type of evidence that will need to be observed and recorded that could go into witness statements 1.4 Describe the details that will need to be recorded so they can be considered as admissible evidence if required	<i>NOS – K+U: 1-4</i>
2. Understand how to prepare witness statements of breaches of law and regulations	2.1 Explain current different formats approved for use in witness statements and how to use them	<i>NOS – K+U: 5-7</i>

	<p>2.2 Explain how to provide sufficient and valid details of breaches that are sufficient for the purpose of witness statements</p> <p>2.3 Explain how to maintain the confidentiality and security of witness statements, including their safe transmission to other authorised people</p>	
<p>3. Be able to recognise and record details of breaches of law and regulations</p>	<p>3.1 Recognise situations where there are actual or potential breaches of law or regulations</p> <p>3.2 Observe significant and relevant evidence of actual or potential breaches sufficient to prepare acceptable witness statements</p> <p>3.3 Record accurately the evidential details of actual or potential breaches</p> <p>3.4 Maintain own safety whilst witnessing actual or potential breaches</p> <p>3.5 Follow the guidance of the relevant codes of practice and own organisation when witnessing actual or potential breaches of law or regulations</p>	<p><i>NOS – PC: 1-5</i></p> <p>AC3.1 'Situations' must include:</p> <ul style="list-style-type: none"> • breaches of law, and • contravention of regulations <p>AC3.2 'Evidence' must include that presented by:</p> <ul style="list-style-type: none"> • self, and • relevant agencies
<p>4. Be able to prepare witness statements of breaches of law and regulations</p>	<p>4.1 Prepare witness statements in approved formats suitable for own and other's use</p> <p>4.2 Provide information that is factual, accurate, complete and relevant to breaches of law or regulations</p> <p>4.3 Maintain the confidentiality and security of witness statements as required by the law, codes of practice and in line with own organisation's policies and procedures</p>	<p><i>NOS – PC: 6-9</i></p> <p>AC4.1 'Formats' must include the following:</p> <ul style="list-style-type: none"> • written word, • sketches, and • photographs

	4.4 Provide authorised persons with witness statements within agreed timescales	
Additional information about the unit		
Unit aim(s)	This unit provides the learner with the skills and knowledge to be able to provide witness statements for breaches of laws and regulations.	
Assessment guidance	This unit requires a workplace assessment of occupational competence to cover the knowledge, understanding and skills criteria.	

Title	Provide information for use in legal procedures	
Odyssey Reference	1323	
NOS	EUSWFRBE2	
SCQF Level	6	
SCQF Credit Value	4	
Learning Outcomes <i>The learner will:</i>	Assessment Criteria <i>The learner can:</i>	Guidance
1. Understand how to provide information for use in legal procedures	1.1 Explain information sources and how to access them 1.2 Explain what constitutes contravention of the regulations for different types of plumbing systems 1.3 Explain different types of risk posed by different contraventions and sanctions and penalties they incur 1.4 Describe different types of supporting documentation 1.5 Explain the limits of personal expertise 1.6 Explain when the information needs to be provided 1.7 Describe formats for presenting information and how to structure reports 1.8 Explain communication skills regarding reading, writing, speaking and listening 1.9 Explain the need for impartial judgements 1.10 Explain who may need the information	NOS – K+U: 1-11 AC1.8 to include the following communication skills: <ul style="list-style-type: none"> • reading • writing

	1.11 Explain organisational and regulatory formats for presenting information about non-compliance	<ul style="list-style-type: none"> speaking listening
2. Be able to provide information for use in legal procedures	<p>2.1 Identify and obtain relevant information and supporting documentation relating to the specified non-compliance</p> <p>2.2 Ensure the information presented is expressed in understandable and unambiguous language with a clear explanation of relevant details</p> <p>2.3 Ensure any opinions and conclusions that are expressed are within area of expertise and are supported by findings</p> <p>2.4 Provide the information to relevant people with required, identified timescales</p> <p>2.5 Present relevant, accurate, clear and comprehensive information in a logical structure and an appropriate format</p>	NOS – PC: 1-5
Additional information about the unit		
Unit aim(s)	This unit provides the learner with the skills and knowledge to be able to provide information for use in legal procedures.	
Assessment guidance	This unit requires a workplace assessment of occupational competence to cover the knowledge, understanding and skills criteria.	

Optional Units – Group C

Title	Search databases and sources of information	
Odyssey Reference	1324	
NOS	SFJCCDA1.3	
SCQF Level	6	
SCQF Credit Value	6	
Learning Outcomes <i>The learner will:</i>	Assessment Criteria <i>The learner can:</i>	Guidance
1. Understand how to search databases and sources of information	1.1 Explain the requirements of organisational procedures that relate to searching databases and sources of information 1.2 Explain the limits of your authority when searching databases and sources of information 1.3 Explain why methods of obtaining information are relevant 1.4 Explain who might be affected and why 1.5 Explain how to validate information and why it is important to do so 1.6 Evaluate the relevance of the information	<i>NOS – K+U: 1-6</i>
2. Be able to search databases and sources of information	2.1 Follow organisational procedures at all times when searching databases and sources of information	<i>NOS – PC: 1-9</i> Evidence must cover the following information sources:

	<p>2.2 Maintain own personal safety when searching databases and sources of information</p> <p>2.3 Work in a way that ensures the safety of others</p> <p>2.4 Identify the best source of information</p> <p>2.5 Obtain information through the research technique that is appropriate to the information source</p> <p>2.6 Validate the obtained information</p> <p>2.7 Report to relevant parties information that might affect the case</p> <p>2.8 Record findings in accordance with organisational requirements</p> <p>2.9 Meet the requirements of the timescale</p>	<ul style="list-style-type: none"> • electronic systems (including databases) • formal reference sources • customer-derived information • local knowledge/third party
Additional information about the unit		
Unit aim(s)	This unit provides the learner with the skills and knowledge to be able to search databases and sources of information	
Assessment guidance	This unit requires a workplace assessment of occupational competence to cover the knowledge, understanding and skills criteria.	

Title	Provide technical guidance	
Odyssey Reference	1325	
NOS	SFJ6121	
SCQF Level	7	
SCQF Credit Value	9	
Learning Outcomes <i>The learner will:</i>	Assessment Criteria <i>The learner can:</i>	Guidance
1. Understand how to provide technical guidance	1.1 Explain organisational policies and procedures for providing advice and technical guidance 1.2 Summarise regulations for providing advice and technical guidance, to include <ul style="list-style-type: none"> • health and safety regulations • security regulations • data protection regulations 1.3 Explain the importance of applying procedures and regulations to own role 1.4 Describe methods for staying up-to-date in own role 1.5 Explain the services for which technical guidance is needed 1.6 Explain how to find out what technical guidance the individual needs	<i>NOS – K+U: 1-13</i>

	<p>1.7 Explain how to communicate technical guidance information</p> <p>1.8 Explain different communication styles used to provide technical guidance</p> <p>1.9 Explain how to support vulnerable people to access services</p> <p>1.10 Explain how to check the individual's understanding of the technical guidance given</p> <p>1.11 Explain other sources of technical guidance to recommend to individuals</p> <p>1.12 Explain common problems experienced by individuals and solutions to these problems</p> <p>1.13 Explain how to identify potential business improvement needs</p> <p>1.14 Explain the importance of maintaining confidentiality</p>	
<p>2. Be able to provide technical guidance</p>	<p>2.1 Apply required security, data protection, health and safety regulations and organisational policies and procedures throughout own working duties</p> <p>2.2 Maintain safety of self and others in line with organisational policies and procedures</p> <p>2.3 Keep technical knowledge up-to-date in line with role and organisational timescales</p> <p>2.4 Confirm the technical guidance needs of the individual in line with organisational policies and procedures</p>	<p><i>NOS – PC: 1-13</i></p>

	<p>2.5 Anticipate problems individuals may encounter when trying to meet policies in line with organisational policies and procedures</p> <p>2.6 Provide solutions to problems experienced by individuals within organisational timescales</p> <p>2.7 Support vulnerable individuals to access services in line with organisational policies and procedures</p> <p>2.8 Use communications methods suited to the individual's needs in line with organisational policies and procedures</p> <p>2.9 Provide technical guidance to the individual within organisational timescales</p> <p>2.10 Check that the individual's needs have been met with the technical guidance within organisational timescales</p> <p>2.11 Direct individuals to other sources of information</p> <p>2.12 Maintain confidentiality with individual in line with security and data protection regulation</p> <p>2.13 Highlight to relevant people business improvement needs based on common guidance requests in line with organisational policies and procedures</p>	
Additional information about the unit		
Unit aim(s)	This unit provides the learner with the skills and knowledge to be able to provide technical guidance.	
Assessment guidance	This unit requires a workplace assessment of occupational competence to cover the knowledge, understanding and skills criteria.	

Title	Take samples and measurements for quality assurance purposes	
Odyssey Reference	1326	
NOS	EUSTPO13	
SCQF Level	6	
SCQF Credit Value	12	
Learning Outcomes <i>The learner will:</i>	Assessment Criteria <i>The learner can:</i>	Guidance
1. Understand the legal, professional, regulatory and organisational requirements for taking samples and measurements for quality assurance purposes	1.1 Summarise the main principles of health, safety and hygiene legislation and regulations 1.2 Summarise environmental protection legislation and measures to reduce harmful emissions and substances 1.3 Explain the regulatory requirements for taking samples and measurements for quality assurance purposes 1.4 Explain how to manage waste when taking samples and measurements for quality assurance purposes 1.5 Explain the roles and responsibilities of those involved in maintaining safety when taking samples and measurements for quality assurance purposes 1.6 Explain own duty of care when taking samples and measurements for quality assurance purposes	

	<p>1.7 Explain personal conduct, behaviour and responsibilities towards colleagues and the general public</p> <p>1.8 Explain how to use personal protective equipment when taking samples and measurements for quality assurance purposes</p> <p>1.9 Explain how to maintain safety when taking samples and measurements for quality assurance purposes</p>	<p>AC1.9 for example, smoking, eating, drinking and drugs</p>
<p>2. Understand how to take samples and measurements for quality assurance purposes</p>	<p>2.1 Explain quality assurance procedures, and the factors which can affect the quality of sampling and measurement work</p> <p>2.2 Explain the roles and responsibilities for containing negative impacts on the environmental conditions</p> <p>2.3 Explain powers of access and how to gain access to sampling and measurement locations</p> <p>2.4 Explain how to maintain safe and hygienic conditions when taking samples and measurements</p> <p>2.5 Explain how to use and transport equipment, materials and samples to prevent contamination of samples</p> <p>2.6 Explain how to prepare and take samples and measurements and the implications of incorrect techniques</p> <p>2.7 Describe types and use of sampling and measurement equipment and other materials</p>	

	<p>2.8 Explain the implications of using inappropriate or defective equipment or failing to report it</p> <p>2.9 Explain how to maintain the condition and security of sampling and measurement locations and the implications of inaccurate measurement and contaminations</p> <p>2.10 Explain how to maintain sampling and measurement equipment and calibrate it where required</p>	
<p>3. Understand how to manage samples and measurements</p>	<p>3.1 Explain how to store and transport samples</p> <p>3.2 Explain how to dispose of waste and reagents and the dangers of disposing of them incorrectly</p> <p>3.3 Explain how to identify abnormalities in measurement results</p> <p>3.4 Summarise recording and reporting procedures when taking samples and measurements</p> <p>3.5 Explain the implications of not reporting sampling and measurement results outside the expected range</p> <p>3.6 Summarise customer service procedures and how to minimise disruption to the customer</p> <p>3.7 Explain the process for recording sample and measurement results, and affixing sample labels</p> <p>3.8 Explain the importance of efficient work scheduling and planning own daily work activities</p> <p>3.9 Explain the process for compiling, administering and filing records and reports</p>	

	<p>3.10 Explain how data is used for quality assurance, monitoring, and audit</p> <p>3.11 Explain the role and purpose of data audit trails and how to use and maintain them</p> <p>3.12 Explain the importance of checking information which is received from other people for accuracy, validity and meaning</p> <p>3.13 Explain how to recognise inaccurate information</p> <p>3.14 Explain how to interpret instructions accurately</p> <p>3.15 Explain how to resolve misunderstandings</p> <p>3.16 Identify ways of recording verbal, written, and computerised information and when each should be used</p> <p>3.17 Explain how to use data storage systems and the importance of storing information and documentation in the correct location</p> <p>3.18 Explain the employer's requirements for storing information and documentation</p> <p>3.19 Explain how information is used by other people</p> <p>3.20 Explain what information is provided to other people relating to sampling and measurement activities</p> <p>3.21 Explain the importance of supplying accurate and legible information and in an appropriate format within identified timescales</p>	
--	--	--

<p>4. Be able to plan and organise work and equipment</p>	<p>4.1 Organise pre-scheduled work and any other additional work which has been specified</p> <p>4.2 Make sure the condition of the equipment and how it is stored conform to manufacturers' specifications and employers' procedures</p> <p>4.3 Confirm the sample containers and labels are suitable for the work which is planned</p> <p>4.4 Obtain the required Personal Protective Equipment (PPE) and confirm it is suitable for the work schedule</p> <p>4.5 Confirm the means and reliability of travelling to different sampling and measurement locations</p>	
<p>5. Be able to handle materials and equipment according to specifications</p>	<p>5.1 Handle materials, equipment and samples safely and in ways which do not expose risks to health and safety</p> <p>5.2 Handle, use, move, and store materials and equipment in ways which will prevent any contamination to samples</p> <p>5.3 Use safe lifting and moving techniques to avoid danger to self or other people</p> <p>5.4 Clean equipment after use and before returning it to storage</p> <p>5.5 Store equipment and materials to be re-used in the designated places as specified in employers' procedures</p>	

<p>6. Be able to take samples and measurements as specified in the procedures</p>	<p>6.1 Enter and exit the sampling and measurement locations safely and keep any disruption the work might cause to a minimum</p> <p>6.2 Prepare the containers, reagents and any portable or other equipment which is to be used, making sure they are within 'use by dates'</p> <p>6.3 Take samples and measurements at the position and time set down in the procedures</p> <p>6.4 Take measurements according to the criteria specified in procedures</p> <p>6.5 Prevent contamination to samples by handling them in the ways specified in procedures</p> <p>6.6 Fill out the details accurately and clearly on the sample labels and affix the correct labels to the samples before storing them in a way in which they can be moved safely and securely</p> <p>6.7 Carry out the work with as little disruption as possible at the sampling and measurement locations</p> <p>6.8 Work in a way which maintains all hygiene and safety requirements</p> <p>6.9 Dispose of any waste in the designated place and in the way specified</p> <p>6.10 Deliver samples to the designated person or place</p>	
---	--	--

<p>7. Be able to use and communicate data and information</p>	<p>7.1 Follow all procedures for lone working where appropriate</p> <p>7.2 Follow all the procedures which apply to planning and registering work</p> <p>7.3 Follow all the procedures which apply to taking samples and measurements</p> <p>7.4 Follow all the procedures for access, exit and moving around the sampling locations</p> <p>7.5 Use schedules to organise work efficiently to make the best use of time and resources</p> <p>7.6 Complete the details of successful and aborted activities in the required records</p> <p>7.7 Maintain data trails for quality assurance, monitoring and audit</p>	
<p>8. Be able to resolve problems arising from sampling and measurement</p>	<p>8.1 Resolve any difficulties connected with the means of getting around to various sites or locations</p> <p>8.2 Resolve any situations before attempting to use equipment or containers which are not the right ones or are defective</p> <p>8.3 Report promptly any defective or unsafe sampling and measuring equipment</p> <p>8.4 Record and report promptly to the designated people results of measurements which are outside the expected range to enable remedial work to be instigated</p> <p>8.5 Report and refer situations which are outside own responsibilities with the designated people</p>	

Additional information about the unit	
Unit aim(s)	This unit provides the learner with the knowledge and skills to be able to take samples and measurements for quality assurance purposes.
Assessment guidance	This unit requires a workplace assessment of occupational competence to cover the knowledge, understanding and skills criteria.

Title	Provide operational support	
Odyssey Reference	1327	
NOS	PROGP35	
SCQF Level	7	
SCQF Credit Value	9	
Learning Outcomes <i>The learner will:</i>	Assessment Criteria <i>The learner can:</i>	Guidance
1. Understand how to provide operational support	1.1 Explain the purpose of operational support 1.2 Describe the tasks within the specific area of responsibility that may require operational support 1.3 Explain who can provide operational support 1.4 Summarise the company guidelines to identify or request a need for operational support 1.5 Explain situations that may indicate a need for operational support and the type of operational support that would be appropriate for each situation 1.6 Explain how to obtain and provide the operational support 1.7 Describe the benefits of providing operational support, to include: <ul style="list-style-type: none"> • benefits to the company • benefits to those being supported 	

	<p>1.8 Evaluate the possible detrimental effects of providing operational support, to include:</p> <ul style="list-style-type: none"> • effects on the company • effects on those being supported <p>1.9 Summarise procedures to follow on the recording/reporting of the use of operational support</p> <p>1.10 Explain how to analyse the operational support provided in a particular task/circumstance</p> <p>1.11 Explain how to use the analysis to review the operational support systems and resources available</p> <p>1.12 Describe findings that might indicate a need to change the systems in place</p> <p>1.13 Explain how to present recommendations for changes to operational support systems and resources, to include:</p> <ul style="list-style-type: none"> • who to make the recommendations to • the type and detail of information to provide 	
<p>2. Be able to provide operational support</p>	<p>2.1 Provide support in a variety of situations</p> <p>2.2 Obtain operational support in a variety of situations</p> <p>2.3 Analyse the operational support provided in a particular task/circumstance</p> <p>2.4 Use the analysis to review the operational support systems and resources available</p>	

	<p>2.5 Follow procedures to record/report the use of operational support</p> <p>2.6 Present recommendations for changes to operational support systems and resources</p>	
Additional information about the unit		
Unit aim(s)	This unit provides the learner with the knowledge and skills to be able to provide operational support	
Assessment guidance	This unit requires a workplace assessment of occupational competence to cover the knowledge, understanding and skills criteria.	

Title	Investigate sources of information and develop intelligence for investigations	
Odyssey Reference	1328	
NOS	SFSINV7	
SCQF Level	8	
SCQF Credit Value	14	
Learning Outcomes <i>The learner will:</i>	Assessment Criteria <i>The learner can:</i>	Guidance
1. Understand the legal and organisational requirements for investigating sources of information and developing intelligence for investigations	<p>1.1 Summarise current relevant legislation, regulations, codes of practice and guidelines relating to:</p> <ul style="list-style-type: none"> • developing intelligence for investigations • information gathering • confidentiality • obtaining and storing evidence <p>1.2 Explain organisational limits in relation to obtaining information</p>	
2. Understand how to gather and grade information for investigations	<p>2.1 Explain how to recognise and find information relating to incidents and irregularities</p> <p>2.2 Describe the range of information sources commonly used to find information and how to use these</p> <p>2.3 Explain how to use computer equipment when recording or accessing information</p>	

	2.4 Explain why and how to handle and store information to protect its confidentiality and evidential value	
3. Understand how to analyse information and develop intelligence	<p>3.1 Explain how to use different information development techniques effectively</p> <p>3.2 Explain how to identify patterns of incidents and irregularities</p> <p>3.3 Explain how to find links between people, incidents and irregularities</p> <p>3.4 Explain how and why it is important to grade and cross reference sources of information</p> <p>3.5 Explain how to grade and analyse corroborated information according to own organisation's procedures</p> <p>3.6 Explain how to recognise and take appropriate action to follow up with the results of own analysis of information</p> <p>3.7 Explain how to give full and accurate details of own analysis of information to the relevant person or authority without delay</p> <p>3.8 Explain how to record and store information</p>	
4. Understand how to make recommendations, based on intelligence, for further investigation activity	<p>4.1 Explain how to identify any shortfall in evidence and what further action could be appropriate</p> <p>4.2 Explain how to prioritise and record evidence according to its value</p> <p>4.3 Explain the different ways of presenting clear and concise recommendations</p>	

<p>5. Be able to gather and grade information for investigations</p>	<p>5.1 Identify and access appropriate sources of information on incidents to be investigated promptly</p> <p>5.2 Obtain information by lawful means</p> <p>5.3 Gather corroborative information where necessary to support investigations</p> <p>5.4 Handle information in line with a recognised intelligence model</p> <p>5.5 Gather sufficient information on which to develop investigation intelligence</p> <p>5.6 Handle and store information in a way which protects its confidentiality and evidential value</p>	<p>Evidence must cover the following:</p> <ul style="list-style-type: none"> • sources of information: computerised, documentary, human intelligence sources, professional contacts • incidents: reports of crime, breaches of civil law, breaches of company rules and procedures • information: from witnesses, material evidence, hearsay evidence and documentary evidence
<p>6. Be able to analyse information and develop intelligence</p>	<p>6.1 Establish patterns and links in relevant information through logical and systematic analysis</p> <p>6.2 Use analysis to develop intelligence to progress the investigation</p> <p>6.3 Corroborate information where necessary to support investigations</p> <p>6.4 Record details of information accurately, completely and in appropriate formats</p> <p>6.5 Follow up the results of own analysis of information promptly including passing on to the relevant person</p>	<p>Evidence must cover the following:</p> <ul style="list-style-type: none"> • relevant information: from witness, material evidence, hearsay evidence, documentary evidence, electronic media

7. Be able to make recommendations, based on developed intelligence, for further investigation activity	<p>7.1 Identify the need for further evidence relevant to the incident or irregularity, based on analysis of available information and intelligence</p> <p>7.2 Identify and prioritise any additional evidence requirements</p> <p>7.3 Maintain the safety and confidentiality of details of investigation recommendations</p> <p>7.4 Make presentations of recommendations to the appropriate person accurately, fully and within agreed timescales</p>	<p>Evidence must cover the following:</p> <ul style="list-style-type: none"> • recommendations made by: self, line manager, specialist • presentations: oral, written, electronic
Additional information about the unit		
Unit aim(s)	This unit provides the learner with the knowledge and skills to be able to investigate sources of information and develop intelligence for investigations	
Assessment guidance	This unit requires a workplace assessment of occupational competence to cover the knowledge, understanding and skills criteria.	

Title	Provide expert evidence to courts and hearings	
Odyssey Reference	1329	
NOS	SFJDA101	
SCQF Level	8	
SCQF Credit Value	15	
Learning Outcomes <i>The learner will:</i>	Assessment Criteria <i>The learner can:</i>	Guidance
1. Understand the legal and organisational requirements for providing expert evidence to courts and hearings	1.1 Summarise the rules of evidence, expert evidence and associated case law 1.2 Summarise the procedures and protocols in courts and at hearings 1.3 Explain specific legislation and legal influences relevant to the case in question 1.4 Explain disclosure rules and published guidance to experts on evidence and unused material 1.5 Explain specific guidelines employed by the organisation for whom expert evidence is being delivered with regard to the management of expert witnesses 1.6 Summarise current legislation, policies, procedures, codes of practice and guidelines in relation to race, diversity and human rights	

<p>2. Understand how to prepare to act as an expert witness</p>	<p>2.1 Explain the importance of keeping up-to-date with relevant trends and developments in field of expertise, and how to do so</p> <p>2.2 Explain the importance of maintaining a curriculum vitae specific to own field of expertise that supports credibility to deliver expert evidence, and how to do so</p> <p>2.3 Explain the importance of keeping up-to-date with current legislation, rules and guidance relating to acting as an expert witness and how to do so</p>	
<p>3. Understand how to prepare for court and other hearings</p>	<p>3.1 Explain how to compile an expert statement of opinion</p> <p>3.2 Explain how to label and record exhibits</p> <p>3.3 Explain how to assess the evidence of a case and apply knowledge in order to interpret non-explicit matters</p> <p>3.4 Explain how to retain, record and reveal unused material</p> <p>3.5 Explain how to prepare clear, accurate and understandable statements as required by the court or hearing</p> <p>3.6 Explain the importance of being well acquainted with own evidence in preparation for the court or hearing, and how to do so</p> <p>3.7 Explain the benefits of maintaining frequent liaison between the expert witness and those who have engaged them</p>	

<p>4. Understand how to present evidence at court or other hearings</p>	<p>4.1 Explain how to give evidence effectively in a court or hearing</p> <p>4.2 Explain how and when original notes or exhibits may be referred to</p> <p>4.3 Explain the circumstances within which opinion evidence may be delivered</p> <p>4.4 Explain the influences regarding how opinion evidence may be delivered</p> <p>4.5 Explain the protocols regarding liaison with court or hearing officials</p> <p>4.6 Summarise court room procedures and protocols</p>	
<p>5. Be able to prepare to act as an expert witness</p>	<p>5.1 Keep up-to-date with relevant trends and developments in own field of expertise</p> <p>5.2 Maintain a curriculum vitae specific to own field of expertise that supports credibility to deliver expert evidence</p> <p>5.3 Comply with the rules of evidence and court procedures</p> <p>5.4 Comply with case law and published guidelines for expert witnesses</p> <p>5.5 Comply with disclosure rules, in particular those specific to expert witnesses</p> <p>5.6 Comply with current legislation covering race, diversity and human rights</p>	

<p>6. Be able to prepare to present expert evidence relating to a specific case</p>	<p>6.1 Compile all evidence in accordance with case law and published guidelines for expert witnesses</p> <p>6.2 Compile all evidence impartially, reflecting own opinion of what is considered most likely, based on all the evidence</p> <p>6.3 Take reasonable measures to ensure that all material that may reasonably influence the outcome of findings and rationales has been viewed</p> <p>6.4 Take reasonable measures to access additional material that may support assertions, rationales or findings within own evidence</p> <p>6.5 Maintain, in order to provide an audit trail for inspection, a complete and accurate record of:</p> <ul style="list-style-type: none"> • requests for material made by self • material provided to self • material requested from self, and • material provided by self <p>6.6 Document and label appropriately any exhibits created by self or under own supervision</p> <p>6.7 Compile clear, accurate and understandable statement(s) detailing:</p> <ul style="list-style-type: none"> • own qualifications, experience and expertise relevant to the case • the material used in forming own opinion(s) 	<p>Evidence must cover the following:</p> <ul style="list-style-type: none"> • material <ul style="list-style-type: none"> • information • intelligence • evidence • unused material • non-relevant material
---	---	--

	<ul style="list-style-type: none"> • material considered but not used in forming own opinion(s) • own opinion(s) and rationale for arriving at these opinion(s) • where qualified opinions have been provided, details of the qualifications are also provided • a summary of all conclusions <p>6.8 Prepare any other statements, declarations or information required by the court</p> <p>6.9 Maintain liaison with those who have engaged self as an expert witness in order to be kept up-to-date, given the opportunity to respond to any developments and available to attend court when required</p> <p>6.10 Respond promptly with regard to witness warnings</p> <p>6.11 Prepare in advance of the hearing to ensure familiarity with all elements of own evidence</p> <p>6.12 Retain all notes and material for inspection upon attendance at court if required</p>	
<p>7. Be able to present expert evidence to a court or hearing</p>	<p>7.1 Arrive at the venue in time to permit prior consultation with the case team and those responsible for introducing evidence, such as Counsel</p> <p>7.2 Ensure that own personal appearance reflects professional responsibilities and role as an expert witness</p>	<p>Evidence must cover the following:</p> <ul style="list-style-type: none"> • material <ul style="list-style-type: none"> • information • intelligence • evidence

	<p>7.3 Have in own possession all material used to compile own evidence, in a format suitable for inspection or presentation within the court</p> <p>7.4 Deliver evidence with clarity and in strict accordance to parameters associated with expert evidence, ensuring that answers are consistent with own professional responsibilities</p> <p>7.5 Ensure evidence is consistent with that in own statement and, if drawn away from own written evidence, take care to avoid potential contradictions</p> <p>7.6 Acknowledge the contradiction if presented with further evidence which contradicts own opinions and/or rationales</p> <p>7.7 Explain clearly the reasons if unable to answer certain questions through a lack of knowledge or awareness,</p> <p>7.8 Be prepared, if supported by the weight of evidence, to concede points that may be detrimental to the party which has engaged self as an expert witness</p> <p>7.9 Deliver evidence in ways which will help others reach their own conclusions, taking care not to be overly-assertive in own views</p> <p>7.10 Remain available at the venue until such time as formally released</p>	
--	--	--

Additional information about the unit

Unit aim(s)

This unit provides the learner with the knowledge and skills to be able to provide expert evidence to courts and hearings

Assessment guidance

This unit requires a workplace assessment of occupational competence to cover the knowledge, understanding and skills criteria.

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. Centres should use the SFJ Awards Centre Handbook in conjunction with this qualification handbook. The SFJ Awards Centre Handbook 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
- meet SFJ Awards requirements in Section 5: Assessment, which are in line with the Skills for Justice SVQ Regulatory Services Assessment Strategy

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.

5 Assessment

The assessment of the SVQ in Regulatory Services SCQF Level 7 must meet the requirements detailed in this section, which incorporates the Skills for Justice Assessment Strategy for Scottish Vocational Qualifications in Regulatory Services.

In order to ensure that the evidence used to assess learners is valid, all centres must demonstrate that the learners have access to the types of resources commonly in use in the sector and that the pressures and constraints of the workplace are reflected.

5.1 Qualification assessment methods

Assessment methods that can be used to assess the SVQ in Regulatory Services SCQF Level 7 are as follows:

- Professional Discussion
- Question and Answer (written/oral)
- Work Products
- Workplace Observation (direct observation by assessor or expert witness testimony)

Although all the above assessment methods are acceptable, as a competence-based qualification and to meet the requirements of the Skills for Justice Assessment Strategy for Scottish Vocational Qualifications in Regulatory Services, the preferable form of assessment to be used for the SVQ in Regulatory Services SCQF Level 7 is direct observation of performance in the workplace by an assessor or testimony from an expert witness. Other assessment methods can be used to corroborate the evidence provided by direct observation by an assessor (and/or expert witness). It is also important that the majority of evidence for the qualification should come from naturally occurring workplace activities.

5.2 Assessor and internal quality assurer requirements

All assessors and internal quality assurers must meet the following requirements which are in line with the Skills for Justice Assessment Strategy for Scottish Vocational Qualifications in Regulatory Services.

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

Assessors are not required to occupy a position in the organisation more senior than that of the learner they are assessing. However, centres must be alert to the risks that all such arrangements could present and ensure that sufficient quality controls are in place through the internal quality assurance process to minimise the possibility of collusion between learners and assessors.

Due to the risk critical nature of the work and the legal implications of the assessment process 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.

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.

Where an assessor is working towards the relevant assessor qualification, SFJ Awards requires that assessment decisions are countersigned by another assessor who holds the qualification for assessing Scottish Vocational Qualifications. The assessor holding the qualification for assessing must:

- be occupationally competent as detailed in Section 5.2.1 Occupational knowledge and competence
- provide current records of their skills and 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.

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
- 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.

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.

Where the person responsible for internal quality assurance is working towards an internal quality assurance qualification, SFJ Awards requires that their quality assurance decisions are counter-signed by another person who holds the qualification for internal quality assurance of Scottish Vocational Qualifications.

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.

The use of expert witnesses is encouraged as a contribution to the provision of performance evidence presented for assessment. This evidence must directly relate to the learner's performance in the workplace which has been seen by the expert witness.

Expert witnesses do not however perform the role of assessor. The assessor is responsible for making the final judgement in terms of the learner meeting the evidence requirements for the unit.

5.3.1 Occupational competence

Expert witnesses must be occupationally competent in the area being assessed. This means that each expert witness must, according to current sector practice, be competent in the functions covered by the units to which they are contributing. They will have gained their occupational competence working within the sector or within an appropriate occupational sector.

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.

Expert witnesses must maintain their occupational competence by actively engaging in continuous professional development activities in order to keep up to date with developments relating to the changes taking place in the sector. They should provide current records of their 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.

Centres must provide an induction so that expert witnesses:

- are familiar with the standards for those units for which they are to provide expert witness evidence
- understand the centre's recording requirements
- receive guidance on the skills required to provide evidence for the qualification units.

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 level appropriate to the qualification.

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

As the SVQ in Regulatory Services SCQF Level 7 is a competence-based qualification, and to meet the requirements of the Skills for Justice Assessment Strategy for Scottish Vocational Qualifications in Regulatory Services, direct observation of performance in the workplace by an assessor or testimony from an expert witness is the most preferable form of assessment. Other assessment methods can be used to corroborate the evidence provided by direct observation/witness testimony. It is also important that the majority of evidence for the qualification should come from naturally occurring workplace activities.

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.

5.5.1 Workplace 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. This is expected to be the main form of assessment for the SVQ in Regulatory Services SCQF Level 7. 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. The role of the expert witness is to submit evidence to the assessor as to the competence of the learner in any given unit. This evidence must directly relate to learner's performance in the workplace which has been seen by the expert witness.

Expert witnesses are the preferred witness type recommended by SFJ Awards as they provide a stronger form of evidence which is more easily authenticated and verified.

The Skills for Justice Assessment Strategy for Scottish Vocational Qualifications in Regulatory Services encourages the use of expert witnesses as a contribution to the provision of performance evidence presented for assessment.

The assessor should consider witness testimonies of either type as a typical form of evidence. ***The assessor is responsible for making the final judgement in terms of the learner meeting the evidence requirements for the unit.***

5.5.3 Work products

Examples of work products 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 Question and answer

Question and answer assessments 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, both oral and written, 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. The centre's overall strategy for simulation must be examined and approved by the External Quality Assurer (EQA). 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 in the Skills for Justice Assessment Strategy for Scottish Vocational Qualifications in Regulatory Services outlined 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 so that the risk of learners successfully colluding is reduced.

5.6 Assessing knowledge and understanding

Knowledge-based assessment involves establishing what the learner knows or understands at a level appropriate to the qualification.

It is accepted that the assessment of some knowledge and understanding may take place in a different environment, for example in a training and development centre or another environment, which is not the immediate workplace. However, the assessment of this knowledge and understanding should be linked directly to workplace performance and should include performance evidence.

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.

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. Examples of evidence that can be used to demonstrate knowledge and understanding include:

- a) Evidenced question and answer sessions with assessors
- b) Evidenced professional discussions with assessors
- c) Performance evidence
- d) Work products

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 External quality assurance

External Quality Assurers (EQAs) are appointed by SFJ Awards to ensure that assessment procedures meet the requirements of SFJ Awards and the Skills for Justice Assessment Strategy for Scottish Vocational Qualifications in Regulatory Services. EQAs must:

- be occupationally knowledgeable and have gained their knowledge working within the sector or associated professional/occupational area
- have a thorough understanding of the qualifications they will be quality assuring
- have a detailed knowledge of SFJ Awards systems and documentation
- have a thorough understanding of the guidance produced by SFJ Awards describing assessment and quality assurance practice
- maintain their occupational knowledge by actively engaging in continuous professional development activities in order to keep up to date with developments relating to the changes taking place in the sector
- hold, or be working towards, the appropriate external verifier qualification as approved and specified by the Regulatory Authority.

5.10 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 judgements, 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.

5.11 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.

5.12 Equality and diversity

Centres must comply with legislation 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.

5.13 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.

Copyright

The content of this document is, unless otherwise indicated, Copyright © SFJ Awards and may not be copied, revised, reproduced or distributed, without prior written consent from SFJ Awards.

However, approved SFJ Awards centres may use and reproduce this document free of charge when teaching/assessing learners working towards SFJ Awards qualifications, or for SFJ Awards related administration purposes. Learners may copy the document for their own use only when working towards SFJ Awards qualifications via an approved SFJ Awards centre.