



**ICA**  
END POINT  
ASSESSMENT

Level 4

# End Point Assessment Handbook

Regulatory Compliance Officer

ST0430

Qualification Number: 610/0754/7

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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. Regulatory Compliance Officer Assessment Plan

This section sets out the requirements for EPA for the Regulatory Compliance Officer Standard.

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

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

### 4.1 End-point assessment structure

The EPA consists of three assessment methods components:

1. A 90-minute knowledge exam
2. A 120-minute observation of professional practice.
3. A 35-minute Viva (interview and professional discussion) supported by a work-based portfolio of evidence.

Each assessment will assess different KSBs - more information about the KSBs and criteria that are assessment in assessment is provided in Section 6.

For each assessment component, further time may be granted for apprentices with appropriate needs, in-line with the ICA Reasonable Adjustment and Special Consideration Policy.

The result from each assessment method is combined to determine the overall EPA grade. See section 4.8 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 the three 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 requirement and General Data Protection Regulation (GDPR) guidelines.

## 4.2 Length of EPA period

The EPA will be completed within an EPA period typically lasting a maximum of 3 months, beginning when the apprentice has gone through the EPA Gateway.

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

ICA will schedule the initial assessment to provide contingency for any retake to be completed within the 3-month period.

## 4.3 Order of assessment methods

The ICA will conduct the assessments in the following order.

1. Knowledge exam
2. Observation of professional practice.
3. Viva (interview and professional discussion)

## 4.4 EPA gateway

At the point of going through gateway, the apprentices must submit a portfolio of evidence to underpin the professional discussion.

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.

At least one component of the portfolio should include a work-based project document of 2,000 words.

The project must be specific to the technical regulatory field in which the apprentice works which showcases their abilities to embed core regulatory competencies and technical regulatory specialisms in their engagement and interactions with regulated entities.

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 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 a maximum of 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.

Apprentices are responsible for ensuring that they 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 they are 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.

## **4.5 Assessment method 1: Knowledge Exam**

The exam consists of 40 multiple-choice questions (MCQs) and 10 structured short-answer questions (SAQs) to assess the bulk of the technical knowledge across the apprenticeship.

Each of the 40 MCQs will be worth 1 mark per question (worth 40 marks in total) and the 10 SAQ will be worth 2 marks per question (worth 20 marks in total).

The exams will be sat under controlled conditions (timed and invigilated) and will be marked by an appointed assessor.

The exam will take place on a specified date and at a set start time. The exam will be sat via the ICA apprenticeship platform and will become available to the apprentice only at the designated time and date.

### **ICA Question bank**

ICA has developed a bank of questions of sufficient size to prevent predictability and to ensure that each area of knowledge is assessed in equal measure.

The questions will be reviewed in terms of performance and validity each year, and items added and removed as required after analysis.

### **Specimen exam paper**

ICA Provides a sample paper that can be used by apprentices to familiarise themselves with the format of questions and to practice working under timed conditions.

### **Knowledge Exam grading**

To pass the examination apprentices must achieve a scores of between 60% or above

Scores between 70% and 79% would achieve a Merit for the exam

Scores of 80% and above would achieve a Distinction for the exam

## **4.6 Assessment method 2: Observation of Professional Practice**

The observation of professional practice will be undertaken based on a simulated scenario.

During the observation of professional practice, apprentices are required to demonstrate their ability in the following areas:

1. Plan activities
2. Deliver a service
3. Risk assess
4. Check compliance

5. Support compliance
6. Respond to non-compliance
7. Deliver at pace
8. Collect and analyse data
9. Make effective decisions
10. Evaluation and feedback

The assessment tools issued to apprentices will show these tasks in detail and list the individual knowledge, skills and behaviours (KSBs) that should be evidenced for each one.

ICA will provide a bank of scenarios which relate to different regulated environments and which will allow the apprentice to demonstrate their technical skills and regulatory competences.

ICA understand that the professional environments in which apprentices are employed will vary (e.g. Environmental Health; Trading Standards etc.). However, whilst the operational environment and context may be different, the level of difficulty in of the scenarios used for the EPA will be the same and all apprentices will be assessed to the same standards.

The scenario to use can be chosen by the apprentice and should be chosen in consultation with the training provider and/or employer.

If there are areas of the accompanying case study scenario that, as written, do not fully reflect an apprentice's job role, then they can provide responses that are based on their actual role and the assessor will adjust the requirements accordingly. Apprentices will not be disadvantaged in these instances.

## **Delivery**

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

The assessment will last for up to 120 minutes<sup>1</sup>.

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.

## 4.7 Assessment method 3: Viva (interview and professional discussion) based on a work-based portfolio

This assessment will take the form of an interview and professional discussion based on the portfolio of evidence generated by the apprentice during their apprenticeship.

It will be structured to provide the apprentice with the opportunity to evidence their competence and cover the KSBs assigned to this assessment method.

It will involve questions that will focus on coverage of prior learning and/or activity.

The assessment will last for up to 35 minutes<sup>2</sup>.

The questions will be chosen to authenticate evidence within the portfolio and/or to assess any of the KSBs not evidenced within the portfolio.

The apprentice can refer to their portfolio during the discussion should they wish to.

### Viva

The Viva (interview and professional discussion) provides the apprentice with the opportunity to evidence what they have achieved during the apprenticeship,

It will be a relatively unstructured discussion between the Assessor and the apprentice where the Assessor clarifies, and if necessary delves deeper into, what has been submitted in the portfolio, the work that the apprentice has done, and how the evidence has been produced.

### Delivery

The ICA-appointed assessors will conduct the Viva 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.

1 & 2. 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.

## 4.8 Grading of assessment

This EPA has Fail, Pass, Merit and Distinction grades.

All of the KSBs that are essential for an apprentice to be deemed as competent are reflected in the pass assessment criteria for the EPA.

Apprentices will be graded on each of the three assessments in accordance with the criteria outlined in Section 6. The overall grade for the EPA will be calculated based on the grade awarded for each piece of assessment. This is based on the grading rules shown in the table below.

For the knowledge exam, apprentices must score 60% or above to pass. A score of between 70% and 79% will achieve a merit, and 80% or above would achieve a distinction.

For the Observation of Professional Practice, apprentices need to achieve at least 15 of the merit criteria to be awarded a merit, and 17 of the distinction criteria to be awarded a distinction.

For the Viva, apprentices need to achieve at least 22 of the merit criteria to be awarded a merit, and 25 of the distinction criteria to be awarded a distinction.

<b>Award</b>	<b>Knowledge Exam</b>	<b>Observation of Professional Practice</b>	<b>Viva</b>
<b>Distinction</b>	Distinction	Distinction	Minimum grade of Merit
<b>Merit</b>	Minimum grade of Merit	Minimum grade of Merit	Minimum grade of Pass
<b>Pass</b>	Minimum grade of Pass	Minimum grade of Pass	Minimum grade of Pass
<b>Fail</b>	The apprentice has not achieved a minimum of a Pass in each method.		

## 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

### Assessment Method 1 (Knowledge exam)

The knowledge exam covers the following knowledge requirements within the standard:

Category	Detail
Regulation	The role of regulation as a tool of Government.
	Legal frameworks and powers.
	The law and where it applies to businesses customers.
	The legislation relevant to their regulatory function(s).
	The role and responsibilities of partner organisations and their interrelationships.
	The architecture of regulatory frameworks and their role within it.
Risk Assessment	Risk assessment as a tool to support compliance.
Business stakeholders and their compliance needs	Knowledge of the business environment they interact with.
	How regulation and the way it is enforced can impact on the businesses regulated.
	The factors that affect business approaches to compliance.
	The need to provide compliance support to businesses they work with

## Assessment Method 2 (Professional Observation) Grading Criteria

Category	Detail	Grade	Grade Descriptor
KNOWLEDGE - Evaluation	The value of feedback from those they regulate, and the beneficiaries of regulation such as consumers in informing future activities.	Pass	Demonstrate in their practice how they gather and utilise feedback from stakeholders
		Merit	Demonstrate in their practice how they gather and utilise feedback from stakeholders. <b>Actions to be taken in response to the feedback are identified and explained</b>
		Distinction	Demonstrate in their practice how they gather and utilise feedback from stakeholders. <b>Implications of feedback are understood and predicted.</b>
SKILL - Deliver a Service	Plan and deliver compliance support services in line with business expectation.	Pass	Demonstrate in their practice that they can plan and deliver compliance support services in line with business expectation
		Merit	Demonstrate in their practice that they can plan and deliver compliance support services in excess of business expectation. <b>This could be delivered ahead of schedule or they can offer a range of compliance solutions</b>
		Distinction	Demonstrate in their practice that they can plan and deliver compliance support services in excess of business expectation; <b>this could include describing the compliance environment and the wider consequences of non-compliance appropriate to the situation</b>

Category	Detail	Grade	Grade Descriptor
SKILL - Deliver a Service	Carry out activities in line with their organisation's regulatory outcomes – ensuring business prosperity and consumer/ environmental protection.	Pass	Demonstrate in their practice that they can carry out activities in line with their organisation's regulatory outcomes
		Merit	Demonstrate in their practice that they can carry out activities in line with their organisation's regulatory outcomes <b>and Identify industry best practice and outline how it can be applied in the situation</b>
		Distinction	Demonstrate in their practice that they can carry out activities in line with their organisation's regulatory outcomes <b>and clearly identify business benefits and improvements to wider consumer or environmental protection</b>
	Work within the organisation's policies and procedures and the law.	Pass	Demonstrate in their practice that they can work within the organisation's policies and procedures and the law
SKILL - Risk assess	Assess regulatory risks and use risk assessment to guide their activities and target resources.	Pass	Demonstrate in their practice that they can assess regulatory risks and use risk assessment
		Merit	Demonstrate in their practice that they can assess regulatory risks and use risk assessment. <b>Analyse the risks identified and suggest appropriate actions or mitigation</b>
		Distinction	Demonstrate in their practice that they can assess regulatory risks and use risk assessment. <b>Evaluate the risks in a wider context, draw and explain conclusions appropriate to the situation.</b>

Category	Detail	Grade	Grade Descriptor
SKILL - Collect and analyse data	Gather, analyse, use, and share data to inform risk assessment	Pass	Demonstrate in their practice that they can gather, analyse, use, and share data to inform risk assessment
		Merit	Demonstrate in their practice that they can gather, analyse, use, and share data to inform risk assessment, <b>and have developed their practice within their own role as a consequence</b>
		Distinction	Demonstrate in their practice that they can gather, analyse, use, and share data to inform risk assessment, <b>and have developed their data gathering and analysis in a wider context</b>
SKILL - Plan their activities	Plan their compliance support activities so as to deliver their responsibilities efficiently.	Pass	Demonstrate in their practice that they can plan their compliance support activities so as to deliver their responsibilities efficiently
		Merit	Demonstrate in their practice that they can plan their compliance support activities so as to deliver their responsibilities efficiently <b>and have developed their practice within their own role as a consequence</b>
		Distinction	Demonstrate in their practice that they can plan their compliance support activities so as to deliver their responsibilities efficiently <b>and have developed their transferable skills in a wider context</b>

Category	Detail	Grade	Grade Descriptor
SKILL - Check compliance	Conduct interventions in a proportionate manner.	Pass	Demonstrate in their practice that they can conduct interventions in a proportionate manner
		Merit	Demonstrate in their practice that they can conduct interventions in a proportionate manner <b>and have developed their practice within their own role as a consequence</b>
		Distinction	Demonstrate in their practice that they can conduct interventions in a proportionate manner <b>and give support and advice likely to mitigate future incidents of non-compliance</b>
	Be responsive to the circumstances encountered.	Pass	Demonstrate in their practice that they can be responsive to the circumstances encountered
		Merit	Demonstrate in their practice that they can be responsive to the circumstances encountered <b>and have developed their practice within their own role as a consequence</b>
		Distinction	Demonstrate in their practice that they can be responsive to the circumstances encountered <b>and can show an understanding of the wider implications and potential consequences</b>

Category	Detail	Grade	Grade Descriptor
SKILL - Check compliance	Make informed assessments of compliance and risk.	Pass	Demonstrate in their practice that they can make informed assessments of compliance and risk
		Merit	Demonstrate in their practice that they make informed assessments of compliance and risk <b>and have developed their rationale and understanding of the assessment process</b>
		Distinction	Demonstrate in their practice that they can make informed assessments of compliance and risk <b>and use a broader range of methods to assess the compliance and risks in a wider context</b>
	Follow-up on checks on compliance in an appropriate manner.	Pass	Demonstrate in their practice that they can follow-up on checks on compliance in an appropriate manner
		Merit	Demonstrate in their practice that they can follow-up on checks on compliance in an appropriate manner <b>and have developed their rationale and understanding of follow-up checks</b>
		Distinction	Demonstrate in their practice that they can follow-up on checks on compliance in an appropriate manner <b>and have developed the use of a broader range of methods to assess the risks in a wider context</b>

Category	Detail	Grade	Grade Descriptor
SKILL - Support compliance	Promote the importance of compliance, and their organisation's role in supporting compliance.	Pass	Demonstrate in their practice that they can promote the importance of compliance and their organisation's role in supporting compliance
		Merit	Demonstrate in their practice that they can promote the importance of compliance and their organisation's role in supporting compliance <b>and integrate the promotion of the importance of compliance into their practice</b>
		Distinction	Demonstrate in their practice that they can promote the importance of compliance and their organisation's role in supporting compliance <b>and can use a variety of methods to promote the importance of compliance within their own practice</b>
	Provide information and guidance that is needed by businesses and/or those they regulate.(also assessed in VIVA)	Pass	Demonstrate in their practice that they can provide information and guidance that is needed by businesses and/or those they regulate
		Merit	Demonstrate in their practice that they can provide information and guidance that is needed by businesses and/or those they regulate <b>and have integrated the provision of information and guidance into their own practice</b>
		Distinction	Demonstrate in their practice that they can provide information and guidance that is needed by businesses and/or those they regulate <b>and use a broader range of sources and methods including, for example, signposting to other regulators</b>

Category	Detail	Grade	Grade Descriptor
SKILL - Support compliance	Provide the tailored advice that is needed by businesses where appropriate.	Pass	Demonstrate in their practice that they can provide the tailored advice that is needed by businesses where appropriate
		Merit	Demonstrate in their practice that they can provide the tailored advice that is needed by businesses where appropriate <b>and have developed the specificity, timeliness, and appropriateness of the advice</b>
		Distinction	Demonstrate in their practice that they can provide the tailored advice that is needed by businesses where appropriate <b>and communicate the rationale, potential outcomes, and consequences of following the advice</b>
SKILL - Respond to non-compliance	Communicate effectively with businesses that have failed to comply.	Pass	Demonstrate in their practice that they can plan and deliver compliance support services in line with business expectation
		Merit	Demonstrate in their practice that they can plan and deliver compliance support services in line with business expectation <b>and have developed the specificity, timeliness, and appropriateness of their communication with businesses that have failed to comply</b>
		Distinction	Demonstrate in their practice that they can plan and deliver compliance support services in line with business expectation <b>and communicate the rationale, potential outcomes, and consequences of failing to comply with advice</b>

Category	Detail	Grade	Grade Descriptor
SKILL - Respond to non-compliance	Take actions to deal with non-compliance using a wide range of interventions including advice and guidance, formal letters, and notices. Where necessary impose sanctions	Pass	Demonstrate in their practice that they can take appropriate actions to deal with non-compliance using a wide range of interventions
		Merit	Demonstrate in their practice that they can take appropriate actions to deal with non-compliance using a wide range of interventions <b>and have developed their practice within their own role as a consequence</b>
SKILL - Effective decision making	Having sound judgement. This includes making decisions about the relevance, quality, and accuracy of the information available and using and sharing it appropriately.	Pass	Demonstrate in their practice that they can make sound decisions based on effective appraisal of the information available
		Merit	Demonstrate in their practice that they can make sound decisions based on effective appraisal of the information available <b>and have developed their practice within their own role as a consequence</b>
		Distinction	Demonstrate in their practice that they can make sound decisions based on effective appraisal of the information available <b>and have developed their appreciation of the consequences of their decision making</b>

Category	Detail	Grade	Grade Descriptor
SKILL - IT and Digital	Use IT systems to manage, share and store information in accordance with data protection requirements where appropriate.	Pass	Demonstrate in their practice that they can use IT systems to manage, share and store information in accordance with data protection requirements where appropriate
		Merit	Demonstrate in their practice that they can use IT systems to manage, share and store information in accordance with data protection requirements where appropriate <b>and understand the implications of IT for the broader regulatory practice</b>
		Distinction	Demonstrate in their practice that they can use IT systems to manage, share and store information in accordance with data protection requirements where appropriate <b>and can show how their broader regulatory practice can be enhanced by IT</b>
	Use digital technologies to communicate with and support partner organisations and regulated entities.	Pass	Demonstrate in their practice that they can use digital technologies to communicate with and support partner organisations and regulated entities
		Merit	Demonstrate in their practice that they can use digital technologies to communicate with and support partner organisations and regulated entities <b>and have developed their understanding of the merits of different types of communication</b>
		Distinction	Demonstrate in their practice that they can use digital technologies to communicate with and support partner organisations and regulated entities <b>and have developed their ability to use a variety of digital technologies to optimise their communications</b>

Category	Detail	Grade	Grade Descriptor
SKILL - IT and Digital	Use digital competencies to support the regulation of online markets.	Pass	Demonstrate in their practice that they can use digital competencies to support the regulation of online markets
		Merit	Demonstrate in their practice that they can use digital competencies to support the regulation of online markets <b>and have developed their understanding of different modes of regulation for on-line markets</b>
		Distinction	Demonstrate in their practice that they can use digital competencies to support the regulation of online markets <b>and develop a variety of digital competences to optimally regulate digital markets</b>
BEHAVIOUR - Delivery at pace	Delivering at pace, working to agreed goals and activities, responding to challenges constructively, for example managing time well and thinking positively.	Pass	Demonstrate in their practice that they plan and deliver compliance support services in line with business expectation
		Merit	Demonstrate in their practice that they plan and deliver compliance support services in line with business expectation <b>and are aware of the need to prioritise tasks and complete within specified timeframes</b>
		Distinction	Demonstrate in their practice that they plan and deliver compliance support services in line with business expectation <b>and have developed their ability to optimise their use of time and the prioritisation of tasks</b>

### Assessment Method 3 (Viva) Grading Criteria

Category	Detail	Grade	Grade Descriptor
KNOWLEDGE – Regulation	The role of regulation as a tool of Government.	Pass	Can explain the role of regulation as a tool of Government
		Merit	Can explain the role of regulation as a tool of Government <b>and illustrate with relevant examples</b>
		Distinction	Can explain the role of regulation as a tool of Government <b>and apply to the broader regulatory environment</b>
	Legal frameworks and powers.	Pass	Can describe the legal frameworks and powers relevant to their role
		Merit	Can describe the legal frameworks and powers relevant to their role <b>and illustrate with relevant examples</b>
		Distinction	Can describe the legal frameworks and powers relevant to their role <b>and apply to the broader regulatory environment</b>
	The law and where it applies to businesses customers	Pass	Can explain the law and where it applies to businesses' customers
		Merit	Can explain the law and where it applies to businesses' customers <b>and illustrate with relevant examples</b>
		Distinction	Can explain the law and where it applies to businesses' customers <b>and apply to the broader regulatory environment</b>

Category	Detail	Grade	Grade Descriptor
KNOWLEDGE - Regulation	The legislation relevant to their regulatory function(s).	Pass	Can describe the legislation relevant to their regulatory function(s)
		Merit	Can describe the legislation relevant to their regulatory function(s) <b>and illustrate with relevant examples</b>
		Distinction	Can describe the legislation relevant to their regulatory function(s) <b>and apply to the broader regulatory environment</b>
	The role and responsibilities of partner organisations and their interrelationships.	Pass	Can explain the role and responsibilities of partner organisations and their interrelationships
		Merit	Can explain the role and responsibilities of partner organisations and their interrelationships <b>and illustrate with relevant examples</b>
		Distinction	Can explain the role and responsibilities of partner organisations and their interrelationships <b>and apply to the broader regulatory environment</b>
	The architecture of regulatory frameworks and their role within it	Pass	Can explain the architecture of regulatory frameworks and their role within it
		Merit	Can explain the architecture of regulatory frameworks and their role within it <b>and illustrate with relevant examples</b>
		Distinction	Can explain the architecture of regulatory frameworks and their role within it <b>and apply to the broader regulatory environment</b>
KNOWLEDGE - Risk Assessment	Risk assessment as a tool to support compliance	Pass	Can explain how to use risk assessment to support compliance
		Merit	Can explain how to use risk assessment to support compliance <b>and illustrate with relevant examples</b>
		Distinction	Can explain how to use risk assessment to support compliance <b>and apply to the broader regulatory environment</b>

Category	Detail	Grade	Grade Descriptor
KNOWLEDGE - Business stakeholders and their compliance needs	Knowledge of the business environment they interact with.	Pass	Can describe the business environment they interact with
		Merit	Can describe the business environment they interact with <b>and illustrate with relevant examples</b>
		Distinction	Can describe the business environment they interact with <b>and apply to the broader regulatory environment</b>
	How regulation and the way it is enforced can impact on the businesses regulated.	Pass	Can describe how regulation and the way it is enforced can impact on the businesses regulated
		Merit	Can describe how regulation and the way it is enforced can impact on the businesses regulated <b>and illustrate with relevant examples</b>
		Distinction	Can describe how regulation and the way it is enforced can impact on the businesses regulated <b>and apply to the broader regulatory environment</b>
	The factors that affect business approaches to compliance.	Pass	Can describe the factors that affect business approaches to compliance
		Merit	Can describe the factors that affect business approaches to compliance <b>and illustrate with relevant examples</b>
		Distinction	Can describe the factors that affect business approaches to compliance <b>and apply to the broader regulatory environment</b>

Category	Detail	Grade	Grade Descriptor
KNOWLEDGE - Business stakeholders and their compliance needs	The need to provide compliance support to businesses they work with.	Pass	Can demonstrate understanding of the need to provide compliance support to businesses they work with
		Merit	Can demonstrate understanding of the need to provide compliance support to businesses they work <b>and illustrate with relevant examples</b>
		Distinction	Can demonstrate understanding of the need to provide compliance support to businesses they work <b>and apply to the broader regulatory environment</b>
SKILL - Understand businesses they work with	Engage constructively with business and tailor their approach to businesses that they interact with.	Pass	Can demonstrate how they would engage constructively with business and tailor their approach to businesses that they interact with
		Merit	Can demonstrate <b>with relevant examples</b> how they would engage constructively with business and tailor their approach to businesses that they interact with
		Distinction	Can demonstrate how they would engage constructively with business and tailor their approach to businesses that they interact with <b>and show how they would apply this skill in other regulatory environments</b>
	Take account of the provisions of statutory Codes in order to engage effectively with businesses.	Pass	Can demonstrate how they would take account of the provisions of statutory codes in order to engage effectively with businesses
		Merit	Can demonstrate <b>with relevant examples</b> how they would take account of the provisions of statutory codes in order to engage effectively with businesses
		Distinction	Can demonstrate how they would take account of the provisions of statutory codes in order to engage effectively with businesses, <b>and show how they would apply this skill in other regulatory environments</b>

Category	Detail	Grade	Grade Descriptor
SKILL – Plan their activities	Work as part of a team building and maintaining good working relationships with both business and regulator stakeholders	Pass	Can demonstrate how they would work as part of a team building and maintaining good working relationships with both business and regulator stakeholders
		Merit	Can demonstrate <b>with relevant examples</b> how they would work as part of a team building and maintaining good working relationships with both business and regulator stakeholders
		Distinction	Can demonstrate how they would work as part of a team building and maintaining good working relationships with both business and regulator stakeholders, <b>and show how they would apply this skill in other environments</b>
SKILL - Choose appropriate interventions	Make appropriate intervention choices to have the greatest impact on supporting compliance	Pass	Can demonstrate how they would make appropriate intervention choices to have the greatest impact on supporting compliance
		Merit	Can demonstrate <b>with relevant examples</b> how they would make appropriate intervention choices to have the greatest impact on supporting compliance
		Distinction	Can demonstrate how they would make appropriate intervention choices to have the greatest impact on supporting compliance, <b>and show how they would apply this skill in other regulatory environments</b>

Category	Detail	Grade	Grade Descriptor
SKILL - Choose appropriate interventions	Take a proportionate approach to intervention choice.	Pass	Can demonstrate how they would take a proportionate approach to intervention choice
		Merit	Can demonstrate <b>with relevant examples</b> how they would take a proportionate approach to intervention choice
		Distinction	Can demonstrate how they would take a proportionate approach to intervention choice, <b>and show how they would apply this skill in other regulatory environments</b>
	Work effectively with other organisations.	Pass	Can demonstrate how they would work effectively with other organisations
		Merit	Can demonstrate <b>with relevant examples</b> how they would work effectively with other organisations
		Distinction	Can demonstrate how they would work effectively with other organisations, <b>and show how they would apply this skill in other regulatory environments</b>
SKILL - Check compliance	Prepare appropriately for checks on compliance.	Pass	Can demonstrate how they would prepare appropriately for checks on compliance
		Merit	Can demonstrate <b>with relevant examples</b> how they would prepare appropriately for checks on compliance
		Distinction	Can demonstrate how they would prepare appropriately for checks on compliance, <b>and show how they would apply this skill in other regulatory environments</b>

Category	Detail	Grade	Grade Descriptor
SKILL - Check compliance	Conduct interventions in a proportionate manner.	Pass	Can demonstrate how they would conduct interventions in a proportionate manner
		Merit	Can demonstrate <b>with relevant examples</b> how they would conduct interventions in a proportionate manner
		Distinction	Can demonstrate how they would conduct interventions in a proportionate manner, <b>and show how they would apply this skill in other regulatory environments</b>
	Be responsive to the circumstances encountered.	Pass	Can demonstrate how they would be responsive to the circumstances encountered
		Merit	Can demonstrate <b>with relevant examples</b> how they would be responsive to the circumstances encountered
		Distinction	Can demonstrate how they would be responsive to the circumstances encountered, <b>and show how they would apply this skill in other regulatory environments</b>
	Make informed assessments of compliance and risk.	Pass	Can demonstrate how they would make informed assessments of compliance and risk
		Merit	Can demonstrate <b>with relevant examples</b> how they would make informed assessments of compliance and risk
		Distinction	Can demonstrate how they would make informed assessments of compliance and risk, <b>and show how they would apply this skill in other regulatory environments</b>

Category	Detail	Grade	Grade Descriptor
SKILL - Check compliance	Follow-up on checks on compliance in an appropriate manner.	Pass	Can demonstrate how they would follow-up on checks on compliance in an appropriate manner
		Merit	Can demonstrate <b>with relevant examples</b> how they would follow-up on checks on compliance in an appropriate manner
		Distinction	Can demonstrate how they would follow-up on checks on compliance in an appropriate manner, <b>and show how they would apply this skill in other regulatory environments</b>
SKILL - Respond to compliance	Work with partner organisations to support proportionate, risk-based responses to non-compliance.	Pass	Can demonstrate how they work with partner organisations to support proportionate, risk-based Responses to non-compliance
		Merit	Can demonstrate <b>with relevant examples</b> how they work with partner organisations to support proportionate, risk-based responses to non-compliance
		Distinction	Can demonstrate how they work with partner organisations to support proportionate, risk-based responses to non-compliance <b>and show how they would apply this skill in other regulatory environments</b>
	Conduct thorough investigations of non-compliance and allegations of non-compliance.	Pass	Can demonstrate how they would conduct thorough investigations of non-compliance and allegations of non-compliance
		Merit	Can demonstrate <b>with relevant examples</b> how they would conduct thorough investigations of non-compliance and allegations of non-compliance
		Distinction	Can demonstrate how they would conduct thorough investigations of non-compliance and allegations of non-compliance <b>and show how they would apply this skill in other regulatory environments</b>

Category	Detail	Grade	Grade Descriptor
SKILL – Respond to compliance	Provide appropriate support for those adversely affected by non-compliance.	Pass	Can demonstrate how they would provide appropriate support for those adversely affected by non-compliance
		Merit	Can demonstrate <b>with relevant examples</b> how they would provide appropriate support for those adversely affected by non-compliance
		Distinction	Can demonstrate how they would provide appropriate support for those adversely affected by non-compliance <b>and show how they would apply this skill in other regulatory environments</b>
SKILL - Evaluate	Monitor and report on their activities and performance.	Pass	Can demonstrate how they would monitor and report on their activities and performance
		Merit	Can demonstrate <b>with relevant examples</b> how they would monitor and report on their activities and performance
		Distinction	Can demonstrate how they would monitor and report on their activities and performance, <b>and show how they would apply this skill in other regulatory environments</b>
	Evaluate their activities in relation to their regulatory objectives and their organisation's strategic priorities.	Pass	Can demonstrate how they would evaluate their activities in relation to their regulatory objectives and their Organisation's strategic priorities
		Merit	Can demonstrate <b>with relevant examples</b> how they would evaluate their activities in relation to their regulatory objectives and their organisation's strategic priorities
		Distinction	Can demonstrate how they would evaluate their activities in relation to their regulatory objectives and their organisation's strategic priorities, <b>and show how they would apply this skill in other regulatory environments</b>

Category	Detail	Grade	Grade Descriptor
BEHAVIOUR - Collaboration	Working collaboratively and building professional relationships with colleagues and partner organisations.	Pass	Can demonstrate how they have worked collaboratively and built professional relationships with colleagues and partner organisations
		Merit	Can demonstrate how they have worked collaboratively and built professional relationships with colleagues and partner organisations <b>and describe the benefits</b>
		Distinction	Can demonstrate how they have worked collaboratively and built professional relationships with colleagues and partner organisations <b>and describe how the benefits could be achieved in other regulatory environment</b>
BEHAVIOUR - Quality service delivery	Delivering a quality service by having a customer focussed mindset	Pass	Can demonstrate how they have delivered a quality service by having a customer focussed mind set
		Merit	Can demonstrate how they have delivered a quality service by having a customer focussed mind set <b>and describe the benefits</b>
		Distinction	Can demonstrate how they have delivered a quality service by having a customer focussed mind set <b>and describe how the benefits could be achieved in other regulatory environments</b>

Category	Detail	Grade	Grade Descriptor
BEHAVIOUR - Leadership and communication	Leading by example. This includes being even-handed, supportive, and not letting personal opinions override business needs, and communicating professionally, openly, and honestly.	Pass	Can demonstrate how they have led by example
		Merit	Can demonstrate how they have led by example <b>and describe the benefits</b>
		Distinction	Can demonstrate how they have led by example <b>and describe how the benefits could be achieved in other regulatory environments</b>
BEHAVIOUR - Change and improvement	Being open to change. This includes being creative in supporting continuous improvement or changes to systems or processes.	Pass	Can demonstrate how they have been creative and open to change
		Merit	Can demonstrate how they have been creative and open to change <b>and describe the benefits</b>
		Distinction	Can demonstrate how they have been creative and open to change <b>and describe how the benefits could be achieved in other regulatory environments</b>



**International Compliance Association – Head Office**

Fort Dunlop, 6th Floor, Fort Parkway, Birmingham, B24 9FD, United Kingdom  
+44 (0) 121 362 7534 | [epa@int-comp.org](mailto:epa@int-comp.org) | [www.int-comp.org](http://www.int-comp.org)

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