Level 4

End Point Assessment Handbook

ST0430 V1.1 Level 4 Regulatory Compliance Officer

Qualification Number: 610/0754/7

ICA INTERNATIONAL COMPLIANCE ASSOCIATION

Contents

1. Introduction and overview

This document explains the requirements for end-point assessment (EPA) for the Regulatory Compliance Officer apprenticeship.

This should be read in conjunction with the EPA handbook.

1.1 EPA structure

The EPA consists of two assessment methods:

- **Project report with presentation, questions and answers** - comprising a 4,000-word report and a 60-minute presentation with questioning session
- **Professional discussion underpinned by a portfolio** - lasting 60 minutes, based on a work-based portfolio of evidence

The result from each assessment method is combined to determine the overall EPA grade. See section 4 for information on how the overall grade is determined.

All assessments are mandatory, and the ICA will assess all areas of the EPA.

The combination of these assessment methods builds a cumulative picture of performance against the standard.

They require apprentices to demonstrate the application of knowledge, skills, and behaviours in an integrated manner to deliver the required outcomes, enabling the assessor to make a holistic judgement about how well the apprentice meets or exceeds the standard.

All assessments will be conducted online and will be recorded for quality assurance purposes. The recordings will be retained according to ICA quality assurance requirements and General Data Protection Regulation (GDPR) guidelines.

1.2 Length of EPA period

The EPA period starts when the ICA confirms the gateway requirements have been met. The EPA should be completed within an EPA period lasting typically 3 months.

1.3 Order of assessment methods

The ICA can conduct the assessments in any order:

1. Project report with presentation, questions and answers
2. Professional discussion underpinned by a portfolio

The result of one assessment method does not need to be known before starting the next.

1.4 EPA Gateway

The apprentice's employer must be content that the apprentice is occupationally competent. That is, they are deemed to be working at or above the level set out in the apprenticeship standard and ready to undertake the EPA.

The employer may take advice from the apprentice's training provider, but the employer must make the decision. The apprentice will then enter the gateway.

The apprentice must meet the gateway requirements before starting their EPA:

- Confirm they are ready to take the EPA
- Have achieved English and mathematics qualifications in line with the apprenticeship funding rules if applicable (Level 2)
- Submit a portfolio of evidence for the professional discussion underpinned by a portfolio

2. Project report with presentation, questions and answers

2.1 Introduction

The project report assessment method involves the apprentice completing a significant and defined piece of work that has a real business application and benefit. This process may include research, analysis and the completion of tasks or activities to achieve the outcome.

This assessment method has two components:

- Completion of the defined piece of work for the project with a project output (report)
- Completion of the presentation with questions and answers

Together, these components give the apprentice the opportunity to demonstrate the KSBs mapped to this assessment method. They are assessed by an independent assessor.

2.2 Project focus

The apprentice must complete a project based on any of the following themes:

- Legislation
- Risk management and investigation
- Communication and relationship management
- Data analysis and management

The project output must be in the form of a report and presentation with question and answer.

The apprentice must complete the project before gateway. The employer should ensure the apprentice has the time and resources, within the project period, to plan and complete their project.

2.3 Team working

The apprentice may work as part of a team to complete the project, which could include internal colleagues or technical experts. However:

- The apprentice must complete their project report and presentation unaided
- They must be reflective of the apprentice's own role and contribution
- The apprentice and their employer must confirm this when the report and presentation materials are submitted.

2.4 Component 1: Project report

Word Count: 4,000 words (a tolerance of 10% above or below is allowed at the apprentice's discretion)

Appendices, references and diagrams are not included in this total.

The project report must include as a minimum:

- An executive summary (or abstract)
- An introduction
- The scope of the project (including key performance indicators, aims and objectives)
- A project plan
- Research outcomes
- Data analysis outcomes

- Project outcomes
- Discussion of findings
- Recommendations and conclusions
- References
- Appendix containing mapping of KSBs to the report

The apprentice must produce and include a mapping in an appendix, showing how the report evidences the KSBs mapped to this assessment method.

Submission: The apprentice must complete and submit the report and any presentation materials to the EPAO by the end of week 8 of the EPA period.

2.5 Component 2: Presentation with questions

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

Duration: 60 minutes total, typically including:

- Presentation: 35 minutes
- Questioning: 25 minutes

The independent assessor can increase the time by up to 10% to allow the apprentice to complete their last point or respond to a question if necessary.

The presentation should cover:

- An overview of the project
- The project scope (including key performance indicators)
- Summary of actions undertaken by the apprentice
- Project outcomes and how these were achieved

Questions: The independent assessor must ask at least 6 questions. Follow-up questions are allowed where clarification is required.

The purpose of the independent assessor's questions is:

- To verify that the activity was completed by the apprentice
- To seek clarification where required

- To assess those KSBs that the apprentice did not have the opportunity to demonstrate with the report (although these should be kept to a minimum)
- To assess level of competence against the grading descriptors

2.8 Grading

To achieve a Pass: The apprentice must demonstrate all of the pass descriptors.

To achieve a Distinction: The apprentice must demonstrate all of the pass descriptors AND all of the distinction descriptors.

See section 5 for detailed grading criteria.

3. Professional discussion underpinned by portfolio

3.1 Introduction

The professional discussion is a formal two-way conversation between an independent assessor and the apprentice. It gives the apprentice the opportunity to demonstrate the KSBs mapped to this assessment method.

The purpose of this assessment is to:

- Draw out the best of your competence and excellence
- Give you the opportunity to evidence the knowledge, skills and behaviours (KSBs) assigned to this assessment method
- Enable the associated KSBs to be adequately and sufficiently measured

3.2 Assessment themes

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

- Legislation (**K1, K2, K3, K4, K10, S1, S12**)
- Data analysis and management (**K17, S5, S9, S11**)
- Personal management and development (**K24, S17, B1, B3**)
- Communication (**K19, K20, K21, S14, S15**)

3.3 Portfolio of evidence

You need to submit a portfolio for this assessment.

The portfolio is a collection of evidence and a record of your activity, progress and achievement, showing what you have completed during the training and the development of your knowledge, skills and behaviours.

The portfolio will not be directly assessed by ICA, but will be used to prepare questions for your professional discussion.

Contents and limits

Your portfolio must include typically 16 discrete pieces of evidence.

Types of evidence can include:

- Workplace policies and procedures
- Witness statements
- Annotated photographs
- Video clips (with a maximum total duration of 10 minutes; the apprentice must be in view and identifiable)

Other types of evidence are also acceptable.

Exclusions

- The portfolio should NOT include reflective accounts or any methods of self-assessment
- Employer contributions should focus on direct observation of performance (for example, witness statements) rather than opinions

Content focus

The portfolio should only contain evidence related to the KSBs that will be assessed by the professional discussion. Evidence must be mapped against the KSBs. Evidence may be used to demonstrate more than one KSB (a qualitative rather than quantitative approach is suggested).

Authenticity

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

Confidentiality

- Ensure you have permission to include any confidential or sensitive information
- Anonymise or redact sensitive information where necessary, but ensure the assessor can still understand its relevance

- Consult with your employer if you're unsure about including specific information

3.4 Professional discussion

The professional discussion will be conducted online and last 60 minutes.

The independent assessor can increase the time by up to 10% to allow the apprentice to respond to a question if necessary.

Question format:

- The independent assessor must ask at least 10 questions
- The assessor will prepare questions in advance based on your portfolio to authenticate the evidence
- Follow-up questions are allowed where clarification is required

3.6 Grading

To achieve a Pass: The apprentice must demonstrate all of the pass descriptors.

To achieve a Distinction: The apprentice must demonstrate all of the pass descriptors AND all of the distinction descriptors.

See section 5 for detailed grading criteria.

4. Results

4.1 Results

This EPA has the following grades:

- Fail
- Pass
- Merit
- Distinction

To pass the assessment, you need to:

- Demonstrate all the KSBs assigned to this assessment method
- Satisfy all the pass descriptors

To achieve a distinction, you must:

- Meet all the pass criteria AND
- Meet all the distinction criteria

The assessor will award a grade for each individual assessment. Grades from individual assessment methods will be combined in the following way to determine the grade of the EPA as a whole:

Assessment method 1: Project report with presentation, questions and answers	Assessment method 2: Professional discussion underpinned by a portfolio	Overall grading
Fail	Fail	Fail
Fail	Pass	Fail
Pass	Fail	Fail
Distinction	Fail	Fail
Fail	Distinction	Fail
Pass	Pass	Pass
Pass	Distinction	Merit
Distinction	Pass	Merit
Distinction	Distinction	Distinction

4.2 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 apprentice's employer needs to agree that a re-sit or re-take is appropriate. The apprentice should have a supportive action plan to prepare for a re-sit or a re-take.

The employer and the EPAO should agree the timescale for a re-sit or re-take:

- A re-sit is typically taken within 1 month of the EPA outcome notification
- A re-take is typically taken within 3 months of the EPA outcome notification (dependent on how much re-training is required)

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.

Answering questions

- Attempt to answer all questions asked by the assessor.
- If certain criteria do not directly relate to your job role, you can still demonstrate your understanding and discuss how your role connects to those aspects of the apprenticeship standards. You will not be disadvantaged for this.

5. Grading criteria

The assessment will determine performance against the grading criteria detailed below.

Project report with presentation, questions and answers

KSBs	Pass Criteria	Distinction Criteria
Investigation and evidence gathering		
K5 - The roles and responsibilities of partner organisations and their interrelationships.	Outlines the roles and responsibilities of partner organisations and their interrelationships. (**K5**)	
K6 - Risk assessment as a tool to support compliance and protect businesses and individuals. **S2** - Make informed assessments of the risk of a business or individual's non-compliance.	Describes how they make informed assessments of the risk of a business or individual's non-compliance in their sector, using risk assessment tools to support and protect. (**K6, S2**)	
K8 - Intervention methods available to businesses and individuals to secure compliance. **K12 -** Statutory and non-statutory interventions available to a Regulatory Compliance Officer to assess and respond to identified non-compliance. **S4 -** Make proportionate and risk-based intervention choices to ensure compliance is achieved. **S6 -** Take actions to deal with non-compliance using proportionate interventions.	Justifies how they implement statutory and non-statutory interventions to assess, respond to, and secure compliance, making proportionate, risk-based intervention choices to address and resolve identified non-compliance issues. (**K8, K12, S4, S6**)	

KSBs	Pass Criteria	Distinction Criteria
Investigation and evidence gathering (continued)		
K9 - Techniques available to a regulatory compliance officer to assess compliance, monitor progress and identify trends **K16 -** Types of internal controls that businesses can have in place to support compliance. **S7** - Monitor progress made by businesses and individuals against assessed risks.	Outlines how they apply a range of appropriate techniques and controls to assess compliance and identify trends, monitor progress against risks and evaluate internal controls to ensure ongoing support for compliance. (**K9, K16, S7**)	Evaluates the techniques they used to monitor progress and how these impacted the assessed risks. (**K9, S7**)
K11 - The factors that affect approaches taken by businesses and individuals to compliance and the responses of businesses and individuals to these factors. **K14 -** The products and services provided by businesses in the sector in which they operate and the potential risks to compliance associated with these. **S8 -** Assess products and services, including any associated internal controls to ensure they meet legal, regulatory and organisational requirements.	Outlines how they evaluate products and services, including internal controls, to ensure legal, regulatory, and organisational compliance, considering sector-specific risks and factors influencing compliance approaches for businesses and individuals. (**K11, K14, S8**)	
K15 - The purpose of auditing and inspection and associated techniques, processes and documentation. **S3 -** Use outcomes of risk assessment to guide decisions, activities and targeting of resources.	Use outcomes of risk assessment, including of auditing and inspection and associated techniques, processes and documentation, to guide decisions, activities and targeting of resources. (**K15, S3**)	Justifies the decisions they made based on the outcomes of audit, inspection and risk assessment (**K15, S3**)

KSBs	Pass Criteria	Distinction Criteria
Investigation and evidence gathering (continued)		
K18 - How to source and access and present appropriate data to solve problems and address business need, ensuring data integrity and being mindful of data bias. **S10 -** Take a systematic approach to data curation and apply data quality controls to ensure the correct use of data-driven findings. **B2 -** Acts in a professional manner with integrity and confidentiality.	Outlines how they maintain confidentiality and ensure data integrity while curating, sourcing, accessing, and presenting appropriate data, applying quality controls to guarantee the correct use of data-driven findings and solving problems to meet business needs, always being mindful of data bias. (**K18, S10, B2**)	
Relationship management		
K7 - The business environment that Regulatory Compliance Officers work in and the effect on businesses and individuals in their sector. **K22 -** Principles of customer service and their application to interacting with key stakeholders when carrying out duties. **K25 -** Ethical practices that seek to preserve the trust of stakeholders including the need for fairness, accountability and transparency. **S13 -** Build and maintain good working relationships with stakeholders and tailor their approach to the needs and circumstances of those they interact with.	Outlines how they build and maintain working relationships with stakeholders, tailoring their approach to the needs and circumstances of those they interact with, applying customer service principles and ethical practices which promote fairness accountability and transparency and considers the impact their work has on businesses and individuals. (**K7, K22, K25, S13**)	Evaluates the impact that building good working relationships has had on their compliance work with businesses and individuals. (**K7, S13**)

Professional discussion underpinned by portfolio

KSBs	Pass Criteria	Distinction Criteria
Legislation		
K1 - The role of regulation as a tool of Government through statutory and non-statutory measures. **K2 -** Legal and regulatory frameworks and how they apply to businesses and individuals within their sector. **K3 -** The statutory and non-statutory regulations relevant to their regulatory function(s). **K4 -** The relationship between legal and regulatory requirements of a sector and the sector and organisational requirements through codes of practice, policies and procedures	Articulates how they work within legal and regulatory frameworks and the follow the policies, procedures and codes of practice which apply to businesses and individuals within their sector while considering the role of regulation as a governmental tool, using statutory and non-statutory measures and addressing legal and regulatory interrelationships. (**K1, K2, K3, K4, S1**)	
K10 - How regulation and the way it is enforced can impact on the businesses regulated. **K13 -** The need to provide compliance support to businesses and individuals they work with. **S12 -** Promote the importance of compliance and their organisation's role in supporting compliance.	Describes their organisation's role in supporting compliance and how they promote the importance of compliance to support the businesses and individuals they work with, taking into account how regulation and the way it is enforced can impact on the businesses regulated. (**K10, K13, S12**)	Evaluates the impact of regulation enforcement on businesses, considering the degree to which compliance has been promoted by them and supported within the organisation. (**K10, S12**)
Data analysis and management		
K17 - Types of data and methods to analyse data that can contribute to the assessment of a business or individual's compliance with legislation, regulation and organisational requirements and their sources. **S9 -** Use and analyse data, making decisions about the relevance, quality and accuracy to inform evidence-based and objective risk assessments.	Outlines the types of data, sources and the methods used to analyse it in order to assess the compliance of a business or individual with legislation, regulation and organisational requirements, considering relevance, quality and accuracy to inform evidence based and objective risk assessments. (**K17, S9**)	

KSBs	Pass Criteria	Distinction Criteria
Data analysis and management (continued)		
S5 - Collect evidence and data related to non-compliance using available techniques, for example investigations, audits, inspections **S11** - Identify patterns and trends in compliance issues	Outlines the techniques they use to collect evidence and data that is related to non-compliance and use this to identify patterns and trends.' (**S5, S11**)	Justifies the techniques they use to collect evidence and data to identify patterns and trends in non-compliance. (**S5, S11**)
Personal management and development		
K24 - Techniques for managing a caseload and own wellbeing. **B3** - Works flexibly and adapts to circumstances	Outlines the techniques they use for managing a caseload and their own wellbeing, working flexibly and adapting to changing circumstances in line with organisational policies and procedures. (**K24, B3**).	
S17 - Use workload management techniques to plan, organise and prioritise own tasks and manage time effectively. **B1** - Works sustainably ensuring resources are used efficiently and responsibly	Identifies the workload management techniques they use to plan, organise and prioritise own tasks and manage time effectively, using resources sustainably in line with organisational policies and procedures. (**S17, B1**)	
Communication		
K19 - Legal, regulatory and organisational requirements related to data storage, retention and sharing. **S15** - Use digital technologies to manage, share and store information and to communicate with others.	Justifies why they take account of the legal, regulatory and organisational requirements related to data storage, retention and sharing when using digital technologies to manage, share and store information when communicating with others' (**K19, S15**)	
K20 - The value of feedback from those they regulate, and the beneficiaries of legislation, regulation and organisational requirements, such as consumers, in informing future activities.	Explains the value of feedback from those they regulate to inform future activities. (**K20**)	

KSBs	Pass Criteria	Distinction Criteria
Communication (continued)		
K21 - Communication methods and techniques, including digital technologies used to extract and convey information to different audiences in different situations. **S14 -** Communicate with stakeholders including businesses, individuals and regulators.	Outlines the communication methods and techniques including digital technologies they use to extract and convey information to businesses, individuals and regulators. (**K21, S14**)	Evaluates the importance of choice of communication method or technique in conveying information to businesses, individuals and regulators in different situations (**K21, S14**)

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