

**ICA**  
END POINT  
ASSESSMENT

Level 6

# End Point Assessment Handbook

Senior Compliance/Risk Specialist

ST0363

Qualification Number: 610/0750/X

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# 1 Introduction

## End-Point Assessment

All apprentices must take an independent assessment at the end of their apprenticeship training to confirm that they have achieved occupational competence.

Rigorous, robust and independent end-point assessment (EPA) is essential to give employers confidence that apprentices completing an apprenticeship standard can actually perform in the occupation they have been trained in and can demonstrate knowledge, skills and behaviours (KSBs) set out in the apprenticeship standard.

EPA can only be conducted by an independent end-point assessment organisation (EPAO).

The assessment plan for each standard outlines the assessment methods to be used.

EPAs are conducted by Independent End-Point Assessors (IEPA), who are assessment experts with the required occupational expertise.

## International Compliance Association (ICA)

ICA is approved by the Education and Skills Funding Agency (ESFA) and listed on the apprenticeship provider and assessment register (APAR), register number EPA0097, to offer independent end-point assessment (EPA) services to employers and training providers with apprentices who are ready to take EPA.

ICA is regulated by the Office of Qualifications and Examinations Regulation (Ofqual) as an end-point assessment organisation (EPAO). The Ofqual Recognition Number is RN6068.

## 1.1 Apprenticeship Standards

Apprenticeship standards, and their associated assessment plans, are designed by employers to show the KSBs an apprentice needs to perform effectively in their occupation.

Each apprenticeship standard has an accompanying assessment plan which sets out what will be assessed (the KSBs listed on the standard for each assessment component) and how it must be assessed.

Full details of the apprenticeship standards and the accompanying assessment plans can be found on the Institute for Apprenticeships & Technical Education's website at [www.instituteforapprenticeships.org/apprenticeship-standards/](http://www.instituteforapprenticeships.org/apprenticeship-standards/)

Information regarding the assessment plan is provided in section 4 of this handbook and the KSBs are provided in section 6.

## 1.2 Who is this document for?

This document is for training providers, employers and apprentices using the ICA EPA service. This document details the process for the ICA EPA service, including:

- registration and booking
- the requirements and process for gateway
- assessment requirements
- administration of the EPA
- quality-assurance processes
- results, certificates, re-sits, and re-takes.

The handbook should be read in conjunction with the ICA policies on Appeals, Reasonable Adjustment and Special Considerations, Malpractice and Maladministration, Internal Quality Assurance, and Complaints. These are available on the ICA website at <https://www.int-comp.org/epao>

The purpose of this handbook is to provide information about the processes for all stakeholders involved.

The information included is correct at the time of publication, although it may be updated in response to changes in funding rules, feedback from external quality assurance, or changes to the conditions for end-point assessment organisations. ICA will communicate when any changes have been made.

## 1.3 What ICA can offer for end-point assessment

ICA will provide:

- dedicated independent end-point assessors (IEPA) who are subject matter experts.
- robust processes and quality assurance
- quick turnaround of results
- friendly, flexible, and responsive staff
- a fair and easy-to-understand pricing structure
- a simple scheduling process, with an administrative team on hand to support you at each stage

- a learning management system for apprentices to use for collating and submitting portfolios and accessing their assessment materials
- advice for organisations wishing to understand how EPA works, and
- guidance for apprentices and training providers on how the EPA will be conducted.

## **1.4 Contact us**

If you require any further information or have any queries, please contact us at [epa@int-comp.org](mailto:epa@int-comp.org) or on 0121 362 7503.

## 2. The apprenticeship journey

There are three distinct phases of the apprenticeship:

1. on-programme learning (OPL)
2. gateway to end-point assessment, and
3. end-point assessment (EPA).

The details and requirements behind each of these stages are outlined in the associated apprenticeship standard and assessment plan for each apprenticeship.

### 2.1 On-programme learning (OPL)

On-programme learning is the phase in which apprentices develop the knowledge, skills, and behaviours (KSBs) set out in an apprenticeship standard which is assessed by the EPA.

This 'on-the-job' and 'off-the-job' training and learning develops the apprentice's KSBs. On-Programme Learning (OPL) must meet the requirements set out in the apprenticeship standard.

OPL can only be carried out by organisations that are on the apprenticeship provider and assessment register (APAR). This is a list of organisations that have been approved to carry out apprenticeship training and be in receipt of public funds.

The Register is maintained by the Education and Skills Funding Agency (ESFA) and employers can choose which training provider to use from this list.

Prior to commencing an apprenticeship, the employer may specify some pre-qualification requirements. These are at the discretion of the employer and do not impact the end-point assessment.

During this phase of the apprenticeship, the employer and provider must select and engage with an EPAO. This can be at any time but to ensure timely delivery of the end-point assessment the dialogue must commence at least six months before the planned end date of the apprenticeship. Refer to section 3.2–3.4 for details on selection and registration.

### 2.2 Gateway to end-point assessment

Towards the end of the OPL, the employer, the apprentice and the training provider will decide whether or not the apprentice is ready for their EPA. This stage of the programme is known as the gateway and will confirm that:

- the apprentice has gained the required experience, across the occupational duties, to meet the knowledge, skills and behaviours (KSBs) specified in the standard, and be competent in their job role.
- The employer is satisfied the apprentice is consistently working at, or above, the level of the standard
- the apprentice has achieved maths and English at level 2<sup>1</sup>
- the minimum duration of the apprenticeship has been met.

As part of the booking process (see later sections), employers must complete and sign the ICA Gateway Declaration Form for their apprentices.

This form:

- confirms that both the employer and training provider are satisfied that the apprentice has completed all relevant OPL and met all other requirements for progressing to the EPA.
- requires the apprentice, employer and training provider to confirm that work completed and submitted by the apprentice is their own unaided work, and that portfolios and projects are new pieces of work (i.e. not produced previously outside the apprenticeship programme) and produced as original work by the apprentice.
- asks whether the apprentice has any special educational needs or disability and if they require any adjustment to the assessment processes or tools. ICA will review any required arrangements or adjustment as set out in our EPA Reasonable Adjustment Policy.

The Education and Skills Funding Agency (ESFA) funding rules confirm that it is the responsibility of the employer and training provider to confirm that the apprentice is ready for end-point assessment, and that the gateway criteria to progress to their end-point assessment have been met.

## 2.3 End-point assessment (EPA)

End-point assessment is taken by the apprentice once they have completed the OPL and allows an apprentice to demonstrate the required KSBs to complete and pass their apprenticeship. EPAs are graded as defined in the published assessment plan. This is summarised in section 4 of this document.

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<sup>1</sup> 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.



ICA has designed an easy-to-use, high-quality EPA service delivering secure, valid, robust, and independent assessments.

The EPA for an apprenticeship standard is the same for all apprentices regardless of any prior learning or professional experience.

ICA does not recognise any prior learning or prior qualifications as part of the EPA. The EPA will be fully independent of any work completed during the OPL stage of the apprenticeship. The results for any coursework or assignments set by the training provider cannot count towards the EPA and will not be taken into consideration when completing the EPA.

Successful completion of the EPA demonstrates that the apprentice is competent in their role and will result in the award of the apprenticeship certificate by the Institute for Apprenticeships and Technical Education (IfATE).

ICA has developed the EPA to reflect all the requirements of the apprenticeship assessment plan, providing assessments that are fit for purpose and meet the regulatory requirements.

Below we explain how our development and delivery processes results in EPAs that meet the regulatory requirements of validity, reliability, comparability, manageability and minimising bias.

### **Validity**

Validity is defined as the extent to which evidence and theory support the interpretation that the assessment outcomes meet their intended uses.

We meet the validity criteria by using assessment and subject experts to ensure that our assessments meet the requirements of the apprenticeship standard assessment plan published by the Institute for Apprenticeships and Technical Education. This includes the KSBs that are being assessed, the assessment methods prescribed and the grade descriptors.

### **Reliability**

This is about consistency and the extent to which the various stages in the assessment process generate outcomes, which would be replicated where the assessment is repeated.

We meet the reliability criteria by:

- having clear, understandable assessment administration instructions for assessors
- having clear, understandable instructions and assessment materials for apprentices
- training assessors in both the delivery and assessment of responses
- providing clear assessment materials and guidance that reduce the likelihood of

variation between assessors, such as question banks for professional discussions and oral assessment

- monitoring assessments either at the time of delivery (live observations) or afterwards (judgements and recordings)
- standardisation of assessment judgements
- reviewing outcomes and data to identify and address possible reliability issues.

## **Comparability**

Comparability relates to generating assessment outcomes that are comparable in standard between assessments within an apprenticeship, between similar apprenticeships, with other awarding organisations, and over time.

Where an assessment has equivalent forms then it is important to ensure comparability of outcomes.

We meet the comparability criteria by:

- using subject experts to develop assessment instruments that they believe are similar in difficulty and comparable in standards to those previously developed
- standardising assessment outcomes
- periodically looking across our portfolio of EPAs with subject experts to compare the level of difficulty and expected attainment to ensure that standards are comparable
- working with the External Quality Assurer (Ofqual), for the apprenticeship standards we are approved to deliver, to achieve comparability within our own assessments and those of other EPAOs delivering the same standards.

## **Manageability**

Manageability relates to the feasibility of carrying out particular assessment processes. A manageable assessment process is one, which places reasonable demands on apprentices.

We meet the manageability criteria by:

- following the arrangements in the apprenticeship assessment plan carefully ensuring that we meet all delivery requirements, such as the length and time allowed for an assessment
- ensuring that the administrative requirements of our EPAs are appropriate, and that administrative tasks are as simple as possible and do not introduce any unnecessary burden on the employer, training provider or apprentice

- Ensuring that our assessment materials and supporting documents are easily accessible and are written in plain English.

## Minimising Bias

Minimising bias is about ensuring that an assessment does not produce unreasonably adverse outcomes for apprentices who share a common attribute.

We meet the minimising bias criteria by:

- considering and proactively addressing any potential biases during the development of our assessment materials
- training our assessors on how to prevent bias in the delivery of assessments and when making assessment judgements
- being committed to ensuring that all are treated fairly and with dignity as outlined in our Equal Opportunities and Diversity policies
- having robust Reasonable Adjustment and Special Considerations policies that aim to ensure that no apprentice is unfairly disadvantaged
- monitoring applications for reasonable adjustments and special considerations, along with apprentice, employer, training provider and assessor feedback to identify opportunities for improvements so unidentified bias can be addressed proactively rather than reactively.

It is important to note that ICA does not have any EPA centres. ICA does not permit employers or training providers to undertake any part in the delivery of end-point assessments (including the invigilation of assessments). They are therefore not acting as centres since ICA never delegates any activity for end point assessments to a third party.

ICA produces its own support materials, guidance, and sample assessment materials to prepare apprentices for our end-point assessments. It does not endorse any materials or resources used by the training provider or their employer to deliver on-programme training as part of the apprenticeship.

## 2.4 External EPA documents

The IfATE are responsible for several documents that support the delivery and assessment of apprenticeships. These are available at: <https://www.instituteforapprenticeships.org/Apprenticeship-standards/> and include the following documents.

**Apprenticeship standard** – sets the key requirements for the apprenticeship including the KSBs. Apprenticeship standards also capture the minimum duration of the apprenticeship and any required qualifications.

**Assessment plan** – details the requirements for EPA including:

- what is required for EPA
- what will be assessed
- how it will be assessed, and
- how the overall apprenticeship will be graded.

The assessment plan will also include details of any qualifications (the on-programme phase) that are required to be completed before the EPA, either prior to starting or during the apprenticeship.

## 2.5 Funding and EPA fees

Apprenticeship standards fall into funding bands. These are the maximum amounts that the government considers to be needed to finance the apprenticeship, including EPA.

Funding rules state that the costs for the EPA should not usually exceed 20% of the funding band.

The EPA fee is published on the ICA website. The published fee includes all work associated with the EPA.

A separate fee is charged for any resits or retakes where apprentices do not pass their assessment. Section 5.7 of this handbook contains information on resitting or retaking assessments.

ICA will invoice for 10% of the EPA fee to be paid at the point that apprentices are formally registered with us. This initial fee is non-refundable.

The remainder (90%) of the fee must be paid per apprentice once the EPA has taken place.

Section 3.7 of this handbook contains information on our cancellation policy and cancellation fees.

## 2.6 Summary of roles and responsibilities

The table below summarises the responsibilities of the key stakeholders across the different phases of the apprenticeship and EPA delivery.

The apprenticeship plan may also include responsibilities that are specific to the individual apprenticeship. Where there is a conflict between the details noted below and the assessment plan, it is the information within the assessment plan that will be followed.

| Organisation           | Role   |
|------------------------|--|
| <p><b>Employer</b></p> | <p>As a minimum, the apprentice’s employer must:</p> <ul style="list-style-type: none"> <li>• work with the training provider (where applicable) to support the apprentice in the workplace and to provide the opportunities for the apprentice to develop the KSBs</li> <li>• arrange and support off-the-job training to be undertaken by the apprentice</li> <li>• decide when the apprentice is working at or above the occupational standard and is ready for EPA</li> <li>• ensure that supporting evidence required at the gateway is submitted in line with this EPA plan</li> <li>• liaise with the training provider and ICA to ensure the EPA is booked in a timely manner.</li> </ul> <p>Post-gateway, the employer must:</p> <ul style="list-style-type: none"> <li>• confirm arrangements with the ICA for the EPA (who, when, where) in a timely manner (including providing access to any employer-specific documentation as required, for example company policies)</li> <li>• ensure that the EPA is scheduled for a date and time which allows the opportunity for the apprentice to be assessed against the KSBs</li> <li>• remain independent from the delivery of the EPA</li> <li>• ensure the apprentice is given sufficient time away from regular duties to prepare for, and complete, all post-gateway elements of the EPA, and that any required supervision during this time (as stated within this EPA plan) is in place</li> <li>• pass the apprenticeship certificate to the apprentice upon receipt.</li> </ul> |

| Organisation                    | Role  |
|---------------------------------|---|
| <p><b>Training Provider</b></p> | <p>As a minimum, the training provider must:</p> <ul style="list-style-type: none"> <li>• work with the employer and support the apprentice during the off-the-job training to provide the opportunities to develop the KSBs as listed in the occupational standard</li> <li>• conduct training covering the KSBs agreed as part of the Commitment Statement or the Individual Learning Plan</li> <li>• monitor the apprentice’s progress during any training provider-led on-programme learning</li> <li>• advise the employer, upon request, on the apprentice’s readiness for EPA</li> <li>• remain independent from the delivery of the EPA</li> <li>• confirm apprentice eligibility and readiness for end-point assessment, including mandatory Maths and English qualifications</li> <li>• signs off the apprentice as ready for EPA (gateway)</li> <li>• supports apprentice’s preparations for EPA</li> <li>• submits apprentice data securely to the ICA as part of registration, including confirmation of apprentice consent to share their data with the EPAO and the IfATE</li> <li>• works with ICA to schedule EPA activities</li> <li>• maintains a continuing duty of care for the apprentice as they undertake EPA.</li> </ul> |

| Organisation   | Role   |
|--|--|
| <p><b>ICA as the End-Point Assessment Organisation</b></p> | <p>As a minimum, the ICA must:</p> <ul style="list-style-type: none"> <li>• conform to the requirements of this EPA plan and deliver its requirements in a timely manner</li> <li>• conform to the requirements of the apprenticeship provider and assessment register (APAR)</li> <li>• conform to the requirements of the external quality assurance provider (Ofqual) for this apprenticeship</li> <li>• understand the occupational standard</li> <li>• make the EPA contractual arrangements, including agreeing the price of the EPA</li> <li>• develop and produce assessment materials as detailed for each assessment method in this EPA plan</li> <li>• appoint qualified and competent independent assessors in line with the requirements of this EPA plan to conduct assessments and oversee their working</li> <li>• appoint administrators (and invigilators where required) to administer the EPA</li> <li>• provide training for independent assessors in terms of good assessment practice, operating the assessment tools and grading</li> <li>• provide information, advice, guidance and documentation to enable apprentices, employers and training providers to prepare for the EPA</li> <li>• confirm all gateway requirements have been met as quickly as possible</li> <li>• arrange for the EPA to take place, in consultation with the employer</li> <li>• ensure that the apprentice has access to the required resources and liaise with the employer to agree this if necessary, where the apprentice is not assessed in the workplace</li> <li>• develop and provide assessment recording documentation to ensure a clear and auditable process is in place for providing assessment decisions and feedback to stakeholders</li> </ul> |

| Organisation | Role  |
|--------------|---|
|              | <ul style="list-style-type: none"> <li>• have no direct connection with the apprentice, their employer or training provider in all instances; there must be no conflict of interest</li> <li>• have policies and procedures for internal quality assurance (IQA), and maintain records of IQA activity for external quality assurance (EQA) purposes</li> <li>• deliver induction training for independent assessors</li> <li>• undertake standardisation activity on apprenticeships</li> <li>• maintain security of the assessment in line with the EPAO's malpractice policy</li> <li>• verify the identity of the apprentice</li> <li>• use language in the development and delivery of the EPA that is appropriate to the level of the occupational standard.</li> </ul> |



| Organisation   | Role   |
|--|--|
| <p><b>Independent End-Point Assessor, appointed by ICA</b></p> | <p>As a minimum, an independent assessor must:</p> <ul style="list-style-type: none"> <li>• have the competence to assess the apprentice at the level of this apprenticeship and hold any required qualifications and experience in line with the requirements of the independent assessor as detailed in the IQA section of the EPA plan</li> <li>• understand the occupational standard and the requirements of this EPA</li> <li>• have, maintain, and be able to evidence up-to-date knowledge and expertise of the occupation</li> <li>• deliver the end-point assessment in-line with this EPA plan</li> <li>• comply with the IQA requirements of the ICA</li> <li>• have no direct connection or conflict of interest with the apprentice, their employer or training provider; in all instances; there must be no conflict of interest</li> <li>• attend induction training</li> <li>• attend standardisation events when they start working for the ICA before they conduct an EPA for the first time and a minimum of annually for this apprenticeship</li> <li>• assess each assessment method, as determined by the EPA plan</li> <li>• assess the KSBs assigned to each assessment method, as shown in the mapping of KSBs to assessment methods in this EPA plan</li> <li>• make the grading decisions</li> <li>• record and report assessment outcome decisions, for each apprentice, following instructions and using assessment recording documentation provided by the ICA, in a timely manner</li> <li>• use language in the development and delivery of the EPA that is appropriate to the level of the occupational standard.</li> </ul> |

| Organisation      | Role   |
|-------------------|--|
| <b>Apprentice</b> | <p>As a minimum, the apprentice should:</p> <ul style="list-style-type: none"> <li>• participate in and complete on-programme training to meet the KSBs as outlined in the occupational standard for a minimum of 12 months</li> <li>• complete the required amount of off-the-job training specified by the apprenticeship funding rules and as arranged by the employer and training provider</li> <li>• understand the purpose and importance of EPA</li> <li>• meet the gateway requirements.</li> </ul> |







Exclusions:

- The ICA EPAO, including the appointed assessor (IEPA), must not be involved in any aspect of the on-programme learning or training.
- The training provider and employer must not be involved in any aspect of EPA delivery or final grading.

More information on the responsibilities of employer, training providers, EPAOs and apprentices can be found here: <https://www.gov.uk/guidance/apprenticeship-gateway-and-resits-for-end-point-assessment-epa>

## 3. ICA End Point Assessment Delivery

### 3.1 The ICA end point assessment delivery model

|   |   |
|---|---|
|    | <p><b>ICA is appointed as the EPAO.</b></p> <p>This includes:</p> <ul style="list-style-type: none"><li>• confirmation of appointment as the EPAO</li><li>• signing of a contract for services</li><li>• discussing expected dates for gateway.</li></ul>   |
|    | <p><b>Support on preparing for EPA.</b></p> <p>This includes:</p> <ul style="list-style-type: none"><li>• clarifying the requirements of the assessment plan</li><li>• helping organisations to prepare their apprentices for assessment</li><li>• discussing the expected volumes and schedule of assessment.</li></ul>              |
|    | <p><b>Registering Apprentices with ICA.</b></p> <p>This includes:</p> <ul style="list-style-type: none"><li>• receiving a data file of the apprentices and registration details</li><li>• taking an initial payment of 10% of the total EPA fee</li><li>• providing apprentices with access to the ICA online EPA platform.</li></ul> |
|  | <p><b>Scheduling of EPA.</b></p> <p>This includes:</p> <ul style="list-style-type: none"><li>• Checking gateway evidence</li><li>• confirming assessment dates, times and deadlines.</li></ul>  |
|  | <p><b>Preparing apprentices for their EPA.</b></p> <p>This includes:</p> <ul style="list-style-type: none"><li>• assisting with the upload of portfolios or other written forms of evidence</li><li>• reacting to any individual circumstances, requests for reasonable adjustments or special access arrangements.</li></ul>         |
|  | <p><b>Conducting the EPA Assessment</b></p> <p>Assessments are arranged by the EPA team and take place with your allocated assessor</p>   |

More information on the process for appointment and registration is provided within the sections below.

## **3.2 Appointment of ICA as the end-point assessment organisation (EPAO)**

Where an organisation (employer or training provider) has appointed ICA to conduct EPA, we require the following information.

- Organisation name
- Organisation address
- Main contact name and job title
- Main contact number and email
- Main booker contact name, job title, number and email (if different)
- Finance contact name and email address (if different)
- The name of the organisation that is drawing down the public funding and completes the Individualised Learner Record (ILR)
- Apprenticeship standard title(s)
- Apprenticeship standard reference(s)
- Apprenticeship level(s)
- Estimated number of apprentices in pipeline per standard
- Apprenticeship start date
- Apprenticeship planned end date
- Estimated date of end-point gateway assessment

## **3.3 Working with apprenticeship training providers/employers**

ICA will only engage with training providers and employers that are on the apprenticeship provider and assessment register (APAR). The APAR is a list of organisations that are eligible to receive government funding to train apprentices.

When we work with an organisation for the first time, we will ask them to provide the following information:

- the organisation's UK Provider Reference Number (UKPRN)

- the organisation's name (i.e. the organisation's name under which they are registered on the APAR)
- provider type – either 'Main Provider' or 'Supporting Provider.' If they are a Supporting Provider, we require the details of the Main Provider with which they are working
- organisation office address and contact details
- the names of the organisation key contact for EPA delivery, and
- the details of the employer(s) whose apprentices they are providing training.

Organisations are asked to sign a contract with ICA that sets out the terms and conditions of business.

Once contracts have been signed, ICA will arrange to meet the training provider to discuss the EPA process and timeframes for assessment.

### **3.4 Apprentice registration**

The training provider must give accurate information to ensure all information used to register apprentices is correct.

To register the apprentices for EPA, training providers must provide a secure data file with the following information for each apprentice:

- apprentice full name
- apprentice email address
- Unique Learner Number (ULN)
- apprenticeship standard
- apprenticeship start date
- anticipated Gateway date
- apprentice additional requirements e.g. a reasonable adjustment such as dyslexic
- apprentice employer
- Employer address (apprentice main base)
- employer contact name

- employer email
- employer contact number
- EPA Contracted Price
- PO number/invoice reference for 10% registration fee.

Apprentices must be registered with ICA no less than three months before their anticipated entry to the EPA.

At the point of registration ICA will provide the apprentice with access to our online EPA platform where they can begin to build any portfolio or upload documents that are required within the assessment plan.

### **3.5 Scheduling the EPA**

ICA has scheduled gateway windows every two months. We provide details of the schedule of gateway windows (and the associated assessment dates) to employers and/or training providers. This schedule shows the dates for apprentices expected to go through gateway in that window, any submission deadline dates, and the EPA assessment timescales. This allows employers and/or training providers to decide which gateway window to select.

EPA delivery can only commence once EPA gateway requirements have been met. ICA will retain a record to prove we have seen and checked evidence that the apprentice has met the gateway requirements, signed the gateway declaration form and completed any mandated qualifications.

ICA will then agree the date and time of the EPA with the apprentice and formally confirm the booking by email.

### **3.6 The location of EPAs**

ICA's default method for assessment is for EPAs to be conducted remotely online. Face-to-face assessment may be offered where the apprentice has a specific individual need that means that online assessment would not be appropriate or where the ICA has agreed to face-to-face assessment at the point that the contract was signed.

ICA will provide apprentices with the necessary guidance and instructions relating to online assessment and will provide training providers and employers with guidance on how they are able to support their apprentices with the assessment.

The apprentice is responsible (in consultation with their employer or training provider) for ensuring that they conduct their assessment in a suitable and appropriate environment.

The apprentice will be responsible for ensuring that any equipment (including IT facilities) required to complete the assessment is available and that any access requirements are appropriately supported.

The apprentice must also pay attention to conditions such as heating, lighting, ventilation, and the level of outside noise. As a minimum, the following criteria should be met.

- A private room that is free from interruption.
- Suitable notices placed outside of the room to reduce noise and distraction.
- A comfortable and safe environment.
- Accessible to people of all levels of physical ability.
- Access to toilets and refreshments for apprentices.

### **Assessment arrangements**

- The assessment will take place with the ICA assessor using Microsoft Teams.
- Confirmation of the date and time of the assessment will be sent out to the apprentice by the EPA team in advance.

The MS Teams link will be emailed to the apprentice by the EPA team prior to the date of the assessment which must be accepted.

### **Equipment and system requirements**

Apprentices must have a device to access the internet (laptop, PC, mobile device) with a microphone and webcam/camera. The ICA assessor must be able to see and hear them for the duration of the assessment.

An internet connection is required to access the assessment using MS Teams. It is important there is a good Wi-Fi connection in the room.

### **ID check requirements**

Apprentices are required to show proof of identity. They must present one item from the following, which must show a photograph and signature:

- Current Valid Passport (any nationality)
- Employee ID card
- Current Full or Provisional UK Photo Card Driving Licence

## **Assessment conditions and regulations**

Apprentices must behave professionally and honestly at all times during the assessment and ensure that their conduct does not compromise the integrity of the EPA.

Apprentices who access the MS Teams assessment more than 10 minutes late will not be permitted to progress with the assessment. If an apprentice is late for an accepted valid reason, the ICA may agree to the assessment being re-scheduled.

Apprentices who are more than 10 minutes late and do not have a valid reason will be recorded as absent for the assessment and be required to retake the assessment at a later date. An administrative fee may be applied to cover the cost of the new assessment.

## **Non-compliance with assessment**

ICA investigates any potential breaches of the assessment conditions and regulations in accordance with the ICA Malpractice and Maladministration Policy.

The following list sets out examples of violations. This list is not exhaustive and any other actions/behaviours which may compromise the integrity of the EPA will be investigated.

- Failing to show valid ID (as identified above).
- Being in possession of an unauthorised device to access the internet or receive communications in the room (e.g. including but not limited to a second mobile device, smart watch, portable media player, e-reader, PDA, or similar device) during the assessment.
- Communicating with or attempting to communicate with anyone other than the ICA assessor during the assessment.
- Arranging to be impersonated by another individual in an assessment.
- Refusing to follow the ICA assessor's instructions.
- Misleading an ICA assessor in relation to their competence.
- Having another person present in the room at any point during an assessment.
- Smoking or vaping during an assessment.
- Altering or interfering with ICA assessment documentation, for example, results notifications.

Further information regarding the delivery of the assessment that is specific to the individual apprenticeship may be provided in section 4 of this document.



If the EPA takes place at an employer or training provider's premises, they are classified as a third party and not a centre because they are not:

- taking delivery of written question papers in advance of the assessment
- handing out written question papers to apprentices
- setting up online assessments
- delivering instructions to apprentices before the assessment commences, and
- invigilating or collecting written responses to assessment and sending to ICA.

We do not permit employers or training providers to undertake any part in the delivery of EPAs, including the invigilation of assessments. For controlled assessment such as an online knowledge exam, they are delivered using ICA's online EPA platform and are remotely invigilated.

### **3.7 Cancellations**

Under some circumstances it may be necessary for either employers, ICA or an apprentice to cancel EPAs that have been booked.

ICA reserves the right to cancel or stop the EPA, either in advance or during the EPA. Reasons for this may include:

- a lack of access to required equipment or resources
- health and safety concerns
- concerns over the authenticity of materials submitted as part of the assessment
- the apprentice being absent or unwell
- assessors or panel members being absent or unwell, and it is not possible to replace them, and
- potential malpractice being identified.

In the unlikely event that ICA must cancel a booked EPA, we will inform the apprentice, employer, and training provider prior to the EPA date by email. A member of the EPA team will contact the training provider/employer to discuss the cancellation and future availability.

Where ICA or the appointed assessor has cause to cancel an EPA immediately before or during the assessment, they will contact the apprentice, employer and training provider by email to provide the reasons and the next steps to be taken.

Any decisions taken by the ICA or the assessor relating to the cancellation of an EPA due to suspected malpractice would be subject to the ICA Malpractice Policy and apprentices and employers would have the rights outlined within our complaints and appeals policies.

Where an issue that leads to an EPA being stopped are resolved on the day, (for example by providing more appropriate resources, addressing any concerns or delays to mitigate for feeling unwell) the assessor will make every effort to complete the assessment on the same date. Where this is not possible it will be rearranged by ICA for the next mutually convenient time and date.

If the employer or apprentice decides to cancel prior to the confirmed EPA date, they must contact the ICA EPA team to inform them. Please note the employer may be subject to some or all of the EPA fee (including if the apprentice cancels), depending on the circumstances as outlined in our Fees and Invoicing Policy.

Cancellation fees for the EPA will be applied as follows.

- Less than five days (96 hours) before the date and time set for the assessment: 50% of the value of the EPA fee.
- Less than 24 hours before the date and time set for the assessment: 100% of the value of the EPA fee.

Please note that non-attendance at an assessment without an acceptable reason will result in the apprentice recorded as being absent for the assessment and they be required to retake the assessment at a later date. An administrative fee may be applied to cover the cost of the new assessment.

## 4. Senior Compliance and Risk Specialist Assessment Plan

This section sets out the requirements for EPA for the Senior Compliance and Risk Specialist Standard.

Full-time apprentices will typically spend 36 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 the ICA.

### 4.1 End-point assessment structure

The EPA consists of 2 methods:

1. A Professional discussion underpinned by a Portfolio of Evidence created during the apprenticeship.
2. Project report, presentation and questions

Both assessment methods are mandatory and must be passed in order to pass the EPA. Sections 4.4 and 4.5 provide detailed information for each assessment method.

Each method has specific KSBs and grading criteria assigned to them to be assessed – see Section 6 for the mapping of these.

### 4.2 Length of EPA period

The EPA will be completed within an EPA period typically lasting a maximum of 5 months, beginning when the apprentice has gone through the EPA Gateway.

### 4.3 Order of assessment methods

Assessment methods 1 and 2 can be delivered in any order or concurrently. ICA's standard provision will be to deliver the professional discussion first, followed by the Presentation and questions, with an appropriate time in between to allow the apprentice to prepare adequately.

The assessment components in assessment method 2 cannot be delivered in any order. The project report must be completed and written prior to the presentation and questions.

The rationale for this is that the presentation must be based on the content of the project report. The presentation will enable the apprentice to present their findings within the report and also give the assessor the opportunity to assess any of the KSBs which have not been captured within the report. The presentation will also give the assessor the opportunity to verify that the report is the work of the apprentice.

## **4.4 Assessment Method 1: Professional discussion underpinned by portfolio**

This assessment will take the form of a professional discussion, in which the ICA assessor and apprentice will have a formal two-way conversation.

The apprentice can refer to and illustrate their answers with evidence from their portfolio of evidence. The discussion gives the apprentice the opportunity to demonstrate their competency across the KSBs mapped to this EPA method. See Section 6 for the mapping of the KSBs.

The professional discussion will last for up to 90 minutes<sup>2</sup>.

### **Portfolio**

Apprentices must compile a portfolio of evidence during the on-programme period of the apprenticeship.

The portfolio is a collection of evidence and a record of activity, progress and achievement, showing what the apprentice has completed during their training and the development of their knowledge, skills and behaviours. The portfolio is based on work completed by the apprentice and can be drawn from all areas of work undertaken on-programme.

ICA will **not** assess the portfolio of evidence directly as it underpins the discussion. The assessor will review the portfolio of evidence to prepare questions for the discussion.

ICA will complete the review of the portfolio within 2 weeks of it being submitted. Once this has been completed, ICA will communicate with the apprentice and to decide on a date for the professional discussion. ICA will seek to schedule this for as early as possible to allow for the assessment to be completed within the 5 month EPA period.

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<sup>2</sup> The 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 ICA Reasonable Adjustment Policy.

The portfolio should only contain evidence related to the KSBs that will be assessed by this assessment method.

ICA provide a mapping document for the apprentice to map the contents of their portfolio to the KSBs within the standard to show the relevance of each piece of evidence and to show how they have covered all of the necessary KSBs.

The portfolio will typically contain 15 discrete pieces of evidence. One piece of evidence can be referenced against more than one knowledge, skill, or behavioural requirement.

The types of evidence sources can include a range of workplace documentation and records, for example:

- workplace policies and procedures
- feedback from line managers or other stakeholders
- reports, plans, presentations, spreadsheets
- witness statements
- annotated images or photographs
- video clips; the apprentice must be in view and identifiable

This is not a definitive list; other evidence sources can be included.

The portfolio of evidence should **not** include reflective accounts or any methods of self-assessment. Any employer contributions should focus on direct observation of performance (for example, witness statements) rather than opinions.

The evidence provided should be valid and attributable to the apprentice; the portfolio of evidence should contain a statement from the employer and apprentice confirming this.

Apprentices must highlight their own role when submitting evidence that has been derived from group work activities.

### **Professional Discussion**

The professional discussion will be structured to give the apprentice the opportunity to demonstrate the KSBs mapped to this assessment method to the highest available grade.

The discussion will be conducted online and the assessor conducts will ask questions to prompt discussion of the contents of the portfolio and relevant to the KSBs being assessed.

The purpose of the assessor's questions will be to assess the apprentice on the following themes:

- Risk and Regulation Frameworks
- Products and Customers
- IT and Digital / systems and processes
- Audit Knowledge
- Green Finance and Sustainability
- Strategy and Planning

See Section 6 for how the KSBs are mapped to these themes.

### **Delivery**

The apprentice will be given at least 3 weeks' notice of the date and time for the professional discussion.

The apprentice must have access to their portfolio of evidence during the professional discussion, and can refer to and illustrate their answers with evidence from their portfolio of evidence..

During the discussion, the assessor will ask at least 10 questions based on their review of the portfolio. There may also be follow-up questions based on the answers given and/or to explore areas in more depth.

The professional discussion will provide the apprentice the opportunity to demonstrate all of the KSBs mapped to this assessment method, including achievement at the highest possible grade.

The assessors will conduct the professional discussion via an online meeting platform.

The apprentice should be in an environment that is comfortable and where they will be free from distraction or disturbance for the full duration of the assessment.

ICA will require the assessor to verify the identity of the apprentice and ensure the apprentice is not being aided in any way. This check will be carried out at the start of the assessment.

The apprentice should have access to suitable technology to support their participation in the assessment e.g., a laptop or PC with working Internet access, webcam and microphone/speakers that allow two-way communication with the assessor.

The professional discussion will be recorded for quality assurance purposes. This will be retained according to ICA quality assurance requirement and General Data Protection Regulation (GDPR) guidelines.

## **4.5 Assessment Method 2: Project report, presentation, and questions.**

This assessment method includes 2 components:

- Project Report
- presentation with questions and answers

The apprentice is required to write a report based on a significant and defined project that has a real business application and benefit.

The report is designed to demonstrate the application of knowledge, skills and behaviours as they would occur in occupational practice. Producing a report reflects normal practice in the workplace for people working in this occupation and at this level, so this assessment method is appropriate..

The project must be completed on-programme in the last 6 months prior to gateway, and is **not** assessed.

The report must then be written during the EPA period and will be assessed.

The project report, presentation and questions must be structured to give the apprentice the opportunity to demonstrate the KSBs mapped to this assessment method to the highest available grade.

### **Component 1: Project report Delivery**

The project should be based on any of the following:

- a specific problem
- a recurring issue
- an idea or opportunity.
- This piece of work may also be based on:
  - The need to review and agree a change plan to improve a specific problem in the workplace.
  - The continuous improvement review of a current process, service or product to ensure it is fit for purpose and meets the current needs of the business

- The planning and design of a project that has a strategic relevance and the potential to add value to the organisation.

The project report must be completed during the EPA period and will be based on the project completed pre-gateway. The project will not be assessed, however the project report will be assessed.

To ensure the report allows the apprentice to meet the KSBs mapped to this assessment method to the highest available grade, ICA will approve the project report title and scope at gateway to ensure it is suitable and communicate this to the apprentice within 2 weeks of receipt.

The apprentice can only start the project report after the gateway. They must complete and submit the report within 8 weeks of receiving confirmation of the report title from the ICA.

The employer should ensure the apprentice has the time and resources within this period, to plan and complete their project report. The project report and content should be completed unaided.

The apprentice may work as part of a team which could include technical internal or external support. However, the project report must be the apprentice's own work and will be reflective of their own role and contribution.

The apprentice and their employer must confirm that the project report is the apprentice's own work when it is submitted.

In order to ensure the report is robust and sufficiently covers the KSBs, the report should include, at least:

- An executive summary
- An introduction
- The scope of the project
- Objectives of the project (including key performance indicators)
- How the project outcomes were achieved
- Outcome/Results

The project report has a maximum word count of 3500 words.. Appendices, references and diagrams are not included in the word count. An appendix must be included showing how the project report maps to the KSBs that are being assessed by this method.

The assessor will assess the report prior to the presentation. This is to allow the assessor to ensure it is meeting the criteria and to allow them time to prepare questions.



Should the report not be of a sufficient standard, the apprentice will need to re-take component 1 (report) before progressing to component 2 (presentation and questioning).

## **Component 2: Presentation with questions**

In component 2, the apprentice delivers a presentation to the assessor based on the report and critically evaluates the outcomes and results of their project.

The presentation will provide an overview and salient points of the apprentice's report with the opportunity for questions and answers presentation with questions and answers. The independent assessor must ask questions after the presentation. All presentations must include at least:

- an overview of the project report
- the scope of the project report (including key performance indicators)
- summary of actions undertaken by the apprentice
- outcomes and how these were achieved.

The assessor will ask questions following the presentation in follow up to their the presentation or based upon the the project they worked on

This gives the apprentice the full opportunity to demonstrate the KSBs mapped to this assessment method.

The purpose of the questions is:

- for clarification
- to assess the depth and breadth of understanding
- to attest that the project report is the apprentice's own work
- to assess any KSBs which are not evident in the project report or presentation

The apprentice must prepare and submit their presentation to the ICA at the same time as the they submit the project report.

## **Delivery**

The ICA-appointed assessors will conduct the assessment via an online meeting platform.

The ICA will give the apprentices at least 1 week(s) notice of the date and time of the presentation with questions.

The apprentice will deliver their presentation to the independent assessor on a one-to-one basis, and the assessor will ask questions after the presentation.

The presentation and questions will last up to 60 minutes. This will typically include a presentation of 20 minutes and questioning lasting 40 minutes<sup>3</sup>.

The independent assessor will ask at least 8 questions. They will use questions from an ICA question bank and create their own follow up questions for where clarification is required.

The apprentice should be in an environment that is comfortable and where they will be free from distraction or disturbance for the full duration of the assessment.

ICA will require the assessor to verify the identity of the apprentice and ensure the apprentice is not being aided in any way. This check will be carried out at the start of the assessment.

The apprentice should have access to suitable technology to support their participation in the assessment e.g., a laptop or PC with working Internet access, webcam and microphone/speakers that allow two-way communication with the assessor.

The Interview will be recorded for quality assurance purposes. This will be retained according to ICA quality assurance requirement and General Date Protection Regulation (GDPR) guidelines.

## **4.6 Grading of assessment**

The assessment methods contribute equally to the overall EPA pass grade.

Performance in the EPA will determine the apprenticeship grade of:

- fail
- pass
- merit
- distinction

ICA assessors will individually grade the two assessments according to the requirements set out in this EPA plan.

ICA will combine the individual assessment method grades to determine the overall EPA grade.

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<sup>3</sup> The assessor can increase the total time of the presentation and questioning by up to 10%. This time is to allow the apprentice to complete their last point or respond to a question if necessary.

Grades from individual assessment methods will be combined in the following way to determine the grade of the EPA overall.

| <b>Professional Discussion</b> | <b>Project Report. Presentation and Questions</b> | <b>Overall Grading</b> |
|--------------------------------|---|------------------------|
| Fail                           | Fail  | Fail                   |
| Any Grade                      | Fail  | Fail                   |
| Fail                           | Any Grade   | Fail                   |
| Pass                           | Pass  | Pass                   |
| Pass                           | Distinction                                       | Merit                  |
| Distinction                    | Pass  | Merit                  |
| Distinction                    | Distinction                                       | Distinction            |

An apprentice who fails one or more assessment method will be awarded an overall EPA fail.

To achieve an overall EPA 'pass', the apprentice must achieve a pass in both assessment methods.

To achieve an overall EPA 'merit,' the apprentice must achieve a pass in one of the assessment methods and a distinction in the other.

To achieve an overall EPA 'distinction', apprentices must achieve a distinction in both assessment methods.

ICA will make the decision on the grade to be awarded to the apprentice.

## 5. Assessment policies and procedures

### 5.1 ICA policies

ICA publishes policies on:

- Appeals
- Reasonable Adjustment and Special Considerations
- Malpractice and Maladministration
- Internal Quality Assurance
- Complaints.

These are available on the ICA website at <https://www.int-comp.org/epao>

ICA is committed to complying with regulatory requirements and the conditions stated in Ofqual's General Conditions of Recognition, and has written policies that ensure our continued compliance.

### 5.2 Authentication

Before any assessment takes place, the apprentice will be required to provide photographic proof of identify (e.g., a passport, driving license or employee identification card) to their assessor. This is to enable the assessor to verify the identity of the apprentice.

The employer and training provider confirm that work submitted by the apprentice was completed without undue or excessive assistance and that portfolios and projects are new pieces of work on the ICA Gateway Declaration form. The apprentice is also required to confirm that the work that they have submitted is their own unaided work.

Where any sources are used, either in a portfolio or a project, they must be appropriately referenced. The wholesale copying of materials is actively discouraged; where this occurs, it will be considered plagiarism and will be dealt with as described in the Malpractice and Maladministration Policy. The questions asked during an interview or professional discussion contribute to authentication of an apprentice's work.

### 5.3 ICA EPA assessment principles

EPA is the process of forming a judgement about an apprentice's attainment of the required KSBs relevant to specific job roles.

ICA is committed to providing assessment that will satisfy the following three principles.

**Educational:** the processes of assessment will help apprentices learn, or reinforce previous learning, or both.

**Ethical:** the processes of assessment will be fair and transparent, and must not discriminate according to gender, sexual orientation, ethnicity, religion or belief, age, social class, or disability.

**Regulatory:** the processes of assessment will conform to ICA expectations detailed in its regulations, policies, procedures and guidance and all relevant external regulatory bodies.

## 5.4 Independence of assessment

The EPA will be an independent assessment of an apprentice's competence. The decision on whether an apprentice has passed their EPA, and what their final grade should be, will be taken by someone who has no vested interest in this decision or relationship to the apprentice. This will ensure that all apprentices are treated fairly and helps to maintain trust in the robustness of the EPA system.

The assessor will be independent and will make the grading decisions, subject to ratification by the ICA. The EPA will be delivered so that no organisation or individual connected to the apprentice or their employer, or who has been involved in the management or training of the apprentice, will be their assessor (that is to say, there will be no conflict of interest).

The assessor will not be employed by the same organisation as the apprentice or by their training provider.

## 5.5 ICA assessors

ICA provides independent end-point assessors who are subject matter experts.

### Assessors

The assessor is responsible for EPA activities under the conditions, timescales and arrangements set by ICA, and in accordance with the apprenticeship assessment plan.

The role of our assessors is to assess apprentice competence against the specific requirements of the standard as set out in the apprenticeship assessment plan.

They will:

- review evidence submitted by the apprentice and assess it using the associated templates provided by ICA

- prepare a plan and questions for any oral assessment
- conduct assessments and record the outcomes
- complete and return ICA reporting forms for all EPA assessment(s)
- implement any approved reasonable adjustments correctly to ensure that all apprentices have equal opportunity to succeed, and
- identify and report any suspected maladministration, malpractice, or conflict of interest.

### **Monitoring assessors' performance**

ICA is committed to ensuring that assessment decisions:

- are accurately and fairly made against the assessment criteria
- are consistent across different assessors, and
- are clearly and accurately recorded and accessible to all authorised parties.

ICA is also committed to ensuring that assessment decisions are undertaken in-line with our policies, and the requirements of the apprenticeship assessment plan.

Our assessments and the work of our assessors is quality assured through:

- monitoring of assessment delivery (including observation of assessment and review of documentation) by senior assessor(s)
- monitoring of assessment delivery and outcomes by an appointed Internal Quality Assurer (IQA)
- reviews of feedback received from training providers, employers and apprentices, and
- reviews of assessment reports and outcomes by the ICA.

### **Internal quality assurance (IQA)**

Internal quality assurance refers to how the ICA ensures valid, consistent and reliable EPA decisions. The ICA will must adhere to the requirements as set out within:

- ICA policies and procedures
- Ofqual conditions of recognition
- the roles and responsibilities section of the assessment plan

The ICA will also:

- have quality assurance systems and procedures that ensure fair, reliable and consistent EPA regardless of employer, place, time or independent assessor.
- appoint independent assessors who are competent to deliver the EPA and who have recent relevant experience of the occupation or sector.

Internal Quality Assurance (IQA) is a critical element of how the ICA manages the EPA quality assurance processes, with specific relevance to our requirements for:

- validity – the extent to which assessments meet their intended uses
- reliability – that the EPA produces consistent outcomes irrespective of context, cohort, timing, or the organisations involved
- comparability – that the assessments under review are comparable in standard between assessments within an apprenticeship, between similar apprenticeships, with other awarding organisations, and over time
- manageability – that ICA's EPA does not place unreasonable demands on apprentices
- minimising bias – ensuring that the assessment does not produce unreasonably adverse outcomes for apprentices who share a common attribute.

### **Role of an IQA**

The Internal Quality Assurer (IQAs) will be an experienced assessor and/or expert in the field who is independent from the end point assessments being reviewed.

IQAs are responsible for quality assuring the administration and assessment decisions of assessors through observation and sampling.

IQAs will (through recording or live attendance) observe assessors carrying out assessment to ensure that the assessment is being administered safely, securely and in line with ICA's assessment guidance and the published end-point assessment plan.

IQA reporting ensures thorough and robust quality assurance is maintained to meet regulatory requirements.

## **5.6 Grading**

At the conclusion of the EPA, the independent assessor collates the evidence and determines the provisional overall grading for the apprenticeship based upon the grading rules outlined within the assessment plan for the apprenticeship.

The appointed assessor makes the provisional grading decision and submits them to the ICA.

### **Confirming results**

Once the IQA has completed their review and submitted their reports to ICA, the results are then reviewed and ratified by the ICA.

The ICA will consider if there are concerns about the validity or consistency of assessment or where there are circumstances relating to the apprentice that the assessor may not have been aware of.

Ultimate responsibility for deciding to award a pass grade to an apprentice who has completed the EPA process lies with the ICA.

Prior to finalising and reporting results, the ICA will:

- ensure assessment standards have been appropriately set and maintained
- ensure that assessors have conducted their role in a consistent manner and made appropriate and reliable assessment decisions
- ensure that all results have been subject to the relevant IQA process
- ensure that all assessments have been conducted in line with the published assessment plan
- consider any special considerations and check all agreed reasonable adjustments have been applied fairly
- discuss all exceptional cases to decide on final grades.

## **5.7 Re-sits and re-takes.**

Apprentices who fail one or more assessment methods 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.

The employer and EPAO agree the timescale for a re-sit or re-take. A re-sit is typically taken within two months of the EPA outcome notification. The timescale for a re-take is dependent on how much re-training is required and is typically taken within three months of the EPA outcome notification.

Failed assessment methods must be re-sat or re-taken within a six-month period from the EPA outcome notification, otherwise the entire EPA will need to be re-sat or re-taken in full.



The apprentice's employer will need to agree that either a re-sit or re-take is an appropriate course of action.

Re-sits and re-takes are not offered to apprentices who have passed and who want to achieve a higher grade, such as those 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 ICA determines there are exceptional circumstances requiring a re-sit or re-take.

## **5.8 Apprenticeship results and certificates**

ICA will inform apprentices of the outcome of their EPA once all of the necessary quality assurance has been completed. The apprentice's employer and training provider will also be informed.

ICA will record results with the Department for Education and will request a certificate on behalf of an apprentice. The certificate will be sent by postal delivery to the employer address provided by the training provider.

Information on how to appeal the outcome of an EPA can be found in ICA's Appeal Policy.

## **5.9 Certification review or recall**

Occasionally, situations may arise that call into the question the validity of an awarding decision. These include:

- an appeal in accordance with our Appeals Policy
- an investigation in accordance with our Malpractice and Maladministration Policy
- an error or material inconsistency occurring in an assessment or marking or result allocation arrangements, and
- an error is made that has a material effect on the apprentice's outcome (i.e. the wrong grade was given).

Once an issue has been investigated and a final decision made in-line with the relevant procedures for the area (e.g. appeal), ICA will amend the relevant apprentice's record (or the records of groups of apprentices if the investigation indicates the issue affects more than one apprentice), to reflect the new award or indicate that an earlier award has been withdrawn or amended.

ICA will then be responsible for ensuring that the relevant apprentices, training providers and employers are informed of the revised awarding decision and the decision to revoke the original outcome (if they have been issued already), in accordance with our stated Appeals and Malpractice and Maladministration Policies.

The amended results and outcomes will be communicated to the ESFA so that they can address any certification issues. As soon as we become aware of a possible issue, Ofqual will be informed and kept updated as there is a risk of an adverse effect.

## 6. Grading and mapping of KSBs

### 6.1 Grading Criteria

Apprentices will be assessed against the criteria listed below within the EPA. The references in blue (eg **K1**, **S3**) reference to the knowledge (K), skills (S) and behaviours (B) that the apprentice has to demonstrate.

These KSBs are listed in the section below and mapped to the specific assessment method ('Professional Discussion' or 'Project report, presentation, and questions') where they are assessed.

#### Professional discussion

| THEME KSBs | PASS   | DISTINCTION   |
|------------|--|---|
|            | To pass the EPA, apprentices must demonstrate <b>all</b> of the 'pass' descriptors below | To achieve a Distinction, apprentices must demonstrate <b>all</b> of the 'pass' descriptors and <b>all</b> of the 'distinction' descriptors below |

|   |  |  |
|---|--|--|
| <p>Risk and regulation frameworks</p> <p>K1, K2, K3, K5, K7, S3, S8</p> | <p><b>P1</b> - Articulates the role of the industry regulators, their inter-relationships and objectives and the impact on the apprentice's organisation. K2, K3</p> <p><b>P2</b> - Critically analyses how the features and principles of the industry legal and regulatory framework have evolved over time, leading to the current role of their organisation plays in the wellbeing of society K1, K5</p> <p><b>P3</b> - Analyses the extent to which professional standards and methods of working are applied within the organisation. Co-ordinates and manages work and documentation to meet legal, regulatory and company deadlines in line with industry professional standards and best practice.' K7, S3, S8</p> | <p><b>D1</b> - Critically analyses the degree to which the organisation's documentation aligns to professional standards and best practice. K7, S3, S8</p>     |
| <p>Products and customers</p> <p>K9, K10, K11, S4, S12, B4</p>          | <p><b>P4</b> - Analyses customer segmentation and needs to determine whether it meets legal, regulatory, process and/or organisational policy requirements. K9, S4</p> <p><b>P5</b> - Articulates the risks to clients of the organisation's products and services and applies policies and processes to ensure fair customer outcomes, manages conflict to produce 'win:win' outcomes in line with the ethical code of conduct for the sector/organisation. K10, K11, S12, B4</p>   | <p><b>D2</b> - Critically analyses the degree to which organisational, legal, and regulatory policies and processes ensure fair customer outcomes. K10, S4</p> |

|   |   |   |
|---|---|---|
| <p>IT and digital systems and processes</p> <p>K16, K18 S19</p> | <p><b>P6</b> - Applies data protection legislation and organisational policy to handle data safely and securely when sharing and storing information mitigating the risks from cybercrime K16, K18, S19</p>   | <p><b>D3</b> - Analyses the risk to the organisation's data from cybercrime K18, S19</p>  |
| <p>Audits</p> <p>K4 K17</p>                                     | <p><b>P7</b> - Articulates internal and external audit requirements and the responsibilities of all parties to the audit. Outlines the implications to the organisation of audit findings of non-compliance K4, K17</p>                                     | <p>N/A</p>  |
| <p>Green finance and sustainability</p> <p>K19 K20</p>          | <p><b>P8</b> - Evaluates the manageability of environment and sustainability risks relative to compliance and risk. Outlines the role key stakeholders play in sustainable finance and how it is incorporated into risk/compliance frameworks. K19, K20</p> | <p>N/A</p>  |
| <p>Strategy and planning</p> <p>K14 S1 S15 B6</p>               | <p><b>P9</b> - Applies the principles of strategic planning to solve problems faced by customers which lead to changes and/or overcome challenges, in line with organisational policies and procedures K14, S1, S15, B6</p>                                 | <p><b>D4</b> - Critiques actions taken to solve customer problems and justifies changes to organisational policies and procedures K14, S1, B6</p> |

## Project report, presentation and questions

| THEME KSBS   | PASS   | DISTINCTION   |
|--|--|---|
| Industry and company understanding/ analysis and problem solving.<br>K6 S5 | <b>P10</b> - Analyses competitor activity and political, social, and environmental factors which change organisational risk appetite to reach conclusions and make recommendations as to how they might be mitigated K6, S5  | N/A   |
| Communicating and influencing<br>K13 S2 S6 S7 S9 S13 S17 B3 B7             | <b>P11</b> - Applies communication skills adapting to the audience and outputs required, collaborates with others, and promotes teamwork in line with the organisational policies on working with others, equality, and inclusivity K13 S6, S7, B7<br><br><b>P12</b> - Justifies the use of digital tools for project research, analysis, and data presentation and to build reports specific to the audience S2, S17<br><br><b>P13</b> - Evaluates how their leadership in the project challenges and influences managers and colleagues on a course of action in order to achieve outcomes S9, S13, B3 | <b>D5</b> - Justifies their selection and application of communication styles and why others were not suitable K13, S6<br><br><b>D6</b> - Evaluates the use of digital tools to build reports and the extent to which they meet audience requirements S2, S17 |

|   |  |   |
|---|--|---|
| <p>Stakeholder management</p> <p>K8 K12 S10 S11<br/>B1 B5</p> | <p><b>P14</b> - Outlines the purpose of their team or departments and any other teams or organisations the project aligns with which enables building and maintaining of stakeholder relationships and expectations K8, K12 S10</p> <p><b>P15</b> - Justifies the methods used in the project to build trust and achieve results with co-workers based on their own decisions, in line with the organisational policies and guidelines on honesty, integrity and confidentiality S11, B1, B5</p> | <p><b>D7</b> - Evaluates the approach they took in building trust with colleagues and how this influenced achieving the desired course of action K12, S8, S10</p> |
| <p>Continuous improvement</p> <p>K15 S14 S16 S18<br/>B2</p>   | <p><b>P16</b> - Articulates the principles of continuous improvement and how they apply continued learning to deliver improved outcomes. Uses external network opportunities to take ownership of their own development needs to maintain own knowledge and assist colleagues' development of K15, S14, S16, S18, B2</p>   | <p>N/A</p>  |

## 6.2 Mapping of KSBs to assessment methods

### Knowledge

| Knowledge   | Assessment Method(s)    |
|---|-------------------------|
| K1 The features and principles of the legal and regulatory framework in their industry. | Professional discussion |
| K2 The role of regulators in their industry, their objectives, and primary functions.   | Professional discussion |
| K3 The inter-relationships between different regulators and their organisation          | Professional discussion |
| K4 The implications of non-compliance on the organisation                               | Professional discussion |

| <b>Knowledge</b>  | <b>Assessment Method(s)</b>                 |
|---|---|
| K5 The history of the industry and the role their organisation plays in the wellbeing of society  | Professional discussion                     |
| K6 Factors that can change risk appetite in an organisation including competitor activity, political, social, and environmental factors and how these can be mitigated  | Project report, presentation, and questions |
| K7 Professional standards and best practice and how these are applied.  | Professional discussion                     |
| K8 The role of their team or department, the different teams, and organisations they work with and how they support them.   | Project report, presentation, and questions |
| K9 Approaches to identify customer segments and needs   | Professional discussion                     |
| K10 The policies and processes in place to ensure fair customer outcomes  | Professional discussion                     |
| K11 Financial and compliance risks within the organisation's products and services available to customers   | Professional discussion                     |
| K12 The principles of excellent stakeholder management relative to their role   | Project report, presentation, and questions |
| K13 The principles of communication techniques such as, active listening, team communications, business storytelling, negotiation techniques, conflict management and, diversity, equality, and inclusivity considerations. | Project report, presentation, and questions |
| K14 The features and principles of strategic planning relative to their role  | Professional discussion                     |
| K15 Continuous improvement principles and techniques relative to their role.  | Project report, presentation, and questions |
| K16 The systems, tools and processes required in the role such as the impact of technology on risk management, cyber security, AI, blockchain, digital tools  | Professional discussion                     |
| K17 Internal and external audit requirements and the responsibilities of the auditor and auditee  | Professional discussion                     |
| K18 The impact of data protection legislation and the processes for sharing and storing information safely and securely including risks to data from cybercrime   | Professional discussion                     |



| <b>Knowledge</b>  | <b>Assessment Method(s)</b> |
|---|-----------------------------|
| K19 The nature and importance of key climate, environmental and emerging sustainability risks, relative to compliance and risk, and how these may be managed. | Professional discussion     |
| K20 The extent to which sustainable finance is incorporated in risk and compliance frameworks and the role of key stakeholders                                | Professional discussion     |

## Skills

| <b>Skills</b>   | <b>Assessment Method(s)</b>                 |
|---|---|
| S1 Think laterally, take a wide perspective of the issue at hand, consider aspects of a problem to formulate an operational or strategic plan.  | Professional discussion                     |
| S2 Build reports to suit the requirement of the audience, for example departmental plans, key performance indicators (KPIs) and project reports.  | Project report, presentation, and questions |
| S3 Plan and organise own work to meet legal, regulatory, organisational deadlines   | Professional discussion                     |
| S4 Analyse and interpret information to assess whether it meets legal, regulatory, process or policy requirements   | Professional discussion                     |
| S5 Analyse information to identify key issues, draw conclusions and make recommendations  | Project report, presentation, and questions |
| S6 Demonstrate different communication methods and adapt communication style to their audience, being clear on purpose of communication and outputs required, for example, verbal, written, virtual communication, presentations          | Project report, presentation, and questions |
| S7 Demonstrate different communication styles such as, active listening, team communications, business storytelling, negotiation techniques, conflict management, cross-cultural communications, equality, and inclusivity considerations | Project report, presentation, and questions |
| S8 Maintain documents in line with current regulation and policy  | Professional discussion                     |
| S9 Challenge and influence managers and colleagues on desired course of action  | Project report, presentation, and questions |

| <b>Skills</b>   | <b>Assessment Method(s)</b>                 |
|---|---|
| S10 Build and maintain working relationships with stakeholders, contracting and managing stakeholder expectations.  | Project report, presentation, and questions |
| S11 Build trust with colleagues, collaborating to achieve results   | Project report, presentation, and questions |
| S12 Manage conflict, demonstrating empathy and a desire to work towards win-win outcomes  | Professional discussion                     |
| S13 Lead others to achieve desired outcomes   | Project report, presentation, and questions |
| S14 Apply continuous improvement techniques to deliver improved compliance and risk outcomes for the organisation, for example seek feedback and respond to improve performance | Project report, presentation, and questions |
| S15 Develop strategies to implement change  | Professional discussion                     |
| S16 Network with others in the profession to keep up to date with changes in the industry, best practice, and potential opportunities   | Project report, presentation, and questions |
| S17 Use digital tools for research, analysis, and to present data using visualisation techniques.   | Project report, presentation, and questions |
| S18 Demonstrate technology to others and keeps up to date with developments in IT relative to their role  | Project report, presentation, and questions |
| S19 Handle data safely and securely and share information in compliance with data protection legislation and organisation's policy  | Professional discussion                     |

## **Behaviours**

| <b>Behaviour</b>  | <b>Assessment Method(s)</b>                 |
|---|---|
| B1 Displays honesty and integrity - truthful in their actions. Shows integrity by doing the right thing, maintains confidentiality and acts with due care and diligence | Project report, presentation, and questions |

| <b>Behaviour</b>  | <b>Assessment Method(s)</b>                 |
|---|---|
| B2 Takes ownership of continued professional development, acts as a role model, and supports others in their development. | Project report, presentation, and questions |
| B3 Takes an adaptable, evidence-based approach to decision making in the context of specific situations or environments.  | Project report, presentation, and questions |
| B4 Resilient in challenging, changing environments. Shows emotional intelligence to resolve conflicts when they arise     | Professional discussion                     |
| B5 Takes responsibility for decisions and procedures implemented.   | Project report, presentation, and questions |
| B6 Displays a growth mindset, learning from failures, spotting opportunities, and overcoming challenges                   | Professional discussion                     |
| B7 Collaborates and promotes teamwork across diverse teams; internal, external and across disciplines                     | Project report, presentation, and questions |

## 6.3 Mapping of KSBs to grade themes.

### Professional discussion - Discussion

| KSBs grouped by themes  | Knowledge   | Skills  | Behaviours  |
|---|---|---|---|
| <p>Risk and regulation frameworks</p> <p>K1 K2 K3 K5 K7 S3 S8</p> | <p>The features and principles of the legal and regulatory framework in their industry. (K1)</p> <p>The role of regulators in their industry, their objectives, and primary functions. (K2)</p> <p>The inter-relationships between different regulators and their organisation (K3)</p> <p>The history of the industry and the role their organisation plays in the wellbeing of society (K5)</p> <p>Professional standards and best practice and how these are applied. (K7)</p> | <p>Plan and organise own work to meet legal, regulatory, organisational deadlines (S3)</p> <p>Maintain documents in line with current regulation and policy (S8)</p>  | N/A   |
| <p>Products and customers</p> <p>K9 K10 K11 S4 S12 B4</p>         | <p>Approaches to identify customer segments and needs (K9)</p> <p>The policies and processes in place to ensure fair customer outcomes (K10)</p> <p>Financial and compliance risks within the organisation's products and services available to customers (K11)</p>   | <p>Analyse and interpret information to assess whether it meets legal, regulatory, process or policy requirements (S4)</p> <p>Manage conflict, demonstrating empathy and a desire to work towards win- win outcomes (S12)</p> | <p>Resilient in challenging, changing environment</p> <p>Shows emotional intelligence to resolve conflicts when they arise (B4)</p> |

| KSBs grouped by themes                                | Knowledge  | Skills   | Behaviours |
|---|--|--|------------|
| IT and digital / systems and processes<br>K16 K18 S19 | <p>The systems, tools and processes required in the role such as the impact of technology on risk management, cyber security, AI, blockchain, digital tools (K16)</p> <p>The impact of data protection legislation and the processes for sharing and storing information safely and securely including risks to data from cybercrime (K18)</p> | Handle data safely and securely and share information in compliance with data protection legislation and organisation's policy (S19) | N/A        |
| Audits K4 K17   | <p>The implications of non-compliance on the organisation (K4)</p> <p>Internal and external audit requirements and the responsibilities of the auditor and auditee (K17)</p>   | N/A  | N/A        |
| Green finance and sustainability<br>K19 K20           | <p>The nature and importance of key climate, environmental and emerging sustainability risks, relative to compliance and risk, and how these may be managed. (K19)</p> <p>The extent to which sustainable finance is incorporated in risk and compliance frameworks and the role of key stakeholders (K20)</p>                                 | N/A  | N/A        |

| <b>KSBs grouped by themes</b>       | <b>Knowledge</b>   | <b>Skills</b>  | <b>Behaviours</b>   |
|-------------------------------------|--|--|---|
| Strategy and planning K14 S1 S15 B6 | The features and principles of strategic planning relative to their role (K14) | Think laterally, take a wide perspective of the issue at hand, consider aspects of a problem to formulate an operational or strategic plan. (S1)<br><br>Develop strategies to implement change (S15) | Displays a growth mindset, learning from failures, spotting opportunities, and overcoming challenges (B6) |

### Project report, presentation and questions - Project

| <b>KSBs grouped by themes</b>  | <b>Knowledge</b>   | <b>Skills</b>  | <b>Behaviours</b> |
|--|--|--|-------------------|
| Industry and company understanding/ analysis and problem solving.<br><br>K6 S5 | Factors that can change risk appetite in an organisation including competitor activity, political, social, and environmental factors and how these can be mitigated (K6) | Analyse information to identify key issues, draw conclusions and make recommendations (S5) | N/A               |

| KSBs grouped by themes  | Knowledge  | Skills  | Behaviours   |
|---|--|---|--|
| <p>Communicating and influencing</p> <p>K13 S2 S6 S7 S9<br/>S13 S17 B3 B7</p> | <p>The principles of communication techniques such as, active listening, team communications, business storytelling, negotiation techniques, conflict management and, diversity, equality, and inclusivity considerations. (K13)</p> | <p>Build reports to suit the requirements of the audience, for example departmental plans, key performance indicators (KPIs) and project reports. (S2)</p> <p>Demonstrate different communication methods and adapt communication style to their audience, being clear on purpose of communication and outputs required, for example, verbal, written, virtual communication, presentations (S6)</p> <p>Demonstrate different communication styles such as, active listening, team communications, business storytelling, negotiation techniques, conflict management, cross-cultural communications, equality, and inclusivity considerations (S7)</p> <p>Challenge and influence managers and colleagues on desired course of action (S9)</p> <p>Lead others to achieve desired outcomes (S13)</p> <p>Use digital tools for research, analysis, and to present data using visualisation techniques. (S17)</p> | <p>Takes an adaptable, evidence-based approach to decision making in the context of specific situations or environments. (B3)</p> <p>Collaborates and promotes teamwork across diverse teams; internal, external and across disciplines (B7)</p> |

| KSBs grouped by themes                            | Knowledge   | Skills  | Behaviours  |
|---|---|---|---|
| Stakeholder management<br>K8 K12 S10 S11<br>B1 B5 | <p>The role of their team or department, the different teams, and organisations they work with and how they support them. (K8)</p> <p>The principles of excellent stakeholder management relative to their role (K12)</p> | <p>Build and maintain working relationships with stakeholders, contracting and managing stakeholder expectations. (S10)</p> <p>Build trust with colleagues, collaborating to achieve results (S11)</p>  | <p>Displays honesty and integrity - truthful in their actions. Shows integrity by doing the right thing, maintains confidentiality and acts with due care and diligence (B1)</p> <p>Takes responsibility for decisions and procedures implemented. (B5)</p> |
| Continuous improvement<br>K15 S14 S16 S18<br>B2   | <p>Continuous improvement principles and techniques relative to their role. (K15)</p>   | <p>Apply continuous improvement techniques to deliver improved compliance and risk outcomes for the organisation, for example seek feedback and respond to improve performance (S14)</p> <p>Network with others in the profession to keep up to date with changes in the industry, best practice, and potential opportunities (S16)</p> <p>Demonstrate technology to others and keeps up to date with developments in IT relative to their role (S18)</p> | <p>Takes ownership of continued professional development, acts as a role model, and supports others in their development. (B2)</p>  |





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