

# End-point assessment plan for the Data Protection and Information Governance Practitioner apprenticeship standard

Apprenticeship standard reference number	Apprenticeship standard level	Integrated end-point assessment
ST0967	4	No

## Contents

Introduction and overview .....	2
EPA summary table... ..	4
Length of end-point assessment period .....	5
Order of end-point assessment methods .....	5
EPA gateway .....	5
End-point assessment methods .....	7
Reasonable adjustments .....	17
Overall EPA Grading .....	18
Re-sits and re-takes .....	19
Roles and responsibilities .....	20
Internal Quality Assurance (IQA) .....	24
Value for money .....	25
Professional body recognition .....	25
Mapping of knowledge, skills and behaviours (KSBs) .....	26
Grading descriptors... ..	29

## Introduction and overview

This document sets out the requirements for end-point assessment (EPA) for the Data protection and information governance practitioner (DP&IGP) apprenticeship standard. It explains how EPA for this apprenticeship must operate.

This document provides the EPA design requirements for end-point assessment organisations (EPAOs) for this apprenticeship standard. It will also be useful for apprentices undertaking this apprenticeship, their employers and training providers.

An approved EPAO must conduct the EPA for this apprenticeship. Employers must work with the training provider to select an approved EPAO from the apprenticeship providers and assessment register (APAR).

Full-time apprentices will typically spend 18 months on-programme (before the gateway) working towards this occupational standard. All apprentices must spend a minimum of 12 months on- programme. All apprentices must spend a minimum of 20% of on-programme time undertaking off-the- job training.

Before starting EPA, an apprentice must meet the gateway requirements. For this apprenticeship they are:

- the employer must be content that the apprentice is working at or above the occupational standard
- apprentices must have compiled and submitted a portfolio of evidence to underpin the professional discussion
- apprentices must have achieved English and mathematics at Level 2<sup>1</sup>

The EPAO must confirm that all required gateway evidence has been provided and accepted as meeting the gateway requirements. The EPAO is responsible for confirming gateway eligibility. Once this has been confirmed, the EPA period starts.

This EPA should then be completed within an EPA period lasting typically for 4 months. This EPA consists of 2 discrete assessment methods.

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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 mathematics minimum requirement is Entry Level 3. British Sign Language (BSL) qualifications are an alternative to English qualifications for those who have BSL as their primary language.

The individual assessment methods will have the following grades.

**Assessment method 1:** Work-based project report with a presentation and questions and answers:

- fail
- pass
- distinction

**Assessment method 2:** Professional discussion underpinned by a portfolio of evidence:

- fail
- pass
- distinction

**Performance in the EPA** will determine the overall apprenticeship standard grade of:

- fail
- pass
- distinction

## EPA summary table

<b>On-programme</b> (typically, 18 months)	<p>Training to develop the knowledge, skills and behaviours (KSBs) of the occupational standard.</p> <p>Training towards English and mathematics Level 2<sup>1</sup>, if required.</p> <p>Compilation of a portfolio of evidence to underpin the professional discussion.</p>
<b>End-point assessment gateway</b>	<p>The employer must be content that the apprentice is working at or above the level of the occupational standard.</p> <p>Apprentices must have achieved English and mathematics at Level 2<sup>1</sup>.</p> <p>Apprentices must submit:</p> <ul style="list-style-type: none"> <li>• a portfolio of evidence</li> <li>• project scoping document (maximum 500 words)</li> </ul> <p>EPAO should sign-off the project title, at gateway, to confirm its suitability prior to the project commencing</p>
<b>End-point assessment</b> (which will typically take 4 months)	<p><b>The grades available for each assessment method are below</b></p> <p>Work-based project report with a presentation and questions and answers:</p> <ul style="list-style-type: none"> <li>• fail</li> <li>• pass</li> <li>• distinction</li> </ul> <p>Professional discussion, underpinned by a portfolio of evidence:</p> <ul style="list-style-type: none"> <li>• fail</li> <li>• pass</li> <li>• distinction</li> </ul> <p><b>Overall EPA and apprenticeship can be graded:</b></p> <ul style="list-style-type: none"> <li>• fail</li> <li>• pass</li> <li>• distinction</li> </ul>
<b>Professional recognition</b>	<p>The apprenticeship aligns with:</p> <ul style="list-style-type: none"> <li>• The Information and Records Management Society for individual member grade</li> <li>• The British Computer Society for Associate Member Grade</li> </ul>

## Length of end-point assessment period

The EPA will be completed within an EPA period lasting typically for 4 months, starting when the EPAO has confirmed that all gateway requirements have been met.

## Order of end-point assessment methods

The assessment methods can be delivered in any order. The result of one assessment method does not need to be known before starting the next.

## EPA gateway

The apprentice should only enter the gateway once the employer is content that the apprentice is working at or above the occupational standard. In making this decision, the employer may take advice from the apprentice's training provider(s), but the decision must ultimately be made solely by the employer.

The EPAO determines when all gateway requirements have been met, and the EPA period will only start once the EPAO has confirmed this.

In addition to the employer's confirmation that the apprentice is working at or above the level of the occupational standard, the apprentice must have completed the following gateway requirements prior to starting EPA:

- achieved English and mathematics at Level 2

For those with an education, health and care plan or a legacy statement, the apprenticeship's English and mathematics minimum requirement is Entry Level 3. British Sign Language (BSL) qualifications are an alternative to English qualifications for those who have BSL as their primary language.

For the work-based project report with a presentation and questions and answers, the apprentice will be required to submit:

- a project scoping document

### **The project title and summary requirements are as follows:**

- the apprentice will scope out and provide a brief summary of what the project will cover and will submit this to the EPAO at the gateway. This should demonstrate that the work-based project report will provide sufficient opportunity for the KSBs to be met. The brief summary is not assessed and will typically be no longer than 500 words

- the brief summary needs to outline the project plan, research requirements, and an overview of time frames taking into account the deadlines stipulated within this end-point assessment plan
- the EPAO will sign-off the project title in consultation with the employer at gateway

For the professional discussion underpinned by a portfolio of evidence the apprentice will be required to submit:

- a portfolio of evidence

**The portfolio of evidence requirements are as follows:**

- apprentices must prepare a portfolio of evidence during the on-programme period of the apprenticeship
- the format and structure of the portfolio must be agreed between the employer and apprentice and will be presented electronically
- it must contain evidence related to the KSBs that will be assessed by the professional discussion
- the portfolio of evidence will typically contain 16 discrete pieces of evidence
- evidence may be used to demonstrate more than one KSB; a qualitative as opposed to quantitative approach is suggested
- evidence sources may include:
  - video or audio extracts (these should be a maximum of a continuous 5 minutes in length for each clip and a maximum of 3 clips; and the apprentice must be in view and identifiable)
  - written statements
  - project plans from projects they have completed during the apprenticeship (this should not include the project to be undertaken for end-point assessment)
  - reports; minutes
  - presentations
  - feedback from managers, supervisors or peers (any employer or peer contributions should focus only direct observation of evidence (for example witness statements) rather than opinions)
  - papers such as policies, Data Protection Impact Assessments (DPIAs) written or supported by the apprentice
  - performance reviews

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

- the portfolio should not include reflective accounts or any methods of self-assessment

- the content must be sufficient to evidence the apprentice can apply the knowledge, skills and behaviours required as mapped to assessment method 2 (professional discussion). There must be at least one piece of evidence relating to each knowledge, skill and behaviour mapped to assessment method 2
- The evidence provided must be valid and attributable to the apprentice; the portfolio of evidence must contain a statement from the employer confirming this
- the portfolio of evidence must be submitted to the EPAO at the gateway

The portfolio of evidence is not directly assessed. It underpins the professional discussion and therefore should not be marked by the EPAO. EPAOs should review the portfolio of evidence in preparation for the professional discussion but are not required to provide feedback after this review.

## End-point assessment methods

The apprentice will be assessed against the KSBs assigned to the assessment methods outlined below, as shown in the mapping section of this EPA plan.

### Assessment method 1: Work-based project report with presentation and questions

This assessment method has 2 components:

- work-based project report
- presentation with questions and answers

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

#### Component 1: Work-based project report

##### Overview

The work-based project report is compiled after the apprentice has gone through the gateway.

The work-based project report should be designed to ensure that the apprentice's work meets the needs of the business, is relevant to their role and allows the relevant KSBs to be demonstrated for the EPA. Therefore, the project's subject, title and scope will be agreed between the employer and the EPAO. The employer will ensure it has a real business application and the EPAO will ensure it meets the requirements of the EPA (including suitable coverage of the KSBs assigned to this assessment method). The EPAO should sign-off the work-based project report's title and scope to confirm its suitability at the gateway. This is to ensure that if there are any issues about the project title, they will be resolved prior to the EPA period starting.

In order for the employer and EPAO to confirm the project title and scope, the apprentice will provide a brief summary of what the project will cover and will submit to the EPAO a proposal of what will be undertaken by themselves and an initial project plan for agreement. The summary should be submitted at the gateway and agreed by the independent assessor and the employer at the gateway before entering the EPA period. No part of the summary is assessed, and it is typically expected to be no longer than 500 words.

The rationale for this assessment method is:

- the work-based project report is the most valid method as it allows the demonstration of professional competence. The project will contribute to the employer's business and be part of the apprentices' everyday work, ensuring that they can demonstrate KSBs in practice. Producing a report reflects normal practice in the workplace for a Data protection and information governance practitioner, so this assessment method is appropriate
- it is a significant and complex piece of work that thoroughly tests both higher and lower order knowledge, skills and behaviours

The work-based project report and the presentation must be completed and submitted to the EPAO within 12 weeks of the apprentice entering the EPA period.

## Delivery

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

A project involves the apprentice completing a significant and defined piece of work that has a real business application and starts after the apprentice has gone through the gateway process.

The apprentice will complete their project in a maximum of 12 weeks after gateway. The written project report and the presentation will be submitted to the EPAO together, 2 weeks prior to the presentation taking place.

The employer will ensure the apprentice has sufficient time and the necessary resources, within this period, to plan and undertake the project.

Whilst completing the project, the apprentice should be subject to the supervision arrangements outlined below:

- normal line management controls

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



The project evidences the application of the skills, knowledge and behaviours in the occupational standard assigned to the project. It provides a substantive evidence base on a business-related project to demonstrate the application of skills and knowledge.

Each project must enable the following to be demonstrated:

- the application of knowledge, skills and behaviours to meet the outcomes in the standard
- it is designed to assess apprentices in a consistent way, irrespective of their workplace

The work-based project report should be either paper based or in electronic format.

Examples of typical work-based projects:

- investigate and identify the ways in which your organisation uses Artificial Intelligence (AI). Research regulator guidance on this type of processing and apply the guidance to the way in which AI is used in your organisation. Report on areas of concern with actions to improve and mature the processes
- review the Data Protection Impact Assessments (DPIA) undertaken over the last 4 years in your organisation. Identify any strengths or weaknesses of the current system and any common themes occurring from the DPIAs. Develop a plan to improve how DPIAs are undertaken in the future
- review the root cause of data incidents and customer or Regulator complaints that have been received by your organisation over the last 2 years. Assess the root causes against the data protection training that has been delivered. Outline any suggested improved approaches to delivering training and guidance (either bespoke or general) to improve the understanding of the organisation around these areas of concern so that the level of incidents or complaints may be reduced
- review the organisation's approach to maintaining the accuracy and relevance of their Record of Processing Activities (ROPA). Consider how effective this is, in working with the stakeholders in the business to ensure data is updated in a timely manner, outlining any strengths and weaknesses in the current process. Consider any alternative ways this could be undertaken, which may improve the workload on the Data Protection team, maintaining data integrity, including any time impact on the business such as automation, quarterly attestation by stakeholders
- review the Information Commissioners Office (ICO) accountability assessment framework and evaluate how mature the organisation is in being able to demonstrate compliance with the categories in the Accountability Assessment and outline the top three areas of strength and top three areas of risk within the organisation

The work-based project report will be conducted as follows.

The report will be a contextualised report of 4,000 words (+/- 10% at the apprentice's discretion). Appendices including references, pictorial representations, diagrams, etc. will not be included in this total. It should be based on an area of operation that the apprentice works in. The report must map, in an appendix, how it evidences the KSBs assessed by this assessment method – see mapping of KSBs.

The work-based project report will be reviewed for evidence that the knowledge, skills and behaviours assigned to the work-based project are inherent in the apprentice's practice. It should cover their use of different analytical development techniques in the workplace.

These must include:

- identifying and producing key findings and judgements in assessments
- how they identified gaps and opportunities for further analysis
- how they engaged with stakeholders, their own organisation and other interested parties

The project should demonstrate the apprentice's own work in both their analysis and generation of their overall findings and recommendations. The content of the project must enable the KSBs mapped to this assessment method to be met.

As a minimum all projects must include:

- an introduction
- an executive summary
- the scope of the project (including key performance indicators)
- objectives
- research and methodology
- approach taken and risks to consider
- financial budgeting and resources
- outcomes and impact of the project implemented
- measure of success
- recommendations and conclusions

The apprentice will be required to document their understanding and actions and to highlight the consequences of those actions, enabling them to demonstrate their understanding of commercial pressures, and the application of their thinking and problem-solving skills. This will form part of their findings and recommendations.

When the work-based project report is submitted, the employer and the apprentice should verify the submitted work is that of the apprentice.

The project report and presentation (in component 2) will be assessed holistically.

The independent assessor makes all grading decisions.

## Marking

The independent assessor will review and mark the work-based project report in a timely manner, as determined by the EPAO, and without extending the EPA unnecessarily. Similarly, all quality control processes will also be conducted in a timely manner, as determined by the EPAO.

## Supporting material

EPAOs will produce the independent assessor assessment materials which include:

- training materials
- administration materials
- moderation and standardisation materials
- guidance materials
- grading guidance
- guidance documentation for the apprentice and employer

## Component 2: Presentation with questions and answers

### Overview

A presentation with questioning involves an apprentice presenting to an independent assessor, focusing on the list below. It will be followed by questioning by the independent assessor.

Apprentices will prepare and deliver a presentation that appropriately covers the KSBs assigned to this method of assessment. The purpose of the questioning is to seek clarification of the project or presentation, to assess the depth and breadth of knowledge, skills and behaviours and to assess those KSBs that the apprentice did not have the opportunity to demonstrate with the project, although these should be kept to a minimum.

The presentation should be submitted at the same time as the project report, 12 weeks after the gateway. The apprentice needs to notify the EPAO at the submission of the work-based project report and presentation of any technical requirements for the presentation component.

The apprentice will be given 2 weeks' notice of the presentation date to allow the independent assessor sufficient time to review the project report and presentation and prepare appropriate questions.

The independent assessor will ask questions on KSBs mapped to this assessment method following the presentation.

The presentation will be presented to an independent assessor, either face-to-face or via online video conferencing. When submitting, the apprentice should advise of any special requirements that they may have for the presentation. If using an online platform, EPAOs must ensure appropriate measures are in place to verify the identity of the apprentice and ensure that the apprentice is not being aided.

## Delivery

The presentation will focus on the project and will cover the following:

- a summary of the work-based project report and an explanation of the apprentices' role and level of responsibility
- the outcomes of the project, the project tools used, and how risks were mitigated to ensure required outcomes
- the methods used for research and data collection and why these methods were chosen
- the challenges of the project and an explanation of how and why specific techniques have been selected and used within the project
- recommendations moving forward to meet business needs including solutions identified and reasons why some options were not feasible

The independent assessor will then draw out any further information using questions.

The presentation and questioning will take 40 minutes. The independent assessor has the discretion to increase the time of the presentation and questioning by up to 10% to allow the apprentice to complete their last answer. The presentation will typically last for 15 minutes, and the questioning will typically last for 25 minutes. The discretionary additional 10% time can be allocated in any proportion across the presentation and questioning. Further time may be granted for apprentices with appropriate needs, in-line with the EPAO's Reasonable Adjustments policy.

The independent assessor will ask a minimum of 5 questions at the end of the presentation with 1 question from each of the bullet pointed themes listed above. The independent assessor will use the questions from a question bank supplied by the EPAO as a guide to tailor their own questions based on the presentation and project report themes above. They will use them to confirm their understanding of the presentation and how it demonstrates the relevant KSBs. They may ask follow-up questions where clarification is required. The independent assessor must use the full time available for questioning to allow the apprentice the opportunity to evidence occupational competence at the highest level available unless the apprentice has already achieved the highest grade available.

The purpose of the questions will be:

- for clarification
- to assess the depth and breadth of understanding

To deliver the presentation, the apprentice will have access to:

- audio-visual presentation equipment
- flip chart and writing and drawing materials
- a computer
- any other requirements as notified to the EPAO on submission of the project proposal and presentation

KSBs met and answers to questions, must be recorded in writing by the independent assessor.

The independent assessor will make all grading decisions.

### Marking

The independent assessor will review and mark the presentation with questions and answers in a timely manner, as determined by the EPAO, and without extending the EPA unnecessarily. Similarly, all quality control processes will also be conducted in a timely manner, as determined by the EPAO.

### Venue

EPAOs must ensure that the presentation and questioning elements are conducted in a suitable controlled environment in any of the following:

- employers' premises
- other suitable location determined by the EPAO (e.g., assessment centre or training provider)
- via video conferencing
- other suitable venue that is appropriate for the apprentice and EPAO which must be agreed between both parties in advance of the assessment

The venue should be a quiet room, free from distraction and external influence.

Video conferencing can be used to conduct the presentation with questioning, but the EPAO must have processes in place to verify the identity of the apprentice and ensure the apprentice is not being aided.

The independent assessor will assess all components of this assessment method holistically. They will be expected to make an overall judgement on the grade for this assessment method based on the project and the presentation and responses to questions.

## Question and resource development

EPAOs will create and set open questions to assess KSBs mapped to this assessment method. Each EPAO must develop a question bank of sufficient size to prevent predictability and review them regularly (and at least once a year) to ensure the questions they contain are fit for purpose. Independent assessors must use the question bank as a source for questioning and are expected to use their professional judgment to tailor those questions appropriately. Independent assessors are responsible for generating suitable follow-up questions in line with the EPAO's training and standardisation process. The questions relating to underpinning KSBs must be varied yet allow assessment of the relevant KSBs.

It is recommended that this be done in consultation with employers. EPAOs should put in place measures and procedures to maintain the security and confidentiality of their questions if employers are consulted.

EPAOs must ensure that apprentices have a different set of questions in the case of re-sits or re-takes. EPAOs will produce the following material to support this assessment method:

- independent assessor training materials
- assessment specifications
- grading guidance
- question bank
- marking material
- assessment recording documentation
- examples of work-based projects
- a guidance document for employers and apprentices on how the assessment will take place, including timescales

## Assessment method 2: Professional discussion, underpinned by a portfolio of evidence

This assessment method has one component.

### Overview

This assessment will take the form of a professional discussion which must be appropriately structured to draw out the best of the apprentice's competence and excellence and cover the KSBs assigned to this assessment method. A professional discussion is a two-way discussion which involves both the independent assessor and the apprentice actively listening and participating in a formal conversation. It gives the apprentice the opportunity to make detailed and proactive contributions to confirm their competency across the KSBs mapped to this method.

The rationale for this assessment method is:

- it allows the apprentice to be assessed against KSBs that may not naturally occur as part of a work-based case study
- it allows the apprentice to show case their depth of understanding relating to the KSBs
- it allows the independent assessor to consider the context and sector that the apprentice operates within, giving flexibility to ensure that all the KSBs can be assessed appropriately
- it is cost effective, and it allows consideration of the potential need to conduct the EPA remotely

### Delivery

The independent assessor will conduct and assess the professional discussion.

Apprentices must be given at least two weeks' notice ahead of the professional discussion. The underpinning portfolio will have been submitted in line with EPAO requirements at the gateway and must evidence all of the KSBs mapped to this assessment method. The independent assessor should have a minimum of 2 weeks to review the portfolio and can use the contents of the portfolio to identify discussion topics for the professional discussion.

The professional discussion must last 60 minutes. The independent 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 EPAO's Reasonable Adjustments policy.

During this method, the independent assessor must combine questions from the EPAO's question bank and those generated by themselves.

The professional discussion will be conducted as set out here:

- the professional discussion is a structured two-way conversation between the apprentice and an independent assessor
- the professional discussion must be appropriately structured to draw out the best of the apprentice's competence and excellence

Independent assessors must use the question bank as a source for questioning and are expected to use their professional judgement to tailor those questions appropriately. Independent assessors will ask a minimum of 8 questions and may ask follow up questions for clarification purposes and to allow the apprentice the opportunity to cover the KSBs mapped to this assessment method.

The apprentice and the independent assessor will have access to their own copies of the portfolio throughout the professional discussion and both can refer to it as needed.

Independent assessors must be developed and trained in the conduct of professional discussions, how to identify discussion areas from reviewing portfolio content, how to design their own questions from reviewing portfolio content, and in reaching consistent judgement by their EPAO.

The professional discussion should be graded fail, pass or distinction. The portfolio underpins the professional discussion and will not be assessed or graded. Independent assessors must allocate grades using the grading criteria.

The independent assessor must use the assessment tools and procedures that are set by the EPAO to record the professional discussion.

KSBs met and answers to questions, must be recorded in writing or digitally by the independent assessor.

The independent assessor will make all grading decisions.

## Venue

The professional discussion should take place in a quiet room, free from distractions and influence.

The professional discussion can take place in any of the following:

- employer's premises
- remotely with the agreement of the apprentice and the employer
- a suitable venue selected by the EPAO (for example a training provider's premises)
- video conferencing



The independent assessor must use the assessment tools and procedures that are set by the EPAO to record the response to questions. Video conferencing can also be used to conduct the professional discussion, but the EPAO must have processes in place to verify the identity of the apprentice and ensure the apprentice is not being aided.

### Question and resource development

Independent assessors are responsible for generating suitable questions in line with the EPAO's training and standardisation process. A question bank must be developed by EPAOs. Independent assessors must use the question bank as a source for questioning and are expected to use their professional judgement to tailor those questions appropriately. The question bank must be of sufficient size to prevent predictability and the EPAO must review it regularly (at least once a year) to ensure that it, and its content, are fit for purpose. The questions relating to the underpinning KSBs, must be varied yet allow assessment of the relevant KSBs.

EPAOs must ensure that apprentices have a different set of questions in the case of re-sits or re-takes.

EPAOs will produce the following material to support this assessment method:

- independent assessor training materials
- assessment specifications
- grading guidance
- question bank
- assessment recording documentation
- a guidance document for employers and apprentices on how the assessment will take place, including timescales

## Reasonable adjustments

The EPAO must have in place clear and fair arrangements for making reasonable adjustments to the assessment method for the EPA for this apprenticeship standard. This should include how an apprentice qualifies for reasonable adjustments and what reasonable adjustments will be made. The adjustments must maintain the validity, reliability and integrity of the assessment methods outlined in this EPA plan.

## Overall EPA grading

Both assessment methods are weighted equally in their contribution to the overall EPA grade.

Performance in the EPA will determine the apprenticeship grade of fail, pass or distinction.

Independent assessors must individually grade each assessment method, according to the requirements set out in this plan.

EPAOs must combine the individual assessment method grades to determine the overall EPA grade.

Apprentices who fail one or more assessment method will be awarded an overall EPA 'fail'.

In order to gain an overall EPA 'pass', apprentices must achieve a pass in both assessment methods.

In order to achieve an overall EPA distinction, apprentices must achieve distinction in both assessment methods.

Grades from individual assessment methods should be combined in the following way to determine the grade of the EPA as a whole.

Assessment method 1 Work-based project report with a presentation and questions and answers	Assessment method 2 Professional discussion underpinned by a portfolio of evidence	Overall grading
Fail	Any grade	Fail
Any grade	Fail	Fail
Pass	Pass	Pass
Pass	Distinction	Pass
Distinction	Pass	Pass
Distinction	Distinction	Distinction

## Re-sits and re-takes

Apprentices who fail one or more assessment method 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.

Apprentices should have a supportive action plan to prepare for the re-sit or a re-take. The apprentice's employer will need to agree that either a re-sit or re-take is an appropriate course of action.

An apprentice who fails an assessment method, and therefore the EPA in the first instance, will be required to re-sit or re-take any failed assessment methods only. Apprentices may not need to complete a different project where a re-sit/re-take is required but may need to either re-work their project report and/or presentation.

The timescales for a re-sit or re-take are agreed between the employer and EPAO. A re-sit is typically taken within 3 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 6 months of the EPA outcome notification. All assessment methods must be taken within a 6-month period, otherwise the entire EPA will need to be re-sat or re-taken, unless in the opinion of the EPAO exceptional circumstances apply outside the control of the apprentice or their employer.

Re-sits and re-takes are not offered to apprentices 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 EPAO determines there are exceptional circumstances requiring a re-sit or re-take.

## Roles and responsibilities

Role	Responsibility
Apprentice	<p>As a minimum, apprentices 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>• undertake 20% off-the-job training as arranged by the employer and training provider</li> <li>• understand the purpose and importance of EPA</li> <li>• undertake the EPA including meeting all gateway requirements</li> </ul>
Employer	<p>As a minimum, employers should:</p> <ul style="list-style-type: none"> <li>• select the EPAO and training provider</li> <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 a minimum of 20% 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 so is ready for EPA</li> <li>• ensure that all supporting evidence required at the gateway is submitted in accordance with this EPA plan</li> <li>• remain independent from the delivery of the EPA</li> <li>• confirm arrangements with the EPAO 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 with the EPAO for a date and time which allow appropriate opportunity for the KSBs to be met</li> <li>• ensure the apprentice is well prepared for 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>• where the apprentice is assessed in the workplace, ensure that the apprentice has access to the resources used on a daily basis</li> <li>• pass the certificate to the apprentice</li> </ul>

Role	Responsibility
EPAO	<p>As a minimum, EPAOs should:</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 providers and assessment register (APAR)</li> <li>• conform to the requirements of the external quality assurance provider (EQAP) for this apprenticeship standard</li> <li>• understand the occupational standard</li> <li>• make all necessary contractual arrangements, including agreeing the price of the EPA</li> <li>• develop and produce assessment materials including specifications and marking materials (for example mark schemes, practice materials, training material)</li> <li>• appoint suitably qualified and competent independent assessors</li> <li>• appoint administrators (and invigilators where required) to administer the EPA as appropriate</li> <li>• provide training for independent assessors in terms of good assessment practice, operating the assessment tools and grading</li> <li>• provide adequate information, advice and guidance documentation to enable apprentices, employers and training providers to prepare for the EPA</li> <li>• arrange for the EPA to take place, in consultation with the employer</li> <li>• where the apprentice is not assessed in the workplace, ensure that the apprentice has access to the required resources and liaise with the employer to agree this if necessary</li> <li>• develop and provide appropriate assessment recording documentation to ensure a clear and auditable process is in place for providing assessment decisions and feedback to all relevant stakeholders</li> <li>• have no direct connection with the apprentice, their employer or training provider. In all instances, including when the EPAO is the training provider (i.e., HEI), there must be no conflict of interest</li> <li>• have policies and procedures for internal quality assurance (IQA), and maintain records of regular and robust IQA activity and moderation for external quality assurance (EQA) purposes</li> <li>• deliver induction training for independent assessors, and for invigilators and markers (where used)</li> <li>• undertake standardisation activity on this apprenticeship standard for all independent assessors before they conduct an EPA for the first time, if the EPA is updated and periodically as appropriate (a minimum of annually)</li> </ul>

Role	Responsibility
	<ul style="list-style-type: none"> <li>• manage invigilation of apprentices in order to maintain security of the assessment in line with the EPAO's malpractice policy</li> <li>• verify the identity of the apprentice being assessed</li> <li>• use language in the development and delivery of the EPA that is appropriate to the level of the occupational standard</li> <li>• provide details of the independent assessor's name and contact details to the employer</li> <li>• have and apply appropriately an EPA appeals process</li> <li>• request certification via the Apprenticeship Service upon successful achievement of the EPA</li> </ul>
Independent assessor	<p>As a minimum, independent assessors should:</p> <ul style="list-style-type: none"> <li>• have the competence to assess the apprentice at this level and hold any required qualifications and experience in line with the requirements of the independent assessor as detailed in the IQA section of this 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 subject matter</li> <li>• deliver the end-point assessment in-line with the EPA plan</li> <li>• comply with the IQA requirements of the EPAO</li> <li>• have no direct connection or conflict of interest with the apprentice, their employer or training provider; in all instances, including when the EPAO is the training provider (i.e., HEI)</li> <li>• attend induction training</li> <li>• attend standardisation events when they begin working for the EPAO, before they conduct an EPA for the first time and a minimum of annually on this apprenticeship standard</li> <li>• assess each assessment method, as determined by the EPA plan, and without extending the EPA unnecessarily</li> <li>• assess against the KSBs assigned to each assessment method, as shown in the mapping of assessment methods and as determined by the EPAO, and without extending the EPA unnecessarily</li> <li>• make all grading decisions</li> <li>• record and report all assessment outcome decisions, for each apprentice, following instructions and using assessment recording documentation provided by the EPAO, 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> <li>• mark open (constructed) test answers accurately according to the EPAO's mark scheme and procedures</li> </ul>

Role	Responsibility
Training provider	<p>As a minimum, training providers should:</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 knowledge, skills and behaviours as listed in the occupational standard</li> <li>• conduct training covering any knowledge, skill or behaviour requirement agreed as part of the Commitment Statement (often known as 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 delivery of the EPA. Where the training provider is the EPA (i.e., a HEI) there must be procedures in place to mitigate against any conflict of interest</li> </ul>

## Internal Quality Assurance (IQA)

Internal quality assurance refers to the strategies, policies and procedures that EPAOs must have in place to ensure valid, consistent and reliable end-point assessment decisions. EPAOs for this EPA must adhere to all requirements within the Roles and Responsibilities section and:

- have effective and rigorous quality assurance systems and procedures that ensure fair, reliable and consistent assessment across employers, places, times and independent assessors
- appoint independent assessors who have recent relevant experience of the occupation or sector gained in the last 3 years or significant experience of the occupation or sector
- appoint independent assessors who are competent to deliver the end-point assessment and who meet the following minimum requirements:
  - be independent of the apprentice, their employer and training provider i.e., there must be no conflict of interest
  - hold a recognised assessment qualification e.g. A1 or have been trained in assessment practice by their EPAO
  - complete 5 days of recorded CPD per year
- operate induction training for independent assessors, markers and invigilators.
- provide training for independent assessors in terms of good assessment practice, operating the assessment tools and grading
- where appropriate:
  - provide ongoing training for invigilators
- undertake standardisation activity on this apprenticeship standard for all independent assessors:
  - before they conduct an EPA for the first time
  - if the EPA is updated
  - periodically as appropriate (a minimum of annually)
- conduct effective moderation of assessment decisions and grades.
- conduct appeals where required, according to the EPAO's appeals procedure, reviewing and making final decisions on assessment decisions and grades



## Value for money

Affordability of the EPA will be aided by using at least some of the following practices:

- use of technology – for example video conferencing where applicable
- location – for example use of employer premises
- scheduling the professional discussion and presentation and questions and answers on the same day

## Professional body recognition

This apprenticeship standard is designed to prepare successful apprentices to meet the requirements for registration as a Data protection and information governance practitioner with the:

- information and Records Management Society for individual member grade
- The British Computer Society for Associate Member Grade.

The experience gained and responsibility held by the apprentice on completion of the apprenticeship standard will wholly satisfy the requirements for registration with the professional body. For more details on the requirements and application process, please contact the professional body directly.

## Mapping of knowledge, skills and behaviours (KSBs)

### Assessment method 1: Work-based project report, with presentation and questions

Knowledge
<b>K2</b> Technology and software used to provide representation of data and manipulate them into formats (tables, graphs and portfolios) for publication.
<b>K3</b> Processing of data in technology and software and risks associated with it.
<b>K4</b> Risk assessment methodologies and approaches to risk treatment or mitigation pertaining to processing data and the impact to the business, recommending risk treatment or mitigation.
<b>K11</b> Communication techniques and approaches to interact with a range of key internal and external stakeholders in order to meet their requirements including using current and emerging technologies to support communication.
<b>K15</b> The need for continuous improvement of systems and procedures to ensure that regulatory requirements are met.
<b>K16</b> The importance of horizon scanning for future changes and developments in relation to data legislation and case law interpretation.

Skills
<b>S1</b> Use IT systems to manage, share and store information in accordance with data protection requirements and organisation policies.
<b>S2</b> Communicate complex subjects in simple terms through different media (such as face to face meetings, emails, reports and presentations) to enable key stakeholders to understand what is required.
<b>S6</b> Undertake data collection, data analysis, data presentation and data storage such as data incidents.
<b>S7</b> Interpret regulation and legislation, share best practice and advise stakeholders on its application.
<b>S11</b> Gather, analyse, use and share data to inform risk assessment and make judgements on actions to take.
<b>S14</b> Identify potential data solutions and evidence the way in which they could improve data management.

Behaviours
<b>B2</b> Works collaboratively with others across the organisation and external stakeholders.

## Assessment method 2: Professional discussion underpinned by a portfolio of evidence

Knowledge
<b>K1</b> Regulatory and legislative requirements such as data protection, GDPR, confidentiality, cyber security, for the handling and processing of data and its application.
<b>K5</b> The roles of the key stakeholders in their organisation and how they interact with their own role.
<b>K6</b> Privacy by design principles and practices such as records of processing and data protection impact assessments (DPIAs).
<b>K7</b> Fundamental rights of information requests such as Freedom of Information (FOI), Individual Rights (IR), Environmental Information Regulation (EIR), Data Interoperability and Data Protection (DP).
<b>K8</b> Industry or regulatory toolkits and control frameworks or standards.
<b>K9</b> How their role fits into the organisation, its governance structures and escalation and the impact that it has.
<b>K10</b> How their role adds value and the benefit of it to the business.
<b>K12</b> Role of the Regulators.
<b>K13</b> The value of feedback from those they regulate, and the beneficiaries of regulation such as stakeholders in informing future activities.
<b>K14</b> The support requirements and training needs of their stakeholders.
Skills
<b>S3</b> Prepare documentation and materials for review and ratification.
<b>S4</b> Working at times under time pressure, prioritising their workloads to raise and resolve areas of concern such as individual rights, breach management, FOI requests and information sharing.
<b>S5</b> Being able to accept and deal with changing priorities related to both their own work and to the organisation, showing the flexibility to maintain high standards in a changing environment.
<b>S8</b> Identify organisation needs and how these are applied to enquiries.
<b>S9</b> Interpret and apply sector guidance.
<b>S10</b> Undertake investigations and interviews in order to assess a data breach.
<b>S12</b> Make decisions on data protection and information governance issues raised and ensure that any areas of concern are escalated to the stakeholders.
<b>S13</b> Provide day to day support, specialist advice, guidance and training across the organisation and external stakeholders for all matters regarding information governance and data protection.

Behaviours
<b>B1</b> Acts in a professional manner with integrity and confidentiality.
<b>B3</b> Has accountability and ownership of their tasks and workload.
<b>B4</b> Seeks learning opportunities and continuous professional development.
<b>B5</b> Works flexibly and adapts to circumstances.
<b>B6</b> Takes responsibility, shows initiative and is organised.

## Grading descriptors

### End-point assessment method 1: Work-based project report with presentation and questions

KSBs	Fail	Pass The apprentice must meet all the pass descriptors below	Distinction The apprentice must meet all the pass descriptors and all the distinction descriptors below
<b>Communication</b> K11 S2 B2	Does not meet the pass criteria	Presents research findings providing examples of techniques and approaches used to communicate findings to stakeholders, and how they have ensured collaboration both across the organisation and with external stakeholders. (K11, S2, B2)	Justifies the communication methods used to present their findings and why others were not suitable. (S2)
<b>Risk Methodologies</b> K4	Does not meet the pass criteria	Outlines the risk assessment methodologies used with approaches they have taken to limit impact on the business. (K4)	Evaluates the strengths and weaknesses of the risk assessment methodologies used and explains how this informs the recommendations and the impact they have made. (K4)
<b>Technology, data analysis, and data management</b> K2, K3 K15 S1 S6 S11 S14	Does not meet the pass criteria	Use technology and IT software, relevant to their role, and explain how they use these to provide representations of data such as tables, graphs and portfolios for publication. (K2, S1)  Assesses the risks associated with processing data in both technology and software. Explains how they gather, analyse, use and share the data to inform risk assessment and make judgements on actions to take (K3, S6, S11)	Justifies the technology and software used to analyse their findings and why others were not suitable. (K3, S11)  Evaluates actions taken on risk assessments and justifies the recommended solutions, including the impact they have made to improve data management. (S14)

KSBs	Fail	Pass The apprentice must meet all the pass descriptors below	Distinction The apprentice must meet all the pass descriptors and all the distinction descriptors below
		Explains why an organisation needs to continuously improve systems and procedures to ensure regulatory requirements are met, and how they identify data solutions and evidence the way in which these can improve data management. (K15, S14)	
<b>Regulation and legislation</b> <b>K16</b> <b>S7</b>	Does not meet the pass criteria	Explains why the use of horizon scanning is important to identify future changes in the development of data legislation and case law, and how this could be used to interpret legislation and regulation in order to share best practice and advise stakeholders on its application. (K16, S7)	

## Assessment method 2: Professional discussion underpinned by a portfolio of evidence.

KSBs	Fail	Pass The apprentice must meet all the pass descriptors below	Distinction The apprentice must meet all the pass descriptors and all the distinction descriptors below
<b>Organisation awareness</b> <b>K9 K10</b> <b>S8 S9</b>	Does not meet the pass criteria	<p>Explains the role that they play in the organisation's governance structures, escalation processes and the impact it has, including how it adds value and benefit to the organisation. (K9, K10)</p> <p>Explains how they identify the organisation's needs, interpreting sector guidance and how they apply this to enquiries. (S8, S9)</p>	Critically evaluates the importance of their role to their organisation and the impact they make within the sector in which they work. (K9, K10)
<b>Stakeholder management</b> <b>K5 K13 K14</b> <b>S12 S13</b>	Does not meet the pass criteria	<p>Explains the role of the key stakeholders in their organisation and how they interact with their role when making decisions on data protection and governance issues. Provides examples of when they escalate areas of concern to the appropriate stakeholder. (K5, S12)</p> <p>Evaluates the value of feedback from stakeholders and its role in determining their requirements for training, informing future activities and providing day to day support and specialist advice regarding data protection and information governance. (K13, K14, S13)</p>	Justifies the advantages and limitations of the approach they took when identifying areas of concern and which stakeholder they would escalate them to. (K5, S12)

KSBs	Fail	Pass The apprentice must meet all the pass descriptors below	Distinction The apprentice must meet all the pass descriptors and all the distinction descriptors below
<b>Regulation and legislation</b> <b>K1 K6 K7 K8 K12 S3 S10</b>	Does not meet the pass criteria	<p>Explains regulation and legislation for handling and processing of data and explains what is considered in its application. (K1)</p> <p>Explains how they apply the privacy design principles and practices, and how they respond to fundamental rights of information requests and the documentation and materials they prepare for the review and ratification of them. (K6, K7, S3)</p> <p>Explains the role of the Regulators and the toolkits, control frameworks or standards that are defined by them for organisations to use (K8, K12)</p> <p>Explains the investigations and interviews they have undertaken to assess a data breach. (S10)</p>	Justifies why DPIAs are undertaken by their organisation and how the documentation is reviewed and ratified. (K6, S3)
<b>Self-development</b> <b>B4</b>	Does not meet the pass criteria	Explains how they identify and seek out opportunities for professional development. (B4)	
<b>Managing workloads</b> <b>S4 S5</b> <b>B1 B3 B5 B6</b>	Does not meet the pass criteria	Describes how they manage, own and prioritise their workloads in a professional manner to resolve areas of concern maintaining confidentiality and accountability of the information. (S4, B1, B3)	



KSBs	Fail	Pass The apprentice must meet all the pass descriptors below	Distinction The apprentice must meet all the pass descriptors and all the distinction descriptors below
		Explains how they take responsibility and the initiative for their own workload by organising it to suit changing priorities of the organisation whilst maintaining high standards in the changing environment (S5, B5, B6)	