


End Point Assessment Organisation (EPAO)

Regulatory Compliance Officer





ICA is an end-point assessment organisation (EPAO) working with training providers and employers to deliver high quality, robust end-point assessment (EPA) across a range of apprenticeships. We are part of the leading professional body for the regulatory and financial crime compliance community.

ICA's vision is to inspire, educate and enable the international compliance community to think more, perform better and help the right business be conducted in the right way.

Why choose ICA as your End Point Assessment organisation?

We will provide:

- dedicated independent end-point assessors who are subject matter experts
- robust processes and quality assurance
- quick turnaround of results
- friendly, flexible and responsive staff
- a flexible, fair and easy-to-understand pricing structure
- a simple scheduling process, with a team on hand to support you at each stage
- an online platform for apprentices to use for collating and submitting portfolios, and
- guidance sessions for apprentices on how the EPA will be conducted.

Regulatory Compliance Officer

Level 4

Route: Business and administration

Typical duration to gateway: 18 months (this does not include EPA period)

Maximum funding: £6,000

ICA Standard EPA Fee: £1,200 per apprentice

The fee quoted is our standard fee - we can offer discounts based on the number of apprentices.

Apprenticeship occupation overview:

Well-designed and enforced regulation plays a vital role in ensuring markets work for the benefit of businesses, employees and the public, supporting sustainable growth, trade and investment and enhancing social and environmental outcomes. The regulatory climate is a key element in sustaining a positive, robust business environment that supports public and environmental protection.

Role Profile

In the **public sector**, Compliance Officers operate inside regulatory services functions within local authorities – for example environmental health, fire safety, licensing or trading standards – as well as within monitoring compliance teams at national regulators.

Compliance Officers in the **private sector** support compliance activities within a range of businesses through liaison with frontline regulators. Additionally, Officers provide monitoring and oversight on the compliance-related activities of the wider supply chain to ensure product and process quality, safety and legality.

Knowledge, skills and behaviours: What apprentices need to learn

The required knowledge, skills and behaviours of the Data Protection and Information Governance Practitioner apprenticeship standard are found on the Skills England website.





Gateway Requirements

At the end of the on-programme training period, the training provider and employer will need to agree that the apprentice has met the knowledge, skills and behaviours required for the apprenticeship standard.

Apprentices without Level 2 English and Maths will need to achieve these prior to taking the end-point assessment (EPA).

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 EPA is essential to give employers confidence that apprentices

completing an apprenticeship standard can actually perform in the occupation in which they have been trained. EPA also certifies that the knowledge, skills and behaviours set out in the apprenticeship standard have been obtained.

EPA can only be conducted by an independent EPAO.

The Assessment Plan for each standard outlines the assessment methods to be used. The EPA for this apprenticeship consists of the following mandatory elements.

1. A knowledge exam comprising multiple choice questions (MCQs) and short-answer questions (SAQs)

The apprentice takes an online test lasting 60 minutes. The test includes 40 equally weighted MCQs with four possible answers each and ten SAQs worth two marks each. The test assesses the areas of regulation, risk assessment, and business stakeholders and their compliance needs.

2. An observation of professional practice

The apprentice is observed carrying out six tasks in response to a scenario which is assessed against the specific skills and behaviours requirements of the standard, e.g., delivering a service, checking compliance, responding to non-compliance and carrying out a risk assessment (maximum of 120 minutes).

3. A Viva (interview and professional discussion) supported by a work-based portfolio of evidence

Apprentices collect evidence for a portfolio (including a work-based project specific to the technical, regulatory field in which the apprentice works) during their on-programme training and development to evidence their learning and application of technical knowledge in practice, core regulatory competencies, and their values and behaviours. The Viva verifies what the apprentice has achieved during the apprenticeship, covering the skills, knowledge and behaviours listed in the apprenticeship standard, and lasts a maximum of 35 minutes.

Grading

Each assessment will be carried out independently, and all assessment components of the EPA must be passed in order to attain an overall pass grade.

The EPA will be graded as Fail, Pass, Merit or Distinction based upon the performance across the three assessments.

Independent assessors must individually grade each assessment method – Fail, Pass, Merit or Distinction.

To achieve an EPA Merit, apprentices must achieve a Merit or Distinction in both assessment methods 1 and 2. To achieve an EPA Distinction, apprentices must achieve a Distinction in both assessment method 1 and assessment method 2.

Results and Certification

Following the EPA, ICA will issue an EPA result letter and grade notification and apply to the Department for Education (DfE) to produce the final apprenticeship certificate.

Get in touch to discuss your EPA service requirements

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