

End-point assessment plan for Counter Fraud Investigator apprenticeship standard

Apprenticeship standard reference number	Level of this end point assessment (EPA)	Integrated
ST0747	4	No

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Introduction and overview

This document sets out the requirements for end-point assessment (EPA) for the Counter Fraud Investigator apprenticeship standard. It is for end-point assessment organisations (EPAOs) who need to know how EPA for this apprenticeship must operate. It will also be of interest to Counter Fraud Investigator apprentices, their employers and training providers.

Full time apprentices will typically spend 24 months on-programme (before the gateway) working towards the occupational standard, with a minimum of 20% off-the-job training. All apprentices will spend a minimum of 12 months on-programme.

The EPA period should only start, and the EPA be arranged, once the employer is satisfied that the apprentice is deemed to be consistently working at or above the level set out in the occupational standard, all of the pre-requisite gateway requirements for EPA have been met and that they can be evidenced to an EPAO.

All pre-requisites for EPA assessment methods must also be complete and available for the assessor as necessary.

For level 3 apprenticeships and above apprentices without English and Mathematics at level 2 must achieve level 2 prior to taking their EPA.

The EPA must be completed within an EPA period typically lasting 3 months, beginning when the apprentice has passed the EPA gateway.

The EPA consists of 2 discrete assessment methods.

The individual assessment methods will have the following grades:

Assessment method 1: Professional discussion underpinned by portfolio.

- Fail
- Pass
- Distinction

Assessment method 2: Investigation report, presentation, and questioning based on an ongoing Counter Fraud Investigation.

- Fail
- Pass
- Distinction

Performance in the EPA will determine the overall apprenticeship standard and grade of:

- Fail
- Pass
- Distinction

EPA summary table

On-programme (Typically 24 months)	Training to develop the occupation standard's knowledge, skills and behaviours.
End-point Assessment Gateway	<ul style="list-style-type: none"> • Employer is satisfied the apprentice is consistently working at, or above, the level of the occupational standard. • English/Mathematics Level 2 <p>Apprentices must complete:</p> <ul style="list-style-type: none"> • A Portfolio of evidence
End Point Assessment (Which would typically take 3 months)	<p>Assessment Method 1: Professional discussion underpinned by portfolio.</p> <p>With the following grades:</p> <ul style="list-style-type: none"> • Fail • Pass • Distinction <p>Assessment Method 2: Investigation report, presentation, and questioning based on an ongoing Counter Fraud Investigation.</p> <p>With the following grades:</p> <ul style="list-style-type: none"> • Fail • Pass • Distinction
Professional recognition	<p>Aligns with recognition by:</p> <ul style="list-style-type: none"> • Government Counter Fraud Investigation Profession / Practitioner

Length of end-point assessment period:

The EPA should be completed within an EPA period typically lasting 3 months, beginning when the apprentice has passed the EPA gateway.

Any supporting material required for the EPA should be submitted at the gateway

If an EPA assessment method is failed, it should be retaken within the typical EPA period and in-line with the requirements set out in this assessment plan.

Order of assessment methods

The assessment methods can be delivered in either order.

Gateway

The EPA period should only start once the employer is satisfied that the apprentice is consistently working at or above the level set out in the occupational standard, that is to say they are deemed to have achieved occupational competence. In making this decision, the employer may take advice from the apprentice's training provider(s), but the decision must ultimately be made solely by the employer.

In addition to the employer's confirmation that the apprentice is working at or above the level in the occupational standard, the apprentice must have completed the following gateway requirements prior to beginning EPA:

- English and Mathematics at level 2.

For those with an education, health and care plan or a legacy statement, the apprenticeship's English and maths minimum requirement is Entry Level 3. A British Sign Language (BSL) qualification is an alternative to the English qualification for those whose primary language is BSL.

For Professional discussion underpinned by portfolio, the apprentice will be required to submit:

A portfolio.

- The format and structure of the portfolio should be agreed between the employer, the apprentice and the EPAO (e.g. hard copy or on-line). However, the content must be sufficient to evidence that the apprentice can apply the KSBs required as mapped to the professional discussion.
- There must be at least one piece of evidence relating to each KSB mapped to professional discussion. One piece of evidence can be referenced against more than one knowledge, skill or behavioural requirement. It is expected that there will typically be a minimum of 10 pieces and a maximum of 15 pieces of evidence.
- The portfolio should contain written accounts of activities that have been completed and referenced against the KSBs, supported by appropriate evidence. Progress review documentation, witness testimonies, and feedback from colleagues and/or clients should also be included. Reflective accounts and self-assessments must not be included as evidence. The apprentice's Manager/Mentor will typically support the development of the portfolio in accordance with company policy and procedures, although the EPAO will provide further guidance on the content.
- The portfolio is based on work completed by the apprentice and can be drawn from all areas of work undertaken on-programme.
- The employer should sign the portfolio off thereby authenticating it.

For the Investigation report, presentation, and questioning based on an ongoing Counter Fraud Investigation, the apprentice will be required to submit:

A brief summary of the chosen Counter Fraud Investigation.

- The brief summary should include information pertinent to the Counter Fraud Investigation, giving details on what is being investigated and how this covers the KSBs mapped to this method.
- The brief summary does not have an allocated word count and is not an assessed element of the End Point Assessment. The brief summary will be submitted at the Gateway to inform the EPAO of the type of Counter Fraud Investigation chosen.
- The EPAO will provide a title for the investigation report within 2 weeks of the Gateway based on the brief summary provided.

Assessment methods

Assessment Method 1: Professional discussion underpinned by portfolio (This method has 1 component.)

Overview

This assessment will take the form of a professional discussion, which must be appropriately structured to draw out the best of the apprentice's competence and excellence and cover the KSBs assigned to this assessment method. It will involve questions that will focus on coverage of prior learning and/or activity.

The professional discussion can take place in any of the following:

- Employer's premises
- A suitable venue selected by the EPAO (e.g. a training provider's premises)
- Video conferencing (e.g. Skype)

The rationale for this assessment method is:

To allow the associated KSBs to be adequately and sufficiently measured. The Counter Fraud Investigator will be expected to explain an investigation in face-to-face meetings and relay complex information to others in a clear and concise way.

Delivery

The independent assessor will conduct and assess the professional discussion.

The professional discussion must last for 90 minutes. The independent assessor has the discretion to increase the time of the professional discussion by up to 10% to allow the apprentice to complete their last answer. Further time may be granted for apprentices with appropriate needs in line with the EPAOs Reasonable Adjustment Policy.

During this method, the independent assessor must combine questions from the EPAO's question bank and those generated by themselves. A minimum of 8 questions will be asked during the professional discussion.

The professional discussion will be conducted as set out here:

The questions should be chosen based on evidence provided to the independent assessor in advance in the portfolio so that questioning can be used to authenticate evidence, experience and competence.

Video conferencing can be used to conduct the professional discussion, but the EPAO must have processes in place to verify the identity of the apprentice and ensure the apprentice is not being aided in some way (e.g. 360 degree camera).

The independent assessor must use the assessment tools and procedures that are set by the EPAO to record the professional discussion.

Requirements:

- Apprentices must receive appropriate notice of their professional discussion time. There should be a minimum 10 working days' notice of the time, date and venue.

- EPAOs must structure a series of topic areas for discussion based on the areas of the standard to be tested as detailed in the KSB mapping section of this document.

The topic areas will cover:

- Legislation and Departmental / Service Agency Policies
 - Case Initiation
 - Evidence Gathering Duties
 - Interviewing
 - Case Progression
 - Parallel Approach
 - Stakeholder Engagement
 - Sanctions, Redress & Punishment
- EPAOs must produce questions for independent assessors to use as a base to facilitate the discussion.
 - The professional discussion must seek to determine performance against the grading criteria.
 - Video conferencing can be used to conduct the professional discussion, such as Skype.
 - The professional discussion will be audio recorded for quality assurance purposes. This must be captured and retained according to GDPR guidelines.
 - Independent assessors must assess the professional discussion using the grading criteria in this document.

The independent assessor will make all grading decisions.

Venue

The professional discussion should take place in a quiet room, free from distractions and influence.

Other relevant information

A structured specification and question bank must be developed by EPAOs. The 'question bank' must be of sufficient size to prevent predictability and must be reviewed regularly (and at least once a year) to ensure that it, and its content, are fit for purpose. The specifications, including questions relating to the underpinning knowledge, skills and behaviours, must be varied yet allow assessment of the relevant KSBs.

EPAOs must ensure that apprentices have a different set of questions in the case of re-sits/re-takes.

Independent assessors must be developed and trained by the EPAO in the conduct of professional discussion and reaching consistent judgement.

EPAOs will produce the following material to support this assessment method:

- Outline of the assessment method's requirements
- Marking materials
- A question bank

Assessment Method 2: Investigation report, presentation, and questioning based on an ongoing Counter Fraud Investigation.

Overview

Apprentices will prepare and deliver a presentation followed by questioning based on an investigation report that appropriately covers the KSBs assigned to this method of assessment. The investigation report and presentation will be started post gateway. The investigation will be designated by the employer during the apprenticeship programme. This will be recorded on the employer's internal systems.

A brief summary of the investigation will be supplied by the employer and apprentice to the EPAO at the gateway. The EPAO will provide a title for the investigation report to the apprentice, based on this information within 2 weeks.

The investigation report, will be based on an ongoing Counter Fraud Investigation covering the associated KSBs.

The investigation report must be 2,000 to 2,500 words excluding tables, figures, references and annexes. The investigation report must be submitted to the EPAO 20 days following receipt of the report title from the EPAO.

The investigation report will cover the four main aspects of an investigation:

1. Legislation and Departmental / Service Agency Policies
2. Evidence Gathering Duties
3. Interviewing
4. Case Progression

Within the investigation report, the apprentice can make reference to pieces of evidence, for example annotated images etc.

Apprentices will also produce a presentation which will be submitted at the same time as the investigation report and will be presented to an independent assessor, either face-to-face or via online video conferencing. If using an online platform, EPAOs must ensure appropriate measures are in place to prevent misrepresentation.

The presentation will be based on the investigation report and will cover the following:

- A summary of the investigation report
- Explanation of how and why specific methods were utilised
- Critical review of the investigation
- Learning points of the investigation

The independent assessor will draw out further information using questions.

The rationale for this assessment method is:

An investigation can take up to ten years to complete, and there is a chance that an investigation is cancelled due to many circumstances, e.g. lack of evidence, absconding suspects etc. The investigation report is designed to demonstrate the application of knowledge and skills as it would in the occupation. This is to allow the associated KSBs to be adequately and sufficiently measured. The apprentice will be expected to explain an investigation in a report and at face-to-face meetings and relay complex information to others in a clear and concise way.

Delivery

The investigation report and presentation will be submitted 20 days after the title of the investigation report has been provided by the EPAO. Once submitted, the presentation will be scheduled. The EPAO should ensure that the assessor has appropriate time to review the investigation report and presentation prior to the presentation taking place.

The presentation will last for 30 minutes. The assessor has the discretion to increase the time of the presentation by up to 10% to allow the apprentice to complete their last point.

The independent assessor will ask up to 10 questions at the end of the presentation, lasting up to an additional 30 minutes. The questions will be drawn from the EPAO's question bank and those generated by themselves based on the presentation.

To deliver the presentation, the apprentice will have access to:

- PowerPoint
- Flip chart
- Computer
- Any further aids, as required

The presentation will be conducted as follows:

The independent assessor must:

- a) Plan the assessment prior to it taking place;
- b) Ensure that the arrangements for the assessment is appropriate;
- c) Ensure any special needs of the apprentice are taken into consideration;
- d) Ensure that the apprentice understands the assessment process, the possible outcomes and how it is graded;
- e) Ensure that the grading criteria and relevant documentation are to hand before commencing;
- f) The presentation will be audio recorded for quality assurance purposes This must be captured and retained according to GDPR guidelines;
- g) Document the outcomes using the EPAO's standard documentation;
- h) Collect all presentation materials from the apprentice;
- i) Ensure the apprentice is not informed of the outcome of the assessment at this stage;
- j) Confirm the specification has been fully covered and the rules have been followed;
- k) Make the final decision about the outcome of the assessment and recommend the grade;
- l) Send documentation to the EPAO within the agreed timescale

The independent assessor will make all grading decisions.

Venue

EPAOs must ensure that the presentation and questioning elements are conducted in a suitable controlled environment in any of the following:

- Employer's premises
- A suitable venue selected by the EPAO (e.g. a training provider's premises)
- Video conferencing (e.g. Skype)

The venue should be a quiet room, free from distraction and external influence.

Support material

EPAOs will produce the following material to support this assessment method:

Outline of the assessment method's requirements, Marking materials, A question bank.

Weighting of assessment methods

All assessment methods are weighted equally in their contribution to the overall EPA grade.

Grading

Assessment method 1: Professional discussion underpinned by portfolio

Title	KSBs	Fail	Pass	Distinction 4 out of 6 of the below
Legislation and Departmental / Service Agency Policies	K1 K3 S1 S2	Does not meet the requirements of a pass.	<p>Explains the principles of an investigation including the proportionate use of legal powers, codes of practice and departmental policy.</p> <p>Identifies and explains the different legislations used relevant to investigations.</p> <p>Explains the process of policy and law change, and is able to describe sources of information regarding these changes.</p> <p>Describes how the utilisation of the 'points to prove' furthered an investigation process.</p> <p>Explains examples of appropriate sources of information which are used in line with policy and changes to legislation.</p> <p>Explains how they organized their workload appropriately to meet the organisations requirements for an investigation, including their decision making process.</p>	Explain and evaluate multiple sources of information and how they appropriately apply relevant information in accordance with policy and law change.
Case Initiation	K4 S4	Does not meet the requirements of a pass.	<p>Identifies the powers and legislation relevant to working cases.</p> <p>Explains how to produce organised case files from opening, planning, to applying the Fraud Investigation Model and Organisational Standards.</p>	Explains an alternative way to organise case files from opening to planning whilst applying the Fraud

			Explains the process of prioritising multiple cases, taking into account the organisation's goals.	Investigation Model to the required standard. Explains the value of accurately reviewing, evaluating and selecting case material for a case file preparation.
Evidence Gathering Duties	K5 K8 K10 S5 S8 S9 S13 S14 B2 B3	Does not meet the requirements of a pass.	<p>Explains types of evidence and gives an example of when they have been considered during an investigation.</p> <p>Explains the importance of recording all types of evidence accurately, and describes the importance of notetaking during the course of an investigation.</p> <p>Explains the importance of producing witness statements/affidavits to the standard required.</p> <p>Explains how to analyse a range of data to produce appropriate decisions.</p> <p>Explains the process of evidence gathering, and the classification and handling of information, giving an example of appropriate action before disseminating material, in line with the National Intelligence Model and National Intelligence methodology.</p> <p>Explains the briefing and de-briefing method, disseminating information gathered to the appropriate individuals, groups, or departments as required, for all investigations.</p> <p>Explains the importance of integrity and impartiality in line with requirements of the business and profession, keeping up to date with new legislative and procedural changes.</p>	Explains how to re-prioritise evidence following information received from a witness / material gathered and the decision-making process for this change.

Interviewing	K15 K18 S15 S16 S17 S18 B5	Does not meet the requirements of a pass.	<p>Explains an example of applying the PEACE model for planning and conducting interviews showing a wide range of 'soft skills' methods.</p> <p>Describes how the style of interviewing was adopted to an approach suitable for gathering evidence from a witness.</p> <p>Explains how they used accurate information produced and recorded throughout an interviewing process.</p> <p>Describes when they have shown courage, resilience and flexibility when interacting with others to ensure the best outcome.</p>	Evaluates the PEACE model, highlighting interview styles which best suit the investigation, which would direct future interview results.
Case Progression	K19 S19 S20 S24 S25 B1	Does not meet the requirements of a pass.	<p>Explains how to produce concise, timely, clear, balanced and accurate reports, briefings, letters, and e-mails to the standard of the organisational guidelines and give an example of when this was applied during an investigation.</p> <p>Explains how to apply key organizational procedures in full compliance for legal proceedings.</p> <p>Explains examples of being conscientious and organised when completing multiple tasks.</p> <p>Explains examples of evidence files with ongoing investigation assessments, and applications and orders, for court.</p>	
Parallel Approach	K26 S26	Does not meet the requirements of a pass.	<p>Explains how to assess files and investigatory evidence, outlining any associated risks in parallel investigations.</p> <p>Describes why they should consider other civil enforcement, recovery or compensation investigations giving an example of applying these procedures when working an investigation case.</p>	

Stakeholder Engagement	K27 S27	Does not meet the requirements of a pass.	Describes how to maximize the effectiveness of investigations by working inclusively with others and gives an example of how this was applied during an investigation case. Explains how they have worked collaboratively with partners within organisational guidelines to ensure best outcomes for a case.	
Sanctions, Redress & Punishment	K28 S28	Does not meet the requirements of a pass.	Explains how appropriately categorise fraud and the appropriate process to determine losses. Explains how this is perpetrated across sanctions and redress with reporting outcomes.	Explains research based evidence to support, prepare, and improve categorising fraud in relation to how this is perpetrated across sanctions and redress.

Assessment method 2: Investigation report, presentation, and questioning based on an ongoing Counter Fraud Investigation.

Title	KSBs	Fail	Pass	Distinction 2 out of 3 of the below
Legislation and Departmental / Service Agency Policies	K2 S3	Does not meet the requirements of a pass.	Describes the use of legislation and appropriate codes of practice during an investigation.	
Evidence Gathering Duties	K6 K7 K9 K11 K12	Does not meet the requirements of a pass.	Describes forensic opportunities and when they can be used to gather evidence, the RIPA Codes of Practice, and the importance of recording investigation practices in the course of an investigation. Summarises the chain of evidence and the National Intelligence Model. Can explain how to assess the strength and the requirement to lawfully gather evidence.	Evaluates the use of an investigative decision making tool to support and contribute to decisions made.

	K13 K14 S6 S7 S10 S11 S12		<p>Describes how to produce witness statements.</p> <p>Explains how data may be analysed and collated to support investigative decisions and outcomes in an investigation.</p> <p>Explains the government protective marking scheme and when source management processes should apply when disseminating material.</p> <p>Explains the significance of relevant legislation and procedures in preparation for a search and gives an example of when it was put into practice.</p> <p>Explains:- the briefing format, an example of forensic opportunities, how to apply them in investigations and an example of RIPA Codes of Practice.</p> <p>Explains how relevant legislation and codes of practice are applied when gathering evidence to the required standards in an investigation.</p>	
Interviewing	K16 K17	Does not meet the requirements of a pass.	<p>Explains the requirements for conducting an interview under the relevant legislation and departmental policy.</p> <p>Explains techniques for appropriately managing the various demands of the witness.</p>	Evaluates, through analysis of interviews, improvements to policy for the organisation.
Case Progression	K20 K21 K22 K23 K24 K25	Does not meet the requirements of a pass.	<p>Explains how to prepare files, applications and orders for court, comprehending the compliance with the provisions for disclosure and how to obtain, record, and present evidence in court.</p> <p>Explains the consequences for not following procedures and the requirement of giving evidence as a witness.</p> <p>Explains the process for referring a case to other law enforcement agencies.</p>	Evaluate investigation processes used internally and developed by stakeholders to identify best practice to highlight, adopt and develop an improved process for the business, which adds value and creates efficiency in

	S21 S22 S23 B4 B6		Explains how to improve processes for prevention, deterrence, and increased future detection. Explains the key procedures to remain in full compliance for legal proceedings. Explains how they have remained inquisitive, open-minded and objective during the investigation.	investigations for their organisation.
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Overall EPA grading

All EPA methods must be passed for the EPA to be passed overall.

Grades from individual assessment methods should be combined in the following way to determine the grade of the EPA as a whole:

Professional discussion underpinned by portfolio	Investigation report, presentation, and questioning based on an ongoing Counter Fraud Investigation.	Overall grading
Distinction	Distinction	Distinction
Distinction	Pass	Pass
Pass	Distinction	Pass
Pass	Pass	Pass
Fail	Any grade	Fail
Any grade	Fail	Fail

Roles and responsibilities

Role	Responsibility
Apprentice	<ul style="list-style-type: none"> • participate in development opportunities to improve their knowledge skills and behaviours as outlined in the standard • meet all gateway requirements when advised by the employer • understand the purpose and importance of EPA and undertake EPA
Employer	<ul style="list-style-type: none"> • support the apprentice to achieve the KSBs outlined in the standard to their best ability • determines when the apprentice is working at or above the level outlined in the standard and is ready for EPA • select the EPAO • confirm all EPA gateway requirements have been met • confirm arrangements with EPAO for the EPA (who, when, where) in a timely manner • ensure apprentice is well prepared for the EPA
EPAO	<p>As a minimum EPAOs should:</p> <ul style="list-style-type: none"> • understand the occupational role • provide training and CPD to the independent assessors they employ to undertake the EPA • provide adequate information, advice and guidance documentation to enable apprentices, employers and providers to prepare for the EPA • deliver the end-point assessment outlined in this EPA plan in a timely manner • prepare and provide all required material and resources required for delivery of the EPA in-line with best practices • use appropriate assessment recording documentation to ensure a clear and auditable mechanism for providing assessment decision feedback to the apprentice • have no direct connection with the apprentice, their employer or training provider i.e. there must be no conflict of interest • maintain robust internal quality assurance (IQA) procedures and processes, and conducts these on a regular basis • conform to the requirements of the nominated external quality assurance body • organise standardisation events and activities in accordance with this plan's IQA section • organise and conduct moderation of independent assessors' marking in accordance with this plan • have, and operate, an appeals process • arrange for certification with the relevant training provider

Independent assessor	<p>As a minimum an Independent assessor should:</p> <ul style="list-style-type: none"> • understand the standard and assessment plan • deliver the end-point assessment in-line with the EPA plan • comply with the IQA requirements of the EPAO • be independent of the apprentice, their employer and training provider(s) i.e. there must be no conflict of interest • satisfy the criteria outlined in this EPA plan • hold or be working towards an independent assessor qualification e.g. A1 and have had training from their EPAO in terms of good assessment practice, operating the assessment tools and grading • have the capability to assess the apprentice at this level • attend the required number of EPAOs standardisation and training events per year (as defined in the IQA section)
Training provider	<p>As a minimum the training provider should:</p> <ul style="list-style-type: none"> • work with the employer to ensure that the apprentice is given the opportunities to develop the KSBs outlined in the standard and monitor their progress during the on-programme period • advise the employer, upon request, on the apprentice's readiness for EPA prior to the gateway • Plays no part in the EPA itself

Internal Quality Assurance (IQA)

Internal quality assurance refers to the requirements that EPA organisations must have in place to ensure consistent (reliable) and accurate (valid) assessment decisions. EPA organisations for this EPA must:

Appoint independent assessors who:

- Have evidence of ongoing fraud investigation CPD during the past two years.
Have evidence of ongoing assessment-related CPD during the past two years.
- Provide training for independent assessors in terms of good assessment practice, operating the assessment tools and grading.
- Have robust quality assurance systems and procedures that support fair, reliable and consistent assessment across the organisation and over time.
- Operate induction training and standardisation events for independent assessors when they begin working for the EPAO on this standard and before they deliver an updated assessment method for the first time. The minimum requirements would include one standardisation activity for assessors per year.

Re-sits and re-takes

Apprentices who fail one or more assessment method will be offered the opportunity to take a re-sit or a re-take. A re-sit does not require further learning, whereas a re-take does.

Apprentices should have a supportive action plan to prepare for the re-sit or a re-take. The apprentice's employer will need to agree that either a re-sit or re-take is an appropriate course of action.

An apprentice who fails an assessment method, and therefore the EPA in the first instance, will be required to re-sit or re-take any failed assessment methods only. In the event of a re-sit or re-take an amended investigation report is required.

Any assessment method re-sit or re-take must be taken during the typical EPA period, otherwise the entire EPA must be taken again, unless in the opinion of the EPAO exceptional circumstances apply outside the control of the apprentice or their employer.

Re-sits and re-takes are not offered to apprentices wishing to move from pass to distinction

Where any assessment method has to be re-sat or re-taken, the apprentice will be awarded a maximum EPA grade of pass, unless the EPAO determines there are exceptional circumstances requiring a re-sit or re-take.

Affordability

Affordability of the EPA will be aided by using at least some of the following practice:

- Using an employer's premises
- Video conferencing (e.g. Skype)

Professional body recognition

This apprenticeship is designed to prepare successful apprentices to meet the requirements for registration as a Counter Fraud Investigator within the Government Counter Fraud Investigation Profession / Practitioner.

Reasonable adjustments

The EPAO must have in place clear and fair arrangements for making reasonable adjustments for this apprenticeship standard. This should include how an apprentice qualifies for Reasonable Adjustment and what Reasonable Adjustments will be made. The adjustments must maintain the validity, reliability and integrity of the assessment methods outlined in this assessment plan.

Mapping of knowledge, skills and behaviours (KSBs)

Assessment method 1: Professional discussion underpinned by portfolio.

Knowledge
K1 Understand the legislation and associated codes of practice relevant to investigations as well as an understanding of departmental policy. Covering appropriate laws including Police and Criminal Evidence Act 1984 (PACE), Criminal Procedure and Investigations Act 1996 (CPIA), Human Rights Act (HRA), and Proceeds of Crime Act 2002 (POCA), Data Protection legislation, Public Interest Disclosure Act 1998 (PIDA), Whistleblowing (WB) policies and equivalent Civil legislation such as the Finance Act (FA) where appropriate.
K3 Understand the process of policy and law change, and is able to identify sources of information regarding these changes.
K4 Understand how to open and maintain a case file and how to plan an investigation to the required standard for criminal, civil, regulatory or disciplinary investigations. Understand the Fraud Investigation Model (Criminal) / or organisational equivalent when responding to allegations of fraud.
K5 Understand the different types of evidence (direct, circumstantial, hearsay etc.)
K8 Understand why the recording of notes of interviews, conversations, evidential observations and decisions made during the course of an investigation is necessary and has knowledge of best practice use. Understand how to produce witness statements / affidavits to the standard required for all types of investigations.
K10 Understand the relevant legislation and procedures (including Legal Professional Privilege) in the participation of a search of a person, premises, vehicles or workplaces.
K15 Understand the PEACE model and the use of conversation management and open recall techniques, how to produce an overarching investigative interviewing strategy, an interview plan and how to evaluate an investigatory interview to identify further investigative actions, to the required standard, civil, disciplinary, regulatory or criminal. Where appropriate.
K18 Understand how to produce investigator notes, narrative statements, 3rd party witness testimonies and transcripts, and the requirements for retention.
K19 Understand how to produce concise, timely, clear, balanced & accurate reports, briefings, letters, e-mails & other items of correspondence.
K26 Understand how to prepare files and investigate to the relevant standard in parallel, including the differences and associated risks in parallel investigations and the relevant parallel civil enforcement and / or recovery / compensation actions and how to progress them.
K27 Understand who the partners are in the counter fraud community and law enforcement sector and the need to build and maintain new and existing partner / stakeholder relationships with those involved in investigations to achieve progress on objectives, key initiatives and shared interests.

K28 Understand the different types of fraud committed and how these frauds could be perpetrated, the processes required to determine the losses and costs figures in sanction and redress outcomes and how to report the outcome with recommendations.
Skills
S1 Apply legislation and associated codes of practice and can determine points to prove in pursuing an investigation. Apply departmental policy.
S2 Investigate the points to prove in pursuing an investigation.
S4 Maintain case files and produce investigation plans to the required standards for criminal, civil, regulatory or disciplinary investigations. Apply the Fraud Investigation Model (Criminal) / or organisational equivalent when responding to allegations of fraud.
S5 Differentiate between types of evidence (direct, circumstantial, hearsay etc.) and relate their significance.
S8 Implement best practice for note taking during the course of an investigation (where relevant to the type of investigations undertaken). Implement best practice for witness statements during the course of an investigation (Relevant to the type of investigations undertaken).
S9 Produce records of the investigation activities / enquires during the course of an investigation. Apply the rules and relevant policies relating to the continuity of evidence so the source of evidence can be fully supported. Apply the classification and handling of information in line with the National Intelligence Model and national intelligence methodology (criminal investigation) and appropriate handling principles to source and intelligence material, demonstrating knowledge of potential risks of mishandling.
S13 Use analysis techniques on a range of data and make sound and fair investigation decisions in investigation as appropriate. Apply the organisation's protective marking scheme and source management before disseminating material.
S14 Apply the briefing and de-briefing method, disseminating information gathered to the appropriate individuals, groups, or departments as required, for all investigations.
S15 Utilise the PEACE model for interviewing, applying conversation management and open recall techniques, complete an overarching investigative interviewing strategy, produce interview plans, summarise and evaluate interviews to the required standard.
S16 Undertake an interview appropriate to the investigation being undertaken, introducing testimony and exhibits during interviews as appropriate.
S17 Recognise and respond to the varying demands of the witness.
S18 Produce and retain accurate investigator notes, narrative statements, 3rd party witness testimonies and transcripts.
S19 Produce concise, timely, clear, balanced & accurate reports, briefings, letters, e-mails & other items of correspondence.
S20 Prepare files, applications and orders for court to the required standard for the activity undertaken.
S24 Produce full and accurate post investigation assessments.

S25 Produce an evidence file with material to support court, tribunal or disciplinary proceedings in accordance with the requirements of the relevant legislation, codes of practice or departmental policy.
S26 Utilise the correct powers appropriate to the type of investigation.
S27 Build and maintain new and existing partner / stakeholder relationships to achieve progress on objectives, key initiatives and shared interests and developing beneficial working relationships.
S28 Categorising fraud and provide insight into how the fraud was perpetrated, calculate the losses and costs borne in cases of fraud for use in sanctions and redress outcomes.
Behaviours
B1 Committed, conscientious and organised even when completing multiple tasks.
B2 Take accountability for decisions made and for maintaining own knowledge and skills.
B3 Work with integrity, impartiality and excellence in line with requirements of the business and their profession.
B5 Show courage, resilience and flexibility when interacting with others to ensure the best outcome.

Assessment method 2: Investigation report, presentation, and questioning based on an ongoing Counter Fraud Investigation.

Knowledge
K2 Understand the points to prove in pursuing an investigation such as guilty mind, guilty act, and prima facie evidence.
K6 Understand the types of forensic opportunity available and when they can be used to gather evidence.
K7 Understand the principles of RIPA codes of practice.
K9 Understand why recording investigation activities / enquiries during the course of an investigation are necessary and has knowledge of best practice use. Understand the rules and relevant policies relating to the continuity of evidence such that the source of evidence can be fully supported. Understand the National Intelligence Model, National Intelligence methodology (criminal investigation) and the demarcation of intelligence and evidence and demonstrate awareness of source and evidence handling.
K11 Understand how to assess the strength of evidence and the requirement to lawfully gather evidence to required standards in a criminal, civil, regulatory or disciplinary investigations, subject to role.
K12 Understand how to produce witness statements to the standards required by the CPIA 1996 (criminal investigations). Understand how to produce witness statements / affidavits to the standard required for non-criminal investigations.
K13 Understand how data may be analysed and collated to support investigative decisions and outcomes in criminal, civil, regulatory or disciplinary investigations as appropriate. Understand when the government protective marking scheme and source management processes should apply when disseminating material.
K14 Understand the briefing and de-briefing format.
K16 Understand the requirements for conducting an Interview Under Caution (IUC) fully compliant with the requirements of PACE and Criminal Justice Act 2003 (CJA) (criminal investigations). Understand the requirements for conducting an interview which is fully compliant with relevant legislation or departmental policy (non-criminal investigations).
K17 Understand the varying demands of the witness and how to respond to them.
K20 Understand how to prepare files, applications and orders for court to the required standard for the activity undertaken.
K21 Understand the procedures and requirement to give evidence as a witness at hearings. (Criminal / Civil / Regulatory / Disciplinary investigations). Understand the process for referring a case to other law enforcement agencies.
K22 Understand compliance with the provisions for disclosure in court, tribunal or disciplinary proceedings as appropriate.

K23 Understand how to obtain, record & present evidence in court during proceedings.
K24 Understand how to provide insight from investigations to identify and facilitate improvements to policy and processes to assist prevention, deterrence and increased future detection.
K25 Understand how to prepare an evidence file with material to support court, tribunal or disciplinary proceedings in accordance with the requirements of the relevant legislation, codes of practice or departmental policy.
Skills
S3 Identify sources of information e.g. regarding the process of policy and law change.
S6 Utilise forensic opportunities and how to apply them in investigations (where relevant to the type of investigations undertaken).
S7 Apply consideration of the principles of RIPA codes of practice.
S10 Participate in searches (including consideration of Legal Professional Privilege) of a person, premises, vehicles or workplaces, adhering to policy and legislation of organisation.
S11 Assess the strength of evidence and apply the relevant legislation and codes of practice to gather evidence to required standards, subject to role.
S12 Produce witness statements to the required standard for the investigations e.g. Criminal Investigation Standard.
S21 Present evidence as a witness at appropriate hearings. Refer appropriate cases to other law enforcement agencies.
S22 Comply with the provisions of disclosure in legal proceedings.
S23 Obtain, record & present evidence in court during proceedings.
Behaviours
B4 Inquisitive, open-minded and objective, will seek out evolving and innovative ways to add value.
B6 Work collaboratively with stakeholders to achieve common goals and have an awareness of different styles of working to ensure mutual respect.