



## **Level 2 Award for Personal Licence Holders**



# Qualification Handbook

## SFJ Awards Level 2 Award for Personal Licence Holders

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# 1 Introduction

## 1.1 About us

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

During this time both Skills for Health and Skills for Justice have earned an enviable reputation for their knowledge of the health, justice and security 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, security, 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](mailto:info@sfjawards.com)

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

## 2 The Qualification

### \* Qualification Withdrawal \*

Please note that the SFJ Awards Level 2 Award for Personal Licence Holders is being withdrawn. No learners can therefore be registered on this qualification after 30 September 2022 and all certifications must be completed by 30 September 2023.

### 2.1 Qualification objective

This handbook relates to the following qualification:

SFJ Awards Level 2 Award for Personal Licence Holders

This is a knowledge-based qualification aimed at those who work or intend to work in a sector that involves the retail sale of alcohol. In accordance with the Licensing Act 2003, it is necessary to hold a personal licence holder qualification before applying for a personal licence to sell alcohol at licensed premises. It provides formal recognition of the learners' knowledge and as it has no competence component, it is suitable for those who are not in work, for example individuals studying subjects in which the issue of alcohol sale is important. As the qualification is generic, it is relevant to any alcohol licensed premises including but not limited to pubs, clubs, supermarkets, restaurants, hotels, off-licences, casinos, entertainment venues and leisure facilities.

### 2.2 Pre-entry requirements

There are no formal entry requirements. However, centres must ensure learners are able to work at level 1 or above and be proficient in the use of English Language.

### 2.3 Qualification structure

This qualification is made up of 1 mandatory unit. To be awarded this qualification the learner must achieve 1 credit as shown in the table below.

Mandatory Units					
Unit Number	Odyssey Reference	Unit Title	Level	GLH	Credit Value
1	4039	Legal and Social Responsibilities of a Personal Licence Holder	2	8	1

## 2.4 Total Qualification Time (TQT)

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

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

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

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

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

Please note these are estimated hours. It is the responsibility of centres to decide the appropriate course duration, based on their learners' ability and level of existing knowledge. It is possible, therefore, that the number of guided learning hours will vary from one centre to another according to learners' needs.

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

Qualification Title	TQT	GLH
SFJ Awards Level 2 Award for Personal Licence Holders	10	8

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

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

## **2.5 Age range and geographical coverage**

This qualification is available for learners 18 and over and is regulated in England and Wales.

## **2.6 Opportunities for progression**

This qualification creates a number of opportunities for progression into other qualifications relevant to personal licence holding, including those relating to hospitality, retailing and food and beverage supervision.

## **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](http://www.sfjawards.com) or on request from SFJ Awards.

### 3 Qualification Units

<b>Title</b>	Legal and Social Responsibilities of a Personal Licence Holder		
<b>Level</b>	2		
<b>Unit Number</b>	1		
<b>Credit Value</b>	1		
<b>GLH</b>	8		
<b>Learning Outcomes</b> <i>The learner will:</i>	<b>Assessment Criteria</b> <i>The learner can:</i>		<b>Guidance and/or Indicative Content</b>
1. Know the nature, purpose, and period of validity of a Personal Licence	1.1	State the nature and purpose of a personal licence	A personal licence is granted to an individual by the relevant licensing authority, under the Licensing Act 2003. It allows the holder to make or authorise the sale of alcohol in accordance a premises licence.  A personal licence has two parts: a plastic card including a photograph of the holder and a paper section.
	1.2	State the period of validity of a personal licence	The period of validity of a personal licence is indefinite. There is no requirement to renew a personal licence as once it is granted, it will remain valid unless revoked, surrendered, suspended or forfeited.



2. Understand the application process and legal duties when applying for a Personal Licence	2.1	State how a personal licence application is made, including eligibility criteria	<p>The application for a personal licence is made to the relevant licensing authority, where the applicant lives, if resident in England or Wales. Applicants must be eligible to work in the UK, pay an application fee and meet all eligibility criteria:</p> <ul style="list-style-type: none"> <li>• be 18 or over</li> <li>• hold an accredited Level 2 Award for Personal Licence Holders (APLH) qualification</li> <li>• no personal licence forfeited within the last 5 years</li> <li>• no unspent convictions for relevant or foreign offences or requirement to pay an immigration penalty</li> </ul> <p>Application documents include:</p> <ul style="list-style-type: none"> <li>• a completed and signed personal licence application</li> <li>• proof of right to work in the UK (e.g. a relevant passport)</li> <li>• original certificate of qualification (or copy from Awarding Organisation)</li> <li>• two passport-style photographs (one signed)</li> <li>• recent (no more than 28 days) Disclosure Barring Service (DBS) check</li> <li>• application fee</li> </ul>
	2.2	Outline the licensing authority's process for the grant or rejection of new personal licences	<p>The licensing authority's process for the grant or rejection of new personal licences application includes:</p> <ul style="list-style-type: none"> <li>• checking the above eligibility criteria</li> <li>• checking offence criteria</li> </ul>

			<ul style="list-style-type: none"> <li>• notifying chief officer of police when offence criteria are not met (where unspent convictions for relevant or foreign offences are identified)</li> <li>• notifying Home Office Immigration Enforcement of immigration offences and/or immigration penalties</li> <li>• holding a hearing following police and/or Home Office objection to an application</li> </ul> <p>The applicant, licence holder, chief officer of police and Home Office Immigration Enforcement have the right to appeal against the decision made by the licensing authority within 21 days of receipt of notification of the decision.</p>
	2.3	Identify who may object to the grant of a personal licence	<p>The following parties may object to the grant or renewal of a personal licence:</p> <ul style="list-style-type: none"> <li>• the chief office of police may object within 14 days of notification where convictions for relevant or foreign offences are identified</li> <li>• the Secretary of State may object within 14 days of notification where appropriate for the prevention of illegal working on licensed premises</li> <li>• Home Office Immigration Enforcement may object on the grounds of preventing illegal working if there is evidence of unspent immigration offences or immigration penalties – spent or unspent convictions</li> </ul>
	2.4	Define the terms ‘relevant offences’ and ‘foreign offences’	<p>Relevant offences are offences listed in Schedule 4 to the Licensing Act 2003. Some of the key offences include:</p> <ul style="list-style-type: none"> <li>• any licensing offence since 1964</li> <li>• certain Food Safety and Misuse of Drugs offences</li> </ul>

			<ul style="list-style-type: none"> <li>driving a vehicle when under the influence of drink or drugs</li> <li>violence, firearms, fraud, terrorism, and sexual offences</li> </ul> <p>Foreign offences are similar to a relevant offence but committed under the law of any place outside of England and Wales.</p>
	2.5	State the legal duty of an applicant to declare if they are convicted of any relevant or foreign offences during the application process	The applicant has a legal duty to declare any relevant or foreign offences received during the application process, including immigration penalties, to the licensing authority.
	2.6	State the penalty for failing to declare conviction of relevant or foreign offences during the application process	The penalty for failing to declare convictions during the application is a maximum level 4 on the standard scale (£2,500).
3. Understand the legal duties of a Personal Licence Holder	3.1	State the legal duties of a personal licence holder if charged with a relevant or foreign offence	<p>A personal licence holder charged with a relevant offence, has a legal duty to:</p> <ul style="list-style-type: none"> <li>inform the court by first court appearance they hold a personal licence</li> <li>produce their personal licence to the court</li> </ul>
	3.2	State the legal duties of a personal licence holder if convicted of a relevant or foreign offence after the licence is granted	<p>A personal licence holder convicted with a relevant or foreign offence, has a legal duty to:</p> <ul style="list-style-type: none"> <li>notify the licensing authority of the conviction as soon as is reasonably practicable</li> <li>provide their personal licence with the notice to the licensing authority</li> </ul> <p>Failure to comply is an offence subject to a maximum level 2 penalty (£500).</p>

	3.3	State the legal duties of a personal licence holder if a personal licence is surrendered or revoked	<p>The legal duties of a personal licence holder if a personal licence is:</p> <ul style="list-style-type: none"> <li>• surrendered to the licensing authority as no longer required – must return their personal licence with notice of surrender - no further authorisation of alcohol sales</li> <li>• suspended for up to 6 months by a court or licensing authority– no authorisation of alcohol sales during suspension</li> <li>• revoked by the licensing authority – no further authorisation of alcohol sales</li> <li>• forfeited by the court – no further authorisation of alcohol sales and no personal licence application for 5 years</li> </ul>
	3.4	State the legal duties of a personal licence holder if a change of name and/or address occurs	<p>A personal licence holder has a legal duty to inform the relevant licensing authority of a:</p> <ul style="list-style-type: none"> <li>• change of name</li> <li>• change of home address</li> </ul> <p>They must return their personal licence with the change notification. Failure to do either of the above is an offence subject to a maximum level 2 penalty (£500).</p>
	3.5	State the legal duties of a personal licence holder to produce their licence, when requested, including who may legally request this	<p>A personal licence holder must produce their personal licence, when on premises to make or authorise the sale of alcohol on licensed premises, on request by a police officer or an authorised person. For example: Licensing Authority Officers, Environmental Health Officers and Fire Officers.</p> <p>Failure to produce a personal licence when requested is an offence subject to a maximum level 2 penalty (£500).</p>
	3.6	State the consequences for breaching the legal duties of a personal licence holder	<p>The consequences of breaching the legal duties of a personal licence holder include:</p>

			<ul style="list-style-type: none"> <li>• failing to inform changes and produce personal licence when requested can result in a fine not exceeding the level 2 penalty on the standard scale (maximum of £500 fine)</li> <li>• failing to declare convictions during the application stage can result in a penalty fine not exceeding the level 4 on the standard scale (£2,500)</li> </ul>
	3.7	State the consequences for a personal licence holder convicted of a drink driving offence	The consequences for a personal licence holder if convicted of a drink driving or a drug driving offence include revocation, suspension of personal licence for up to 6 months or forfeiture of personal licence in addition to any punishment applied by the Court.
4. Understand the roles, responsibilities and functions of licensing authorities	4.1	State what licensing authorities are	<p>A licensing authority is:</p> <ul style="list-style-type: none"> <li>• a relevant council or other body in England and Wales as specified in the Licensing Act 2003</li> <li>• responsible for the operation and administration of the Licensing Act 2003 in a particular area</li> </ul>
	4.2	Outline the roles and responsibilities of licensing authorities	<p>The roles and responsibilities of licensing authorities include:</p> <ul style="list-style-type: none"> <li>• establishing a licensing committee of 10-15 elected members</li> <li>• publishing a statement of licensing policy at least every 5 years</li> <li>• administering the local licensing system</li> <li>• issuing personal and premises license, club premises certificates and receiving Temporary Event Notices (TENs)</li> <li>• maintaining an updated register of applications, licences and certificates granted and notices received</li> </ul>

			<ul style="list-style-type: none"> <li>• suspending or revoking a personal licence following conviction of a relevant or foreign offence or requirement to pay an immigration penalty</li> <li>• making relevant representations in respect of premises licence or club premises certificate applications and variations</li> <li>• instigating the review of a premises licence or club premises certificate</li> <li>• holding hearings to consider contested applications or notices</li> </ul>
	4.3	Outline what a licensing policy is	<p>A licensing policy:</p> <ul style="list-style-type: none"> <li>• is published at least every 5 years</li> <li>• states how the licensing authority will operate</li> <li>• shows how it will promote the licensing objectives</li> <li>• reflects guidance from the Secretary of State</li> </ul>
	4.4	Outline the purpose of a licensing hearing, including appeals	<p>The purpose of a licensing hearing is to allow the licensing committee to make a decision following:</p> <ul style="list-style-type: none"> <li>• relevant representations to a new premises licence application, club premises certificate application or variation</li> <li>• objection to a temporary event notice</li> <li>• objection to an application for a personal licence</li> <li>• objection to the transfer of a premises licence</li> <li>• objection to an interim authority notice</li> <li>• the review of a premises licence or club premises certificate</li> <li>• an application for the summary or fast track review or a premises licence</li> </ul>

			An appeal may be made by any party following the decision, to the magistrate's court within 21 days of receipt of notification of the decision.
5. Understand the Licensing Objectives and the importance of partnerships in promoting these objectives	5.1	State the licensing objectives	<p>The licensing objectives are:</p> <ul style="list-style-type: none"> <li>• prevention of crime and disorder</li> <li>• public safety</li> <li>• prevention of public nuisance</li> <li>• protection of children from harm</li> </ul>
	5.2	State the importance of the licensing objectives	<p>The licensing objectives are important to the licensing system because they:</p> <ul style="list-style-type: none"> <li>• are the fundamental principles underpinning the system</li> <li>• must be promoted at all times by licensing authorities, licence holders and staff selling alcohol</li> <li>• form the basis of all licensing decisions</li> </ul>
	5.3	State what an operating schedule is	An operating schedule is a written description in an application of how the licensed premises will be operated and how it will promote the licensing objectives.
	5.4	State what an operating schedule should include in order to promote the licensing objectives	<p>The operating schedule will include:</p> <ul style="list-style-type: none"> <li>• a description of the premises</li> <li>• the licensable activities and times when these are offered</li> <li>• opening and closing times of the premises</li> <li>• any measures that may be put in place to promote the licensing objectives</li> </ul>

	5.5	Identify the importance of partnerships in supporting the licensing objectives	<p>The importance of partnership working helps support and promote the licensing objectives. Sharing best practice and lessons learned, in addition to local intelligence from feedback of the partners will enable the licence holder to avoid undermining the licensing objectives.</p> <p>Partners include:</p> <ul style="list-style-type: none"> <li>• police</li> <li>• local authorities</li> <li>• local residents</li> <li>• local businesses</li> <li>• town centre managers</li> <li>• fire authorities</li> </ul>
	5.6	Identify the role of Community Safety Partnerships	<p>The role of Community Safety Partnerships is to support the licensing objectives and establish strategies for the reduction of crime in a local area. These partnerships typically share intelligence and current information of individuals or groups who have potential to create crime, disorder or safety concerns for businesses. For example, 'pub-watch' or 'safer' communities.</p>
6. Understand the nature and strength of alcohol and the effect on the body	6.1	State the legal definition of alcohol under licensing law	<p>The definition of alcohol under the Licensing Act 2003 means spirits, wine, beer, cider or any other fermented, distilled or spirituous liquor (in any state) where the alcohol by volume (abv) is of a strength above 0.5% of the total volume at the time of sale or supply in question.</p>
	6.2	State how the strength of an alcoholic drink is measured	<p>The strength of an alcoholic drink is measured as a percentage (%) of alcohol by volume (abv) but can be converted into 'units' for simplicity.</p> <p>Strength (abv) x volume (ml) ÷ 1000 = units of alcohol.</p>



	6.3	Define the terms 'alcohol-free' and 'low alcohol'	<p>The term 'alcohol-free' is a drink that must contain no more than 0.05% abv.</p> <p>The term 'low alcohol' is a drink that must contain no more than 1.2% abv.</p>
	6.4	State the UK Government's sensible drinking advice	<p>The UK Government's sensible drinking advice:</p> <ul style="list-style-type: none"> <li>• up to 14 units per week for both men and women</li> <li>• spread the 14 units evenly over 3 days or more</li> <li>• have several drink-free days each week</li> <li>• limit the total amount of alcohol on any single occasion</li> <li>• no level of alcohol is safe to drink during pregnancy</li> </ul>
	6.5	State the behavioural and psychological effect of alcohol consumption	<p>The behavioural and psychological nature of alcohol consumption may result in a range of effects and changes, including:</p> <ul style="list-style-type: none"> <li>• increased irritability, anger and aggression</li> <li>• loss of inhibition and self-control</li> <li>• impaired ability to make decisions</li> <li>• reduced concentration</li> <li>• addiction</li> </ul>
	6.6	Identify the effects alcohol has on the body	<p>The effects of alcohol on the body include:</p> <ul style="list-style-type: none"> <li>• liver damage</li> <li>• high blood pressure</li> <li>• cancers</li> <li>• increased likelihood of accidents and injury</li> </ul> <p>The above effects depend on several factors, including:</p> <ul style="list-style-type: none"> <li>• quantity and strength of alcohol consumed</li> </ul>

			<ul style="list-style-type: none"> <li>• rate of consumption and pattern of drinking behaviour</li> <li>• size and gender of the person</li> <li>• recent ingestion of food and amount eaten</li> <li>• the possibility that drinks may have been unknowingly tampered with i.e. spiked</li> </ul>
7. Understand the law in relation to premises licences	7.1	Explain what a premises licence is	<p>A premises licence allows one or more licensable activities to take place and is required for the sale of alcohol on and/or away from the premises.</p> <ul style="list-style-type: none"> <li>• It is granted by the licensing authority for the area where premises are situated</li> <li>• It is unique to the premises</li> </ul>
	7.2	State the procedures for a premises licence application	<p>The procedures for a premises application include:</p> <ul style="list-style-type: none"> <li>• submitting a completed application to the licensing authority</li> <li>• the operation schedule, a premises plan and, if relevant, DPS details and consent form</li> <li>• paying the fee</li> <li>• advertising the application correctly (local paper and outside of intended premises)</li> <li>• sending copies of the application to the responsible authorities</li> <li>• sending an electronic application to the licensing authority only</li> </ul> <p>The licensing authority must:</p> <ul style="list-style-type: none"> <li>• send electronic applications to the responsible authorities</li> <li>• receive representations (if any) from responsible authorities and any other persons</li> <li>• objectively consider each application on its own merits</li> </ul>

			<ul style="list-style-type: none"> <li>• hold a hearing following receipt of relevant representations</li> </ul>
	7.3	State the grounds for a hearing and an appeal in respect of a premises licence application	<p>Following receipt of relevant representations to a new premises licence or variation of an existing licence, the licensing authority must hold a hearing (unless all parties agree otherwise). Following a hearing, an appeal can be made by any party dissatisfied with the decision of the licensing authority. An appeal to the magistrates may be made against the decision of the licensing committee within 21 days.</p> <p>The outcomes of a licensing hearing will be one of the following:</p> <ul style="list-style-type: none"> <li>• refuse the application</li> <li>• refuse the DPS</li> <li>• grant the licence</li> <li>• grant the licence with changes or conditions</li> </ul>
	7.4	Explain the purposes of a premises licence review	<p>The purpose of a licence review is to re-appraise a licence following a:</p> <ul style="list-style-type: none"> <li>• review application by a responsible authority or any other person</li> <li>• closure order</li> <li>• compliance order to prevent illegal working</li> <li>• summary review that may take place where police believe licensed premises are associated with serious crime or disorder</li> </ul> <p>A premises licence review may result in:</p> <ul style="list-style-type: none"> <li>• the premises licence or any authorised activities being suspended for up to 3 months</li> <li>• changing or adding new conditions</li> <li>• removing licensable activities</li> <li>• revoking the licence</li> </ul>

			<ul style="list-style-type: none"> <li>removing the DPS</li> </ul>
	7.5	State the mandatory conditions attached to premises licensed to sell alcohol for consumption on and/or off the premises	<p>The mandatory conditions attached to premises licences include:</p> <ul style="list-style-type: none"> <li>there must be a DPS appointed who must hold a personal licence</li> <li>each and every sale of alcohol must be made or authorised by a personal licence holder</li> <li>having an age verification policy in place</li> <li>no below permitted cost sales of alcohol</li> <li>no irresponsible alcohol promotions</li> <li>free water available for customers</li> <li>availability, and display, of smaller measures</li> <li>any door supervisors employed as a condition of the licence must hold a licence granted under the Private Security Act 2001</li> </ul>
	7.6	Identify the licensable activities defined by licensing legislation	<p>The four licensable activities defined by licensing legislation are:</p> <ul style="list-style-type: none"> <li>sale of alcohol by retail</li> <li>supply of alcohol by or on behalf of a club member or to the order of a member of the club</li> <li>provision of regulated entertainment</li> <li>provision of late-night refreshment</li> </ul>
	7.7	State the law in relation to variations to premises licences	<p>Any changes to an existing premises licence will require either a full or minor variation application.</p> <ul style="list-style-type: none"> <li>Minor variation – a small change not having an adverse impact upon the licensing objectives, including a change of DPS.</li> <li>Full variation – permanent changes to hours, additional licensable activities, extension or change to premises.</li> </ul>

	7.8	State the law in relation to what constitutes unauthorised licensable activities	<p>Unauthorised licensable activities include:</p> <ul style="list-style-type: none"> <li>• providing licensable activities without a premises licence or other authorisation</li> <li>• selling alcohol outside permitted hours</li> <li>• using unlicensed door supervisors</li> <li>• not operating in accordance with mandatory or specific licence conditions</li> </ul> <p>Maximum penalty is an unlimited fine and/or 6 months in prison. It is also possible that the licensing authority may suspend or revoke a premises licence (if held) as an addition to the penalties imposed by a magistrate's court.</p>
	7.9	Identify what a due diligence defence is and when it may be used	<p>Due diligence is a defence against conviction for an unauthorised licensable activity where all reasonable steps were taken to avoid committing the offence and it was due to:</p> <ul style="list-style-type: none"> <li>• a genuine mistake and 'one off' incident</li> <li>• relying on someone else</li> <li>• an event out of their control</li> </ul> <p>A due diligence defence may be used when prosecuted for the provision of unauthorised licensable activities</p>
	7.10	State penalties for breaching licensing conditions	<p>The penalty for breaching licensing conditions on a premises licence is an unlimited fine and/or 6 months in prison.</p>
8. Know the role and legal responsibilities of the Designated	8.1	Outline the job role of the Designated Premises Supervisor (DPS)	<ul style="list-style-type: none"> <li>• The DPS is a personal licence holder appointed by the premises licence holder (if not the same person) and named on the premises licence.</li> </ul>

Premises Supervisor (DPS)			<ul style="list-style-type: none"> <li>• The DPS must hold a valid personal licence and may authorise alcohol sales.</li> <li>• They must implement measures to promote the licensing objectives and carry out risk assessments to promote the licensing objectives.</li> </ul>
	8.2	State the legal responsibility of the Designated Premises Supervisor (DPS)	<p>The responsibilities of the DPS include:</p> <ul style="list-style-type: none"> <li>• having day to day responsibility for licensed premises</li> <li>• ensuring premises operate legally and in accordance with mandatory and specific conditions on the premises licence</li> <li>• ensuring the age verification policy for the premises is adopted and implemented by staff</li> <li>• being the main point of accountability and contact for police and other authorities</li> </ul> <p>Only one DPS may be appointed and named on a premises licence at any one time.</p>
9. Understand the law in relation to Temporary Event Notices (TEN)	9.1	State what is meant by the term 'permitted temporary activities'	<p>A 'permitted temporary activity' is:</p> <ul style="list-style-type: none"> <li>• a proposed one-off event involving one or more licensable activities</li> <li>• operated within certain limitations</li> <li>• an activity not otherwise authorised by a premises licence or club premises certificate taking place on un-licensed premises or licensed premises</li> </ul>
	9.2	State what a Temporary Event Notice (TEN) is	<p>A Temporary Event Notice (TEN) is a notification of an intention to provide licensable activities and must be given by the premises user to the licensing authority electronically or in writing. Copies must be sent to:</p> <ul style="list-style-type: none"> <li>• licensing authority (x2 copies)</li> <li>• police</li> </ul>

			<ul style="list-style-type: none"> <li>• environmental health department</li> </ul> <p>There are two types of TENs:</p> <ul style="list-style-type: none"> <li>• Standard TEN – received by the licensing authority at least 10 clear working days before the event</li> <li>• Late TEN – received by the licensing authority no earlier than 9 clear working days and no later than 5 clear working days prior to the event</li> </ul>
	9.3	State the law in relation to the frequency of permitted temporary activities	<p>The limitations of frequency of TENs are:</p> <ul style="list-style-type: none"> <li>• no more than 499 people, including staff and performers, may attend the event at any one time. If there are 500 people or more, it will be necessary for a Premises Licence to be obtained, even if it is for a one-off event</li> <li>• the same premises cannot be used under a TEN on more than 20 (increased from 15 in 2022) occasions in a calendar year. Two different rooms in the same building could be used as two separate premises - allowing 40 events</li> <li>• there must be at least 24 hours between each event at any one premises where the “user” of the TEN is the same person or an “associated” person</li> <li>• although each TEN can last for a period of up to seven days, no more than 26 days (increased from 21 in 2022) can be covered for the premises in question within a calendar year. If an event starts on one day and finishes the next morning this is two days out of the limit of 26 per year</li> <li>• only an individual may give a TEN</li> <li>• if the individual holds a personal licence they can give up to 50 TENs per calendar year, assuming they are held at different</li> </ul>

			<p>premises, including a maximum of 10 'Late TENS' per calendar year</p> <ul style="list-style-type: none"> <li>• if the applicant does not hold a personal licence, they are limited to five per calendar year, including a maximum of 2 'Late TENS' per calendar year</li> </ul> <p>The premises user must display the TEN or ensure it is available for inspection at the event by police or an officer of the licensing authority.</p>
	9.4	State the circumstances under which the police or environmental health officers can object to a Temporary Event Notice (TEN)	<p>A 'relevant person' – (the chief officer of police or the local authority environmental health) may object to a TEN on the grounds of any of the licensing objectives. Some of the objections which will be regarded as relevant are:</p> <ul style="list-style-type: none"> <li>• community impact</li> <li>• potential disorder</li> <li>• noise</li> <li>• emergency services ability to respond or cope with additional risks</li> </ul> <p>Objections to a 'Standard TEN' are likely to result in a hearing. There is no provision for a hearing in the case of an objection to a 'Late TEN'.</p>
10. Understand the rights and legal duties of the responsible persons in relation to operation of licensed premises	10.1	State the duty to refuse the sale of alcohol to a drunken person	<ul style="list-style-type: none"> <li>• It is an offence to sell or permit the sale of alcohol to a person who is drunk.</li> <li>• Everyone selling or serving alcohol has a legal duty to refuse the sale to a drunken person.</li> </ul>
	10.2	Identify examples of irresponsible drinks promotions	<p>Irresponsible alcohol promotions must never take place on licensed premises. Examples of irresponsible promotions include:</p> <ul style="list-style-type: none"> <li>• drinking games</li> <li>• unlimited or unspecified free alcohol</li> </ul>



			<ul style="list-style-type: none"> <li>• alcohol for a fixed or discounted fee such as all you can drink for £10</li> <li>• offers or incentives for specific groups – women, students</li> <li>• free or discounted alcohol when things happen at sporting events</li> <li>• promotional signs or posters encouraging drunkenness or anti-social behaviour</li> <li>• dispensing alcohol directly into the mouth of another person</li> </ul>
	10.3	Identify strategies licensed premises may adopt to prevent violence and reduce conflict	<p>Strategies to prevent violence and reduce conflict on licensed premises include:</p> <ul style="list-style-type: none"> <li>• staff and management vigilance, monitoring and regular checks in all areas</li> <li>• developing good customer relationships</li> <li>• depersonalising refusals</li> <li>• encouraging a social mix and providing soft drinks and beverages</li> <li>• providing efficient service to avoid queues</li> </ul> <p>Conflict reduction strategies:</p> <ul style="list-style-type: none"> <li>• positive communications – politeness, fairness, consistency, awareness of religious and cultural needs, building rapport, empathy</li> <li>• managing customer expectations – clear rules, providing information, procedures for resolution</li> <li>• risk assessment – assess threat, evaluate options, respond appropriately, monitor, recognise early warning signs of aggression</li> <li>• conflict management training - training updates, proactive service delivery, access controls, supervision, monitoring, CCTV, alarms</li> </ul>

	10.4	Identify the consequences of allowing illegal drug use and dealing on licensed premises	<p>The consequences of allowing illegal drug use and dealing on licensed premises include:</p> <ul style="list-style-type: none"> <li>• prosecution for allowing drug activity</li> <li>• an increase in illegal drug activity</li> <li>• a potential loss of customers and profit</li> <li>• an increase in thefts and other criminal behaviour in and around the premises</li> <li>• review of a premises licence</li> </ul>
	10.5	Identify who is legally responsible for preventing disorderly conduct on licensed premises	<p>The persons legally responsible for preventing disorderly conduct on licensed premises are:</p> <ul style="list-style-type: none"> <li>• the premises licence holder</li> <li>• the DPS</li> <li>• personal licence holders</li> <li>• the premises user (under a TEN)</li> <li>• all responsible persons working on licensed premises, whether paid or unpaid</li> </ul>
	10.6	State the consequences for allowing drunk and disorderly conduct on licensed premises	<p>The maximum penalty for allowing drunk and disorderly conduct on licensed premises is a level 3 penalty (maximum fine £1,000) on the standard scale.</p>
11. Know the law in relation to the protection of children on licensed premises	11.1	State the law in relation to the sale of alcohol to children	<p>It is an offence for any person connected to the Premises Licence to:</p> <ul style="list-style-type: none"> <li>• sell or allow the sale of alcohol to those who are under the age of 18</li> <li>• allow the consumption of alcohol on licensed premises by under 18's (unless conditions identified in 11.7 are applied)</li> </ul>

			<ul style="list-style-type: none"> <li>• deliver or allow the delivery of alcohol to an under-18 (unless part of work duties or delivered to the home)</li> <li>• send an under-18 to obtain alcohol (offence committed by any adult, not necessarily connected to the premises)</li> </ul>
	11.2	State the law in relation to the purchase or attempted purchase of alcohol by or for children	It is a direct violation of the Licensing Act (2003) to purchase or attempt to purchase alcohol on behalf of an under 18-year-old; this can result in criminal charges.
	11.3	State the law in relation to the unsupervised sale of alcohol by a child	<p>A responsible person commits an offence if, on any relevant premises, they knowingly allow an individual aged under 18 to make on the premises:</p> <ul style="list-style-type: none"> <li>• any sale of alcohol</li> </ul> <p>The above does not apply where:</p> <ul style="list-style-type: none"> <li>• the alcohol is sold or supplied for consumption with a table meal</li> <li>• it is sold or supplied in premises which are being used for the service of table meals (or in a part of any premises which is being so used)</li> <li>• the premises are (or the part is) not used for the sale or supply of alcohol otherwise than to persons having table meals there and for consumption by such a person as an ancillary to his meal</li> </ul> <p>Responsible persons able to authorise under 18's to sell alcohol on licensed premises are:</p> <ul style="list-style-type: none"> <li>• the DPS</li> <li>• the premises licence holder</li> <li>• a person aged 18 or over who is authorised by the above</li> </ul>

	11.4	State the types and features of acceptable proof of age documents	<p>A due diligence defence may be available when prosecuted for selling alcohol to someone aged under 18 where the person charged:</p> <ul style="list-style-type: none"> <li>• believed the buyer was 18 or over: and <ul style="list-style-type: none"> <li>➤ took reasonable steps to establish the person's age, or</li> <li>➤ the buyer appeared to be 18 or over</li> </ul> </li> </ul> <p>Types of acceptable proof of age documents include:</p> <ul style="list-style-type: none"> <li>• a valid passport</li> <li>• a valid photocard driving licence</li> <li>• a valid photographic identity card bearing the national Proof of Age Standard Scheme (PASS) hologram</li> </ul> <p>Features of acceptable proof of age documents:</p> <ul style="list-style-type: none"> <li>• date of birth shows the person to be aged 18 or over</li> <li>• photograph is a good likeness of the person</li> <li>• no sign of tampering or alterations</li> <li>• no evidence of forgery</li> <li>• hologram or ultraviolet feature is present</li> <li>• valid and in date</li> </ul> <p>Premises must have an age verification policy in place. Many premises operate a challenge 21 or 25 policy whereby those who appear to be under 21 or 25 are asked to provide valid, photographic proof they are at least 18 before a sale of alcohol takes place. Those who are challenged but are unable to provide sufficient evidence must be refused.</p>
	11.5	Outline the importance of other legislation related to the protection of children	<p>Other legislation related to the protection of children include those in place to restrict the sale or supply of harmful products to children. Legislation includes:</p>

			<ul style="list-style-type: none"> <li>• Children and Young Persons Act (1933)</li> <li>• Children and Young Persons (Protection from Tobacco) Act 1991</li> <li>• The Children and Young Persons (Sale of Tobacco etc.) Order (2007)</li> <li>• Gambling Act (2005)</li> <li>• National Lottery (Amendment) Regulations (2020)</li> <li>• Management of Health and Safety at Work Regulations (1999)</li> <li>• Pyrotechnic Articles (Safety) Regulations (2015)</li> <li>• Fireworks Regulations (2004)</li> <li>• Offensive Weapons Act (2019)</li> </ul>
	11.6	State the law in relation to the presence of children in licensed premises	<ul style="list-style-type: none"> <li>• no unaccompanied under 16s on premises used mostly or solely for the sale of alcohol (on licenced premises)</li> <li>• no unaccompanied under 16s on licensed premises between midnight and 5am</li> </ul>
	11.7	State the law in relation to the consumption of alcohol by under 18s	<p>It is an offence to allow the consumption of alcohol by an under 18-year-old on licensed premises unless <b>all</b> of the following apply:</p> <ul style="list-style-type: none"> <li>• it is beer, wine or cider</li> <li>• it is consumed with a table meal</li> <li>• it is by a 16 or 17-year-old</li> <li>• when accompanied by an adult</li> <li>• where the alcohol has been purchased by an adult</li> </ul> <p>It should also be observed that the management of the premises can reserve the right to refuse the sale of alcohol even if the above conditions are met, if they believe it is putting the child at risk of harm, likewise they</p>

			are required to limit the quantity of purchases made to avoid the child becoming drunk.
	11.8	State penalties for breaching the law in relation to the protection of under 18s on licensed premises	<p>Penalties for breaching the law in relation to the protection of children:</p> <ul style="list-style-type: none"> <li>• conviction by a court</li> <li>• suspension/revocation of personal licence</li> <li>• suspension/revocation of premises licence</li> <li>• failing a test purchase can result in: <ul style="list-style-type: none"> <li>➤ fixed penalty notice (£90) issued to a person who made the illegal sale</li> <li>➤ an unlimited fine if prosecuted</li> </ul> </li> <li>• an unlimited fine if prosecuted for offence of allowing the sale of alcohol to under 18's</li> <li>• offence of persistently selling alcohol to under 18's may be committed when premises are caught selling alcohol to under 18's twice in a 3-month period – the maximum penalty is an unlimited fine and suspension of the premises licence for up to 3 months or voluntary closure for between 48 and 336 hours.</li> </ul>
12. Understand the powers of the police and other authorities in relation to licensed premises	12.1	State the law in relation to the closure of identified licensed premises	<p>Closure of individual licensed premises where serious nuisance or risk of disorder has occurred or is likely to occur.</p> <ul style="list-style-type: none"> <li>• Police inspector or local council may issue closure notice for up to 24 hours</li> <li>• Police or council must apply to the magistrates' court for a closure order within 48 hours</li> <li>• Magistrates' court may make a closure order for up to 3 months</li> <li>• Closure order may be extended for further 3 months</li> </ul>

			<ul style="list-style-type: none"> <li>• Licensing authority must review the premises licence</li> <li>• An offence to remain on or enter premises in breach of a closure notice or order.</li> <li>• An offence to obstruct police or local council officer</li> </ul>
	12.2	State the law in relation to the closure of licensed premises covering a particular geographical area	The police may apply to a magistrate's court for an order to close a number of Licensed Premises in a particular area for a maximum period of 24 hours (request must be from Superintendent or higher). The purposes of these orders are to prevent disorder if, for example, they had reasonable evidence that a large incident is about to occur in the area.
	12.3	Identify which authorities have a right of entry to licensed premises and when they can exercise these rights	<p>Police and authorised persons, have a right to enter premises at any reasonable time to assess applications relating to:</p> <ul style="list-style-type: none"> <li>• premises licences</li> <li>• club premises certificates</li> <li>• Temporary Event Notices (TENs)</li> </ul> <p>Police and authorised persons having a right of entry to licensed premises to investigate licensable activities and check premises are operating legally include:</p> <ul style="list-style-type: none"> <li>• police – may enter and search without a warrant</li> <li>• authorised officer of the licensing authority</li> <li>• fire safety inspector</li> <li>• health and safety inspector</li> <li>• environmental health officer</li> </ul>

			<p>It is an offence to obstruct or prevent a police officer or authorised person from exercising their rights of entry. They may use reasonable force to enter and carry out their duties.</p> <p>Other authorities with the right to enter licensed premises:</p> <ul style="list-style-type: none"> <li>• HM revenue and customs may search for and seize smuggled goods. If entry is required at night, they must be accompanied by a police officer.</li> <li>• Immigration officers have the right of entry to investigate possible breaches of immigration law and illegal working.</li> </ul>
13. Understand prohibitions and exemptions in relation to licensable activities	13.1	Identify the circumstances under which sales of alcohol are not considered to be a retail sale under licensing law	<p>Circumstances where sales of alcohol are not considered to be retail sales under licensing law are where the sales are not made directly to the public. Such sales include:</p> <ul style="list-style-type: none"> <li>• trade or 'business to business' sales</li> <li>• sales to the premises user</li> <li>• 'cash and carry' sales to persons with a relevant authorisation</li> </ul> <p>Retail sales are sales directly to a person for their own consumption and/or for consumption by family and friends</p>
	13.2	Identify which forms of entertainment are regulated and which are exempt	<p>Regulated entertainment is entertainment for which a licence is required when provided for an audience or spectators, or with an intention to make a profit. Regulated entertainment may include:</p> <ul style="list-style-type: none"> <li>• performance of a play</li> <li>• exhibition of a film (excluding the not-for-profit exhibition of films in community premises)</li> <li>• indoor sporting</li> <li>• boxing or wrestling</li> </ul>



			<ul style="list-style-type: none"> <li>• live music</li> <li>• performance of dance</li> <li>• playing recorded music</li> <li>• entertainment similar to a performance of live music, recorded music or a performance of dance</li> </ul> <p>Forms of entertainment which are exempt include:</p> <ul style="list-style-type: none"> <li>• video advertising</li> <li>• educational films in schools</li> <li>• pub games</li> <li>• church or religious services</li> <li>• private parties</li> <li>• TV or radio broadcasts</li> <li>• garden fetes</li> <li>• spontaneous events</li> <li>• incidental music or film</li> <li>• morris dancing</li> <li>• stand-up comedy</li> <li>• teaching students to perform music or dance</li> <li>• performance to a private audience where no charge is made</li> </ul> <p><u>Deregulated entertainment</u></p> <p>Some smaller entertainment events taking place between 8am and 11pm have been deregulated including live and recorded music, performance of plays, indoor sporting events and dancing. Examples of deregulated entertainment includes:</p>
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			<ul style="list-style-type: none"> <li>• unamplified live music between 8am and 11pm in any place</li> <li>• regulated entertainment by or on behalf of local authorities, health care providers, or schools on their own premises is exempt between 8am and 11pm with no audience limit</li> <li>• the performance of live amplified music in relevant alcohol licensed premises or in a workplace between 8am and 11pm for audiences of up to 500</li> <li>• any playing of recorded music in relevant alcohol licensed premises when it takes place between 8am and 11pm for audiences of up to 500</li> <li>• local authorities, health care providers and schools are exempt from entertainment licensing when making their own premises available to third parties for live and recorded music between 8am and 11pm for audiences of up to 500</li> <li>• community premises not licensed to supply alcohol are exempt from entertainment licensing requirements for live and recorded music between 8am and 11pm for audiences of up to 500</li> <li>• travelling circuses are exempt from entertainment licensing where the entertainment (excluding films and boxing or wrestling) takes place between 8am and 11pm on the same day, with no audience limit</li> <li>• Greco-Roman and freestyle wrestling between 8am and 11pm for audiences of up to 1000 people</li> <li>• indoor sporting events between 8am and 11pm for audiences of up to 1000 people</li> </ul>
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	13.3	Identify which types of premises are prohibited from selling alcohol	<p>Premises prohibited from selling alcohol include:</p> <ul style="list-style-type: none"> <li>• motorway services not located on private land</li> <li>• garages used primarily for sale or repair of vehicles</li> <li>• petrol stations used primarily for sale of fuel</li> <li>• on a train when subject to a prohibition order</li> </ul>
	13.4	State the law in relation to the sale of alcohol on moving vehicles	<p>The law in relation to the sale of alcohol on moving vehicles covers:</p> <ul style="list-style-type: none"> <li>• trains on a journey are exempt from the need to have a premises licence</li> <li>• no alcohol sales on a vehicle unless permanently or temporarily parked</li> </ul> <p>The maximum penalty for selling alcohol whilst a vehicle is moving is an unlimited fine and/or 3 months in prison.</p>
<b>Additional information about the unit</b>			
Delivery guidance	This unit may be delivered using a variety of methods such as classroom sessions, distance learning or a blended method.		
Assessment guidance	This unit is knowledge-based. Assessment for all assessment criterion is by multiple choice examination (externally set and marked by SFJ Awards) held under examination conditions.		
Links	<p>People1st (the sector skills council for Hospitality, Leisure, Travel and Tourism) - <a href="http://www.people1st.co.uk">www.people1st.co.uk</a></p> <p>Health and Safety Executive - <a href="http://www.hse.gov.uk">www.hse.gov.uk</a></p> <p>The National Archives (For all UK legislation) - <a href="http://www.legislation.gov.uk">www.legislation.gov.uk</a></p> <p>National Pubwatch - <a href="http://www.nationalpubwatch.org.uk">www.nationalpubwatch.org.uk</a></p> <p>HM Revenue &amp; Customs - <a href="http://www.hmrc.gov.uk">www.hmrc.gov.uk</a></p> <p>Home Office (Alcohol Licensing) - <a href="http://www.gov.uk/alcohol-licensing">www.gov.uk/alcohol-licensing</a></p>		

## 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 Guidance and the SFJ Awards Quality Assurance (Internal and External) Guidance, available in the centres' area of the SFJ Awards website <http://sfjawards.com/approved-centres>.

### 4.1 Training and Delivery

- To achieve this qualification, learners should complete a training course which can be either tutor led or delivered online (e.g. through an approved e-learning course). Distance learning is also acceptable.
- Delivery of training, and course delivery materials, may be subject to review by SFJ Awards.
- Delivery should never be aimed at the content of an examination alone. Training directed toward any examination paper is totally prohibited.

The centre is responsible for quality assuring training delivery; SFJ Awards is responsible for verifying that the centre adheres to the agreed quality assurance requirements.

# 5 Assessment

## 5.1 Qualification assessment methods

The SFJ Awards Level 2 Award for Personal Licence Holders is knowledge-based qualification. Assessment for all assessment criteria is by multiple choice examination (externally set and marked by SFJ Awards) held under examination conditions and identification checks must be completed.

Identification must be photographic and could include:

- A signed valid passport of any nationality
- A signed valid UK photo driving licence (provisional or full)
- Valid warrant card issued by the police or armed forces
- Other photographic identification cards such as travel cards, employee ID cards or student ID cards

The duration of the examination, along with details of the total marks available, and the required pass mark, are outlined below:

Qualification title	Duration of exam	Total exam marks	Pass mark
Level 2 Award for Personal Licence Holders (RQF)	1 hour	40	28

## 5.2 Trainer/Assessor and internal quality assurer 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.

Tutors must:

- have an appropriate teaching qualification e.g. Level 3 Award in Education and Training , PTLLS, Level 4 Certificate in Education and Training
- must hold one of the following:  
Level 2 Award for Personal Licence Holders  
Level 2 National Certificate for Personal Licence Holders  
Level 3 Award for Designated Premises Supervisors
- should have an up to date knowledge and/or experience of the sector.

Internal verifiers should hold the same qualifications as tutors in addition to an internal verifier qualification or be working towards an internal verifier qualification; if they working towards the qualification, they should be supervised by someone who does hold the qualification.

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<sup>2</sup> or Police Sector Standard for the Training of Assessors, Assessor Standard.

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

### 5.2.3 Internal Quality Assurer competence

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

- coordinate the work of assessors
- provide authoritative advice
- call meetings as appropriate
- conduct pre-delivery internal quality assurance on centre assessment plans, for example, to ensure that any proposed simulations are fit for purpose
- visit and observe assessment practice
- review the assessment process by sampling assessment decisions
- ensure that assessment has been carried out by assessors who are occupationally competent, or for knowledge-based qualifications occupationally knowledgeable, in the area they are assessing
- lead internal standardisation activity
- resolve differences and conflicts on assessment decisions.

To demonstrate their competence, IQAs must be:

- qualified with a recognised internal quality assurance qualification, or
- working towards a recognised internal quality assurance qualification, or
- able to prove equivalent competence through training to appropriate national standards, for example National Occupational Standard 11: Internally monitor and maintain the quality of assessment<sup>3</sup> or Police Sector Standard for the Training of Internal Verifiers, Internal Verifier Standard.

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

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<sup>2</sup> National Occupational Standards for Learning and Development, LLUK 2010  
<https://www.excellencegateway.org.uk/>

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

### 5.3 Assessing knowledge and understanding

Knowledge-based assessment involves establishing what the learner knows or understands at a level appropriate to the qualification. The depth and breadth of knowledge required at the different qualification levels are defined in Ofqual's level descriptors.<sup>4</sup> Further information on qualification levels is included in the SFJ Awards Assessment Guidance.

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.

### 5.4 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.

- 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.

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<sup>4</sup> Qualification and Component Level, Ofqual  
<https://www.gov.uk/guidance/ofqual-handbook/section-e-design-and-development-of-qualifications>



## **5.5 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 knowledge and understanding of 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.

## **5.6 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.

## **5.7 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.

## **5.8 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.

## **5.9 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.

Centres must 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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