



IQ Level 3 Award for Professional Investigators (QCF)
Specification

Regulation No: 600/3345/9

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Industry Qualifications

IQ is approved by the UK's national regulator of qualifications Ofqual. It was launched in 2011 to provide users and learners with the objective of achieving the highest levels of assessment integrity, customer service and sector engagement. Uniquely, it is a membership based awarding organisation bringing together the best of UK vocational education in a not for profit environment.

Further information can be found on the IQ web-site www.industryqualifications.org.uk

Introduction

This specification is intended for trainers, centres and learners. General information regarding centre approval, registration, assessment papers, certification, reasonable adjustments, special consideration, appeals procedures are available from the website. This document should be read in conjunction with the IQ QMS Centre guide available from the website. Although this qualification is not currently a licence- linked qualification centres will find the IQ centre guide for security qualification useful.

Website: www.industryqualifications.org.uk

Enquiries: 01952 457452

About this Qualification

The IQ Level 3 Award for Professional Investigators (QCF) is a qualification for individuals who work or would like to work as Professional Investigators. It focuses on how to research information from various sources; gather information through interviews; and have an overview of surveillance operations, both overt and covert; on gathering information in support of an investigation; planning and reporting investigations. This includes identifying the objectives of the investigation; dealing with conflicts of interest; and how to report and present the findings on the investigation. The qualification also deals with maintaining the security and confidentiality of all information during the investigation. Throughout, there is also the requirement of knowing and complying with the laws and regulations relevant to carrying out investigations. This qualification is based on the SIA Specification for Learning and Qualifications for Private Investigators and Pre-Cognition activities.

Structure (Credit, Rules of Combination, Guided Learning Hours)

Learners must achieve 5 credits by successfully completing the two mandatory units

Unit	Credit	Guided Learning Hours
Principles of planning and reporting investigations	2 credits	15 hours
Principles of gathering and using information for investigations	3 credits	24 hours
Total	5 credits	39 hours

Delivery

The guided learning hours for this qualification are 39; course may be delivered full time or part time.

Assessment

Assessment is by two multiple choice examinations (one for each unit) and portfolio.

	Unit	Assessment	Number MCQ of questions	Learning outcomes	Time allowed
1	Principles of planning and reporting investigations	Multiple choice exam: externally set and marked by IQ	20	All	45 Minutes
2	Principles of gathering and using information for investigations	Multiple choice exam: externally set and marked by IQ	25	All except AC 3.1	45 Minutes
		Portfolio: Internally set and marked and quality assured by IQ	N/A	Assessment criterion 3.1	N/A

The multiple choice examinations must be carried out under exam conditions and a full Identification check based on that required on SIA courses must be completed. The IQ web site for details of examination requirements, the List of SIA acceptable forms of Identification is available separately

An achievement record for the portfolio element of this qualification is available for centres to download from the website.

Age range and Geographical Coverage

This qualification is approved for learners 25+ plus in England Wales and Northern Ireland due to insurance requirements .

Learner entry requirements

There are no formal entry requirements. However, learners should be able to work at level 2 or above and be proficient in the use of English Language.

Tutor requirements

All trainers delivering this qualification must have

- Appropriate teaching qualification e.g. PTLLS
- Three years frontline operational experience in the last ten, relevant to the area that they are training
- Continuous Professional development
- Road based driving element- Instructors must hold DSA ADI and be SME (Mobile Security Skills)

Information Commissioners Office

SIA

This qualification is mapped to the SIA Specification for Learning and Qualifications for Private Investigators and Pre-Cognition activities. It is recognised by the SIA as meeting the current qualification requirement for licensing (when this comes into effect):

Extract from SIA letter dated 16th December 2011: "Following the satisfactory assessment of IQ's Private Investigator Award, I am pleased to confirm support for this endorsement request.

Please note that if licensing is introduced in more than three years from now, the Core Competency Specifications may need to be reviewed. This could mean that qualified operatives would need to take some form of top-up training if requirement gaps are identified".

In preparation for licensing it is therefore a requirement that a full SIA ID check is carried out. When licensing does come into effect IQ will upload to the SIA the data on learners who have successfully completed this qualification; enabling learners to apply for the SIA licence.

Unit 1: Principles of Security Driver and Chauffeur Operations

Guided Learning Hours:120

Unit Level: 3

Unit credit: 2

Unit description:

This unit focuses on planning and delivering chauffeuring and security driver services. This includes identifying key elements of the drivers skills within an operational role and combining these ; dealing with conflicts of interest, and how to report and present the findings on the investigation. The unit also covers knowing and complying with the relevant legislation and regulations.

Unit grid: Learning outcomes/Assessment Criteria /Content

Learning Outcome- The learner will:		Assessment Criteria - The learner can:	Contents
1. Know how to	1.1	Determine the purpose of different investigations	
	1.2	Assess what information is needed to meet different investigational requirements	
	1.3	Identify criteria for establishing the feasibility of an investigation	

	1.4	State the appropriate legislation that should be followed when carrying out chauffeuring and security driving tasks	Appropriate legislation that should be followed when carrying out investigations: .
	1.5	Identify possible consequences of carrying out Chauffeur and security driving duties within daily and specialist tasks	Possible consequences of carrying out an investigation:
	1.6	Explain how to establish collaborative relationships with all involved	

2. Know how to deal with actual or potential conflicts of interest	2.1	State what options are available to deal with conflicts of interest in an investigation	
	2.2	Explain the possible consequences of not dealing effectively with conflicts of interest	
3. Know how to report and present the findings of an investigation	3.1	Describe the different types of investigation reports	
	3.2	Describe the requirements of investigation reports in terms of meeting client and legal needs	

Unit 1 Guidance on Delivery and Assessment

Delivery

This unit develops the learner's knowledge and understanding of how to establish the objectives and ongoing feasibility of an investigation, how to deal with actual or potential conflicts of interest and how to report and present the findings of an investigation. Throughout the unit there is emphasis on knowing and complying with the relevant legislation and regulations.

Assessment

Assessment for this unit is by multiple choice examination (externally set and marked by IQ) held under examination conditions.

Links

This unit is based on the SIA Specification for Learning and Qualifications for Private Investigators and Pre-Cognition activities.

Unit 2 Principles of gathering and using information for investigations M/503/0680

Guided Learning Hours: 24
Unit Level: 3
Unit credit: 3

This unit focuses on gathering information in support of an investigation. This includes knowing: how to research information from various sources; gather information through interviews; and have an overview of surveillance operations, both overt and covert. The unit also deals with maintaining the security and confidentiality of all information gathered during the investigation. Throughout the unit, there is also the requirement of knowing and complying with the laws and regulations relevant to carrying out investigations.

Unit grid: Learning outcomes/ Assessment Criteria /Content

Learning Outcome- The learner will:		Assessment Criteria - The learner can:	Contents
1.	1.1	Identify appropriate sources of information to support an investigation	Protection Theory (a) explain the strategy for the use of Firearms (b) explain the significance of threat and other relevant factors in relation to the resultant risk (the risk equation)
	1.2	Evaluate the main methods of researching information	
	1.3	Explain why information and evidence should be analysed and graded	

	1.4	Explain the value of corroborating information	Value of corroborating information:.
	1.5	Explain why it is important to maintain the continuity and integrity of evidence	Continuity and integrity of evidence:
	1.6	Describe how to maintain the continuity and integrity of evidence	How to maintain the continuity and integrity of evidence
	1.7	State the requirements of legislation relevant to searching for, obtaining and handling information, including the disposal of information not needed to support an investigation	Requirements of legislation

2. Know how to interview people to gather information	2.1	Describe the main types of interview and when they should be used	Main types of interview and when they should be used:
	2.2	Describe relevant interview techniques and procedures	Interview techniques and procedures
	2.3	Describe how to carry out effective interviews	Carry out effective interviews:
	2.4	Explain how relevant legislation and SIA Standards of Behaviour impact on interviewing	Relevant legislation and SIA Standards of Behaviour impact on interviewing:
	2.5	Describe how information should be recorded during an interview and stored after the interview for evidence in court	How information should be recorded during an interview and stored after the interview for evidence in court
3. Know how surveillance can be used to gather information	3.1	Describe how to prepare and plan a surveillance operation	Prepare and plan a surveillance operation.

			to comply with legal requirements.
	3.2	Describe overt and covert surveillance techniques	Overt and covert surveillance techniques: compliance with legislation, regulations, codes of practice and organisational guidelines; how they impact on choosing and using surveillance methods and equipment. Definition of covert and overt surveillance. Methods of carrying out surveillance: e.g. mobile (vehicle), pedestrian, single operative and team operations, static, technical. Surveillance equipment: availability, capabilities, limitations, suitability. Health and safety considerations relevant to surveillance operations including personal safety. Preparing and planning surveillance operations: purpose of surveillance operation, obtaining appropriate authority, briefing people involved in surveillance operations, identifying equipment needed and confirming its operational performance and recognising the subject's location. How to transcribe written or recorded surveillance notes accurately.
	3.3	Describe the different equipment that can legally be used during surveillance operations in terms of its capabilities, limitations and suitability	Different equipment that can legally be used during surveillance operations: types of cameras and lenses; photographs and footage, how equipment can be used legally and what uses are illegal, relevant legislation, suitability for investigation requirements, suitability for location including day and night conditions, short and long distances. Uses of equipment that is not legal: e.g. when equipment is used illegally for intrusive surveillance to infringe on a person's human rights of privacy.
4. Understand how to maintain the security and confidentiality of information gathered	4.1	Explain why the security and confidentiality of information must be maintained	Why the security and confidentiality of information must be maintained: compliance with legislation, codes of practice, client confidentiality, how long data should be kept, consequences of not maintaining e.g. evidence not evidential, loss of business/confidence, prosecution.
	4.2	Describe how the security and confidentiality of information must be maintained	How the security and confidentiality of information must be maintained.
5. Understand relevant Health and Safety issues	5.1	Describe situations where the personal health and safety of the investigator may be at risk	Situations:

	52	Explain how to avoid or minimise personal health and safety risks	Minimise personal health and safety risks: of self and others;
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Unit 2 Guidance on Delivery and Assessment

Principles of gathering and using information for investigations

Delivery

This unit develops the learner's knowledge and understanding of how to research and analyse information in support of an investigation, how to interview people to gather information, how surveillance can be used to gather information, how to maintain the security and confidentiality of information gathered and to understand relevant Health and Safety issues. Throughout the unit there is emphasis on knowing and complying with the relevant legislation and regulations.

Unit Scope

AC 4.2: Describe how the security and confidentiality of information must be maintained:

Scope: i.e. documents, both paper and electronic; photographic; video; audio; physical

AC 3.1: Describe how to prepare and plan a surveillance operation:

Scope

- specifying the objectives of the surveillance
- obtaining, where appropriate, the authority to carry it out
- choosing and using legal and proportionate surveillance methods in accordance with the SIA Standards of Behaviour stated in Annex A
- checking that the equipment to be used is working properly
- ensuring all parties involved in the surveillance understand their roles and responsibilities
- reconnoitre the subject's location

Assessment

Assessment is by a combination of multiple choice examination (externally set and marked by IQ) under examination conditions and portfolio internally set and marked and quality assured by IQ. An achievement record for the Portfolio element is available to download from the website. Both parts must be completed successfully to achieve this unit.

Portfolio: Only one Assessment Criterion is assessed by portfolio: 3.1 Describe how to prepare and plan a surveillance operation.

The scope for this AC is listed above and must be met in full.

To achieve this assessment criterion learners could actually prepare and plan a surveillance operation which can be either real or fictitious. The brief of the surveillance should be included in the portfolio and if fictitious must be realistic. For the purpose of this assessment learners are NOT expected to carry out the surveillance, only to prepare and complete the plan. Learners who are already working as Professional Investigators could submit the evidence of preparation and planning for an operation that they have previously completed. Please note that all confidential information MUST be deleted/ made unreadable. Holistic assessment is encouraged: preparing and planning one operation should provide all the evidence necessary to meet the requirements of this criterion.

An External Verifier (EV) will be appointed, once you have registered your first cohort of learners, in order to carry out IQ Quality Assurance Procedures and report on your accredited qualifications. They will make at least one visit to your centre each year and will issue an EV Report form after each visit. Please note that **Learner certificates will not be issued** until after the first EV visit has happened and your centre has been satisfactorily verified by the EV. The EV communicates with IQ through the EV Report form, which ensures sufficient sampling of evidence in order to confirm that IQ quality standards are being applied before the issue of any certificates. In line with Ofqual's requirements we ask you to ensure that all assessment records and tracking documentation are up to date and complete before each of the EV visits. All such records should be available to the EV and kept for a period of 2 years from the date of learner completion. Please ensure you keep, as a condition of this approval, a complete copy of the Centre Approval documentation you have issued to us, as from time to time the EV and other IQ personnel may wish to review such documentation.

Links

This unit is based on the SIA Specification for Learning and Qualifications for Private Investigators and Pre- Cognition activities.

List of acceptable forms of Identification for SIA licensed linked examinations

Valid from 31st August 2012

Learners must present:

Two identity documents from group A. At least one document must show your current address and at least one document must show your date of birth.

Or

One identity document from group A and two documents from group B. At least one document must show your current address and at least one document must show your date of birth.

Group A documents:

- 1 Signed valid passport of any nationality
- 2 Signed valid UK photo driving licence (both parts of the full or provisional licence are required)
- 3 UK original birth certificate issued within 12 months of birth

Group B documents:

- 4 UK adoption certificate
- 5 Valid EU photo ID card
- 6 Valid UK firearms licence with photo
- 7 Signed valid UK paper driving licence
- 8 Marriage certificate or Civil Partnership certificate, with translation if not in English
- 9 UK birth certificate issued more than 12 months after date of birth, but not a photocopy
- 10 Non-UK birth certificate, with translation if not in English
- 11 P45 statement of income for tax purposes on leaving a job issued in the last 12 months
- 12 P60 annual statement of income for tax purposes issued in the last 12 months
- 13 Bank or building society statement issued to your current address, less than three months old. You can use more than one statement as long as each is issued by a different bank or building society
- 14 2nd Bank or building society statement issued to your current address, less than three months old from a different provider to 13
- 15 Mortgage statement issued in the last 12 months
- 16 Utility bill (gas, electric, telephone, water, satellite, cable,) issued to your current address within the last three months. **You can only use one utility bill in support of your application** (mobile phone contracts are NOT accepted)
- 18 Pension, endowment or ISA statement issued in last 12 months
- 20 British work permit or visa issued in last 12 months
- 21 Letter from H.M. Revenue & Customs, Department of Work and Pensions, employment service, or local authority issued within the last three months. You can use more than one letter as long as each is issued by a different Government department or a different local authority
- 22 2nd letter from different provider to 21
- 23 A credit card statement sent to your current address within the last three months. You can use more than one statement as long as each is issued by a different issuer
- 24 2nd credit card statement from different provider to 23
- 25 Council Tax statement issued in the last 12 months
- 27 Child benefit book issued in last 12 months

Summary of changes: 4-UK adoption certificate - has been moved from Group A to Group B. The following are no longer acceptable forms of ID: 16-Mobile phone contract; 17-TV licence in your name and current address issued in last 12 months, 19- Certificate of British nationality, 26-Court summons issued in last 12 months, 28-A payslip, with your address and the employer's name or logo, that is less than three months old.

SIA Standards of Behaviour for Private Investigators and Precognition Agents

SIA research showed that the following standards of behaviour should be demonstrated by those operating within the private investigator sector.

Private Investigators should accept responsibility for their actions and diligently carry out their roles in ways which ensure that they:

- Confirm clients' identities and establish that they have legal and moral right to commission an investigation.
- Agree in advance with clients the objectives of the investigation and the fees, terms and conditions which will apply.
- Deal with clients and others with discretion and courtesy and in ways which do not bring the reputation of either themselves in particular or the profession of private investigation in general, into disrepute.
- Respect and protect clients' and others' privacy and lawful confidentiality.
- Objectively disclose to clients all the information arising from an investigation, whether it is advantageous or disadvantageous, unless the law dictates otherwise.
- Ensure that investigation specific and business records, administrative systems and procedures comply with legal requirements, protect against accidental disclosure and reflect best practice.
- Carry out investigations in ways which are moral, honest, truthful and fair whilst adhering to legal and regulatory requirements.
- Accept only those commissions which they consider themselves qualified to carry out.
- Seek advice from and/or refer clients to, only those who have the experience, knowledge and skills needed to carry out the work, meet the necessary legal requirements and operate to the same/similar code of ethics.
- Assist, when required by law to do so, the legal and regulatory authorities.
- Act fairly and not discriminate on the grounds of gender, sexual orientation, marital status, race, nationality, ethnicity, religion or beliefs, disability, or any other difference in individuals which is not relevant to the Private Investigator's responsibility.
- Promote, through their general demeanour and in dealings with clients, the general public, colleagues and the authorities, the professionalism and integrity of the private investigation community.

Private Investigators should notify (register) the Information Commissioners Office to ensure that they have an entry on the Commissioner's public register that they are processing personal data. This entry should include details of their use of personal data.

For more information visit:

: www.ico.gov.uk/tools_and_resources/register_of_data_controllers.aspx

Resources

Training Resources

Centres may use their own or published learner support materials in delivering the qualification. Whatever support materials centres choose to use, they should ensure that their delivery methodology adequately prepares the learner for assessment.

IQ endorses published training resources and learner support materials by submitting the materials to a rigorous and robust quality assurance process, thus ensuring such materials are relevant, valid and appropriately support the qualification.

Resources and Useful websites

Roadcraft – The Police Foundation

Health and Safety Executive

www.hse.gov.uk