



**Level
4**

End Point Assessment Handbook

Governance Officer ST1302

Qualification Number:
610/3084/3

ICA INTERNATIONAL
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1. Introduction and overview

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

This should be read in conjunction with the EPA handbook.

1.1 EPA structure

The EPA consists of two discrete assessment methods.

- Work-based report with presentation and questioning.
- Professional discussion underpinned by a portfolio.

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.

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

The combination of these two 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.

Both assessments (professional discussion and presentation) will be conducted online and will be recorded for quality assurance purposes. The recordings will be retained according to ICA quality assurance requirement 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 must be completed within five months of going through gateway.

1.3 Order of assessment methods

The ICA will conduct the assessments in the following order.

1. Professional discussion underpinned by a portfolio.
2. Work-based report with presentation and questioning.

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

1.4 EPA Gateway

The apprentice, their employer, and the training provider must confirm that they think their apprentice is working at or above the occupational standard.

The apprentice will then enter the gateway.

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

- achieved level 2 English and maths qualifications (if required)
- submit Project scoping document for the work-based project with presentation and questioning
- submit Portfolio of evidence for the professional discussion underpinned by a portfolio.

2. Work-based project with presentation and questioning

2.1 Introduction

This element of assessment consists of three requirements:

1. apprentices are required to produce a report based on a piece of work that they have completed or worked upon.
2. apprentices are then required to prepare and deliver a presentation based on this report.
3. This will be followed by questioning (oral assessment) based on the presentation and project report.

The topic areas that will be covered during the discussion will cover the following:

- Organisational structures: K3, K13, K17, S6, S14, and B2
- Stakeholders: K6, K14, and S2
- Data and information: K7, K16, S3, and S11
- Context and reporting: K10, S7, and S12
- Systems and processes: K11 and K18, and
- Personal management: K19, S5, S9, and B3

Apprentices should use the mapping document provided by the ICA to outline how and where they intend to evidence the required KSBs.

2.2 Project

Apprentices will conduct a project in the form of a work-based report.

The content of the project must enable the Knowledge, Skills, and Behaviours (KSBs) mapped to this assessment method to be met.

Apprentices must complete and submit apprentices project in a maximum of 12 weeks after gateway.

Whilst completing the project, apprentices should be subject normal line management controls and supervision.

Apprentices will lead the agreed project, but apprentices may also work as part of a larger team which could include internal or external support (such as customers, team members, clients, senior management, and internal teams). However, the report must be apprentices' own work and will be reflective of apprentices' own role and contribution to the project.

Apprentices must start the report after the gateway. However, the discussion and planning with apprentices' employers to agree on a project scope and to ensure apprentices have the required time and resources can start in advance of that.

Please note: the recommendations of the written project report do not need to be implemented as part of the EPA period, but there must be evidence of all the KSBs mapped to this assessment method being demonstrated during the EPA period.

2.3 Project scope

The choice of project must provide the opportunity to evidence the application of the KSBs assigned to this assessment.

Examples of typical work-based projects.

- Review a current or completed governance initiative - analyse what exists or has been done then identify the challenges and risks this presents. Make recommendations for potential improvements, for solutions to challenges, and for potential risk mitigation. Explain what stakeholders you consulted and how and why.
- Undertake a new governance initiative - this could be a project that is solely a governance project or a wider project with a significant governance element. Describe the reasons for the governance (aspects of the) initiative and explain what risks had to be managed. Explain what stakeholders you consulted and how/why. Analyse what went well and what did not, identifying potential areas for improvement.
- Implement a significant change to an existing governance process, framework, project or initiative - explain why changes were required, how you worked out exactly what

changes are required, what stakeholders you consulted and how/why, how you went about implementing the changes, what risks had to be managed, and what you learned from the process. Identify potential areas for improvement.

- Carry out a Governance implementation plan that requires significant collaboration from wider stakeholders and so requires careful planning and management - explain the aim, who was involved, what stakeholders you consulted and how/why, timings and key milestones, what risks had to be managed, and what challenges arose along the way. Identify what you would do differently in future.

This list is not exhaustive. It is intended to provide some examples of possible projects that may be suitable.

The scope of the project should be a significant and defined piece of work that has a real business application and benefit to apprentice's organisation.

2.4 Project title

Apprentices are required to submit a brief summary of the project that will form the basis of their report and presentation. This summary must be submitted at the gateway to inform the ICA of the type of project chosen. The ICA will check and confirm the title of the project.

The summary should give details of the work-based project report's title and scope to confirm its suitability at the gateway. This is to ensure that if there are any issues about the project title, they will be resolved prior to the EPA period starting.

The brief summary should be no more than 500 words and is not an assessed element of the end-point assessment.

2.5 Report

The project output should be a written report with accompanying presentation summarising the analysis and findings of the project and the resulting conclusions and recommendations.

Apprentices are **not** required to implement the recommendations of their report as part of the EPA.

The written project report should be based on, or relevant to, their work area and presented in a format relevant to the project topic. For example, a business proposal, a report to a committee or board, or a proposal for a change plan.

As a minimum all reports must include:

- an introduction including an outline of the report aims
- approach taken including research and risks as applicable
- stakeholders involved and their roles
- outcomes and impact of the report recommendations and conclusions

The report must have a word count of between 3,500 words.

Appendices including references, pictorial representations, diagrams etc, and mapping to the KSBs will not be included in this total.

ICA does not specify how many words should be used for each area of the report.

2.6 Presentation

Apprentices are required to prepare and deliver a presentation on the project that apprentices have completed.

The presentation slides should be submitted at the same time as the project report.

The presentation must be based on the same project covered within the report and cover the following:

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

The presentation should last no more than 20 minutes.¹

To deliver the presentation, apprentices should ensure that apprentices have access to appropriate presentation equipment, such as a PC with PowerPoint, as required.

¹ The assessor has the discretion to increase the time for the presentation by up to 10% to allow you to complete your last point. Further time may be granted for apprentices with appropriate needs in line with the ICA's Reasonable Adjustment Policy.

2.7 Oral assessment (questions and answers)

Following the presentation, the assessor will ask a minimum of five questions covering each of the topic areas listed above.

They will have prepared some questions in advance based on the report and ask follow-up questions in response to the presentation or where clarification is required.

The purpose of the assessor's questions is:

- to assess levels of competence against the grading descriptors
- 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.

The questions and answer part will last 25 minutes.²

Apprentices should attempt to answer all questions asked by the assessor.

2.8 Grading

To pass the assessment, apprentices must demonstrate all of the KSBs assigned to this assessment method and satisfy all of the pass descriptors.

Apprentices must evidence the KSBs across the three areas of work (report, presentation, and oral assessment).

The KSBs only need to be evidenced once within either the report, presentation, or oral assessment.

Apprentices should use the mapping document provided by the ICA to outline how and where apprentices intend to evidence the required KSBs.

To achieve a 'distinction' grade for this assessment, apprentices must meet all of the pass descriptors and all of the distinction descriptors.

There are specific criteria for the award of distinction grade. Not every KSB or pass criterion will have a corresponding distinction criterion.

² The assessor has the discretion to increase the time of the question and answers by up to 10% to allow you to complete your last answer. Further time may be granted for apprentices with appropriate needs in line with the ICA's Reasonable Adjustment Policy.

The distinction criteria can be evidenced in any part of this assessment.

The table in section 5 outlines all the criteria that apprentices will be assessed against.

3. Professional discussion underpinned by portfolio

3.1 Introduction

This assessment will take the form of a professional discussion underpinned by a portfolio.

The purpose of this assessment is to:

- draw out the best of apprentice's competence and excellence
- allow apprentices the opportunity to evidence the knowledge, skills, and behaviours (KSBs) assigned to this assessment method
- allow the associated KSBs to be adequately and sufficiently measured.

The topic areas that will be covered during the discussion will cover the following:

1. Governance in theory K1, K5, and B4
2. Governance in practice K4, K8, S8, S13, and B5
3. Organisational data K9, K12, and S4
4. Frameworks, requirements, and planning K2, K15, S1, S10, and B1

3.2 Portfolio of evidence

For this assessment, apprentices will be required to submit a portfolio.

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.

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

ICA provides a mapping document for apprentices to map the contents of their portfolio to the KSBs. It is important to fully map the contents of the portfolio so that apprentices can:

- show the relevance of each piece of evidence
- show how apprentices have covered all of the necessary KSBs

- easily find information during the professional discussion.

When submitting large documents, the mapping of the portfolio contents should be to specific pages or sections to pinpoint the relevant content.

The portfolio can contain a maximum of 16 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 (maximum five minutes in length), with the apprentice 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 portfolio should be based on work completed by apprentices and can be drawn from all areas of work undertaken on-programme.

Apprentices can include examples of work that relate to collaborations or group/teamwork activities however apprentices must highlight their own role and responsibilities.

Apprentices are responsible for ensuring that apprentices have permission to include any confidential or sensitive information, or anything that identifies any third party.

Where there is a need to respect any confidentiality or sensitive material, apprentices can provide details in anonymised form or with key details redacted/changed as appropriate.

If the apprentice is unsure as to whether it is okay to include any information, they should first discuss it with their employer.

Apprentices should avoid including evidence that is redacted to the extent that it prevents the assessor being able to understand its relevance to the KSBs and apprenticeship standard.

3.3 Professional discussion

The professional discussion will be conducted online and last for 75 minutes.³

A minimum of eight questions will be asked during the professional discussion.

The assessor will have prepared a list of questions to use during the assessment in advance in response to information within the portfolio.

The questions will be chosen to authenticate evidence within the portfolio.

They may also ask some additional questions in follow-up to answers given by apprentices during the discussion.

Apprentices should attempt to answer all questions asked by the assessor.

If there are areas of the criteria that, as written, do not relate directly to the apprentice's job role then apprentices can still demonstrate their understanding of these areas and discuss how their role relates to that aspect of the apprenticeship standards. Apprentices will not be disadvantaged in these instances.

3.4 Grading

To pass the assessment, apprentices must demonstrate all of the KSBs assigned to this assessment method and satisfy all of the pass descriptors.

To achieve a 'distinction' grade for this assessment, apprentices must meet all of the pass descriptors and all of the distinction descriptors.

There are specific criteria for the award of distinction grade. Not every KSB or pass criterion will have a corresponding distinction criterion.

The table in section five outlines all the criteria that apprentices will be assessed against.

3.5 Supporting materials

ICA provides the following resources that we recommend that apprentices read before the assessment:

- EPA Guide - Assessment methods and criteria explained
- EPA Guide - Building a Portfolio
- EPA Guide - Preparing for your professional discussion

³ 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's Reasonable Adjustment Policy.

4. Results

4.1 Results

This EPA has the following grades:

- Fail
- Pass
- Distinction

To Pass, the apprentice must be able to evidence each of the individual KSBs (see section 5).

For a Distinction grade the apprentice must evidence all of the 'Pass' criteria and achieve a distinction in both assessment methods.

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 Work-based project with presentation and questioning	Assessment method 2 Professional discussion underpinned by a portfolio	Overall grading
Fail	Any grade	Fail
Any grade	Fail	Fail
Pass	Pass	Pass
Pass	Distinction	Pass
Distinction	Pass	Pass
Distinction	Distinction	Distinction

4.2 Resits and retakes

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 training provider, employer, and ICA will agree the timescale for a re-sit or re-take.

A re-sit will be taken within two months of the EPA outcome notification. The timescale for a re-take is dependent on how much re-training is required but should be 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 when the apprentice went through gateway, otherwise the entire EPA will need to be re-taken in full.

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. Grading Criteria

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

5.1 Work-based report with presentation and questioning

KSBs	Pass criteria	Distinction criteria
1. Organisational structures		
<p>K3 - Organisational structures, governance roles and decision-making frameworks.</p> <p>K13 - Continuous development of organisational systems, processes, and procedures to ensure that regulatory, governance, and risk management requirements are met.</p>	<p>Explains how the organisational structures, roles and decision-making frameworks have contributed to the continuous development of systems, policies, processes, and procedures to ensure that regulatory, governance, and risk management requirements are met and contribute to the governance of the organisation.</p>	<p>Justifies the selection of systems, processes and procedures that are used to mitigate potential risks to an organisation.</p>
<p>K17 - The context and concepts for governance today.</p> <p>B2 - Works collaboratively and shares knowledge with colleagues and stakeholders across the organisation.</p>	<p>Describes contexts and concepts for governance and how these are used to work collaboratively to share knowledge with colleagues and stakeholders.</p>	<p>N/A</p>
<p>S6 - Identify and use precedents adapted for specific circumstances such as resolutions, announcements, reports.</p> <p>S14 - Identify and implement improvements to support the governance of the organisation.</p>	<p>Explains how they identify and implement improvements to support the governance of their organisation and how they identify, use, and adapt precedents for specific circumstances.</p>	<p>N/A</p>

KSBs	Pass criteria	Distinction criteria
2. Stakeholders		
<p>K6 - The roles of the key stakeholders in their organisation and how they interact with their own role.</p> <p>K14 - Organisational changes and developments.</p> <p>S2 - Establish, maintain, and influence relationships with key stakeholders and team members.</p>	<p>Collaborates with key stakeholders during the report, explaining how relationships with key stakeholders have had positive impacts during organisational changes and developments.</p>	<p>Evaluates the importance of key stakeholder relationships during changes and developments within the organisation for the duration of the report.</p>
3. Data and information		
<p>K16 - Frameworks used to assess, capture, mitigate and report on risk, such as its link to climate change and sustainability for that organisation.</p>	<p>Explains how frameworks are used for the report to capture, assess, mitigate, and report on risks associated with the report.</p>	<p>Justifies the actions they have taken to capture, mitigate, and report on risks to the report, using evidence to support conclusions.</p>
<p>K7 - Governance and compliance record-keeping requirements.</p> <p>S3 - Use IT systems to manage, share and store information in accordance with regulatory requirements and organisational policies and procedures.</p>	<p>Explains the requirements for governance and compliance record keeping in accordance with regulatory requirements and organisational policies and procedures and the use of IT systems to support this.</p>	<p>N/A</p>
<p>S11 - Gather, analyse, use, and share data to inform the decision-making process and make judgements on actions to take.</p>	<p>Explains how governance and compliance records are analysed and managed to inform decision making in accordance with regulatory requirements and organisational policies and procedures.</p>	<p>N/A</p>

KSBs	Pass criteria	Distinction criteria
4. Context and reporting		
<p>K10 - Governance reporting and disclosure obligations of the organisation such as legal and regulatory filings and announcements, and annual reports.</p> <p>S7 - Produce work which is factually accurate and well presented for submission to the members of a decision-making governing body and for publication by the organisation.</p> <p>S12 - Identify problems and present potential solutions to stakeholders.</p>	<p>Presents recommendations for governance that are based on factually accurate work, explaining how they identify problems and how the governance reporting and disclosure obligations have been met.</p>	<p>Justifies recommended solutions to problems, drawing on precedents to substantiate conclusions.</p>
5. Systems and processes		
<p>K18 - The purpose and application of measures requiring the disclosure and verification of individuals' and entities' identity and connected relationships.</p>	<p>Explains the purpose and application of measures when disclosing and verifying individual's and entities' identities and their connected relationships.</p>	<p>N/A</p>
<p>K11 - Technology and software used in the performance of governance activities.</p>	<p>Explains how they identify and implement improvements, including the use of technology and software, to support the governance of their organisation and how they identify, use, and adapt precedents for specific circumstances.</p>	<p>N/A</p>

KSBs	Pass criteria	Distinction criteria
6. Personal management		
<p>K19 - Project management principles and techniques.</p> <p>S9 - Plan and prioritise their workload to meet deadlines.</p>	Applies project management principles and techniques, including appropriate technology and software, to effectively plan and prioritise workloads to meet deadlines, explaining how they have been used.	N/A
<p>S5 - Review instructions, following them to a conclusion through the execution of tasks.</p> <p>B3 - Has accountability and ownership of their tasks and workload.</p>	Explains how they review instructions taking accountability and ownership of their workload and how they follow through to the conclusion and execution of tasks.	N/A

5.2 Professional discussion underpinned by portfolio

KSBs	Pass criteria	Distinction criteria
1. Governance in theory		
<p>K1 The role of the company secretary or governance professional.</p> <p>K5 How the role of company secretary or governance officer fits into the organisation's governance function, and how it adds value to it.</p> <p>B4 Seeks learning opportunities and continuous professional development.</p>	Explains the role of the company secretary or governance professional and how their role adds value to the organisation's governance function, and how they identify and seek out opportunities for professional development.	Evaluates how governance roles add value to the organisation.

KSBs	Pass criteria	Distinction criteria
2. Governance in practice		
<p>K4 The application of governance codes, constitutional requirements, and an organisation's governance policies and processes.</p> <p>S13 Respond to stakeholder questions and requests, knowing when to consult with others or escalate on matters of a more complex or sensitive nature.</p> <p>B5 Works flexibly and adapts to circumstances.</p>	<p>Explains how governance codes, constitutional requirements, and policies and processes have been used to support and inform stakeholders, whilst working flexibly and adapting to circumstances.</p>	<p>Evaluates the purpose, impact and application of governance codes, constitutional requirements, and policies and processes to support and inform stakeholders on complex or sensitive matters.</p>
<p>K8 Governance practices and associated administration for meetings.</p> <p>S8 Develop and maintain structure charts for the organisation.</p>	<p>Explains how governance practices and administration – such as meetings and organisational structure charts – contribute to developing and maintaining organisational governance.</p>	<p>N/A</p>
3. Organisational data		
<p>K9 Financial accounting concepts and working knowledge of financial statements and reports.</p>	<p>Discusses financial accounting concepts, and the importance of financial statements and reports.</p>	<p>N/A</p>
<p>K12 The risks associated with data processing.</p> <p>S4 Communicate complex information through a variety of media to enable key stakeholders to understand what is required.</p>	<p>Explains how complex information is communicated through a variety of media and the risks associated with processing and communicating data to enable stakeholders to understand what is required.</p>	<p>Justifies the media used to communicate complex data and the solutions to reduce any risks associated with them, drawing on evidence to support conclusions. (K12, S4)</p>

KSBs	Pass criteria	Distinction criteria
4. Frameworks, requirements and planning		
<p>K2 Regulatory and legislative frameworks and requirements such as company law, charity law, and data protection.</p> <p>S1 Interpret regulation, legislation and governance practices and advise and train stakeholders on its practical application.</p>	<p>Explains the regulatory and legislative requirements which impact on their role, and how to advise and train stakeholders on its practical application.</p>	<p>N/A</p>
<p>K15 Frameworks used to assess, capture, mitigate and report on risk, such as its link to climate change and sustainability for that organisation.</p>	<p>Explains the importance of horizon scanning to identify future changes in regulation and developments in governance practice that affect the organisation.</p>	<p>N/A</p>
<p>S10 Maintain and organise forward looking plans and calendars, keeping relevant stakeholders informed of upcoming events such as meetings, reporting timetables, compliance deadlines.</p> <p>B1 Operates professionally with integrity and confidentiality.</p>	<p>Describes how forward-looking plans and calendars are maintained and organised to keep stakeholders informed and how to operate professionally with integrity and confidentiality.</p>	<p>N/A</p>



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