

End-point assessment plan for Archivist and Records Manager apprenticeship standard

Apprenticeship standard number	Apprenticeship standard level	Integrated end-point assessment
ST0904	7	No

Contents

Introduction and overview	2
EPA summary table	3
Length of end-point assessment period	5
Order of assessment methods	5
Gateway	6
Assessment methods	8
Reasonable adjustments	15
Grading	16
Overall EPA grading	21
Re-sits and re-takes	21
Roles and responsibilities	23
Internal Quality Assurance (IQA)	27
Value for money	27
Professional body recognition	27
Mapping of knowledge, skills and behaviours (KSBs)	28

Introduction and overview

This document sets out the requirements for end-point assessment (EPA) for the Archivist and Records Manager apprenticeship standard. It is for end-point assessment organisations (EPAOs) who need to know how EPA for this apprenticeship must operate. It will also be of interest to Archivist and Records Manager apprentices, their employers and training providers.

Full time apprentices will typically spend 36 months on-programme (before the gateway) working towards the occupational standard, with a minimum of 20% off-the-job training. All apprentices must 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 and can be evidenced to an EPAO.

For level 3 apprenticeships and above apprentices without English and mathematics at level 2 must achieve level 2 prior to taking their EPA.

The EPA must be completed within an EPA period lasting typically 6 months, after the EPA gateway.

The EPA consists of 2 discrete assessment methods.

The individual assessment methods will have the following grades:

Assessment method 1: Professional discussion underpinned by a portfolio

- Fail
- Pass
- Distinction

Assessment method 2: Work-based written project report and questioning

- Fail
- Pass
- Distinction

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

- Fail
- Pass
- Distinction

EPA summary table

On-programme (typically 36 months)	Training to develop the occupation standard's knowledge, skills and behaviours (KSBs). Working towards English and mathematics level 2, if required. Compiling a portfolio of evidence.
End-point assessment gateway	• Employer is satisfied the apprentice is consistently working at, or above, the level of the occupational standard. • English and mathematics Level 2 Apprentices must submit: • A portfolio of evidence (see Gateway section for full details) The project's subject, title and scope will be agreed between the employer and the EPAO at the gateway
End-point assessment (which will typically take 6 months)	Assessment method 1: Professional discussion underpinned by a portfolio With the following grades: · Fail · Pass · Distinction Assessment method 2: Work-based written project report and questioning With the following grades: · Fail · Pass · Distinction Performance in the EPA will determine the overall apprenticeship standard grade of: · Fail · Pass · Distinction
Professional recognition	Aligns with recognition by:

	• Foundation Level (FMARA)/Registered Level (RMARA) for Archives and Records Association • Chartered Member of CILIP (MCLIP) for Chartered Institute of Library Information Professionals
--	---

Length of end-point assessment period

The EPA will be completed within an EPA period lasting typically of 6 months, after the EPA gateway.

Any supporting material which underpins an EPA assessment method should be submitted at the gateway.

Order of assessment methods

The assessment methods can be delivered in any order.

Gateway

The EPA period should only start once the employer is satisfied that the apprentice is consistently working at or above the level set out in the occupational standard, that is to say they are deemed to have achieved occupational competence. 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.

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 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 professional discussion underpinned by a portfolio, the portfolio of evidence requirements are as follows:

- apprentices must compile a portfolio of evidence during the on-programme period of the apprenticeship
- it must contain evidence related to the KSBs that will be assessed by the professional discussion
- the portfolio of evidence will typically contain 15 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:
 - workplace documentation/records/policies
 - catalogues, workflows, box-lists
 - witness statements
 - annotated photographs
 - video clips (maximum total duration 10 minutes); the apprentice must be in view and identifiable

This is not a definitive list; other evidence sources are possible.

- it 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 must be valid and attributable to the apprentice; the portfolio of evidence must contain a statement from the employer and apprentice confirming this
- the portfolio of evidence must be submitted to the EPAO at the gateway.

The portfolio is not directly assessed. It underpins the professional discussion assessment method 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 of the portfolio.

For Work-based written project report and questioning:

- The project's subject, title and scope will be agreed between the employer and the EPAO at the gateway.

Assessment methods

Assessment method 1: Professional discussion underpinned by a portfolio (This assessment method has 1 component.)

Assessment method 1 component 1: Professional discussion underpinned by a portfolio

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 is a holistic assessment method, allowing the apprentice to demonstrate KSBs in an integrated way
- it provides a cost-effective assessment, as it minimises independent assessor time and may make use of the apprentice's employer's workplace, equipment and resources or may be undertaken remotely
- Archivists and Records Managers are required to be comfortable in face-to-face discussions about their role and the objectives of it in relation to their organisation and the wider sector. They are required to explain and justify their rationale in relation to complex narrative
- it also allows the demonstration of the ability to perform the role in a different context or large/small organisations in order to demonstrate transferable skills
- it allows the apprentice to reference experience gained as part of the on-programme journey.

Delivery

The independent assessor will conduct and assess the professional discussion.

The professional discussion must last for 150 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.

During this method, the independent assessor must use the question bank as a source for questioning using their professional judgment to tailor those questions appropriately, following a review of the portfolio of evidence. Independent assessors are responsible for generating suitable follow-up questions in line with the EPAO's training and standardisation process. These follow-up questions are allowed to seek clarification from the apprentice and to make a judgement against the grading descriptors.

The professional discussion will be conducted as set out here:

- The EPAO will ensure that the independent assessor will have a minimum of five working days to review the portfolio of evidence prior to the professional discussion.
- EPAOs must make arrangements for the professional discussion with the apprentice's employer.
- Apprentices must be given at least two-weeks' notice of the date and time of the professional discussion.
- There will be a minimum of 14 questions.
- The independent assessor will ask the apprentice questions based on the knowledge, skills and behaviours identified for this method. The apprentice may use their portfolio of evidence to exemplify a point they are discussing. The portfolio is not directly assessed
- The independent assessor may ask follow-up questions generated by themselves to either probe replies further and/or to seek clarification on points made, these follow-up questions do not count towards the minimum question count.
- A short break is allowed. This should be a maximum of 15 minutes and the exact timing will be agreed between the independent assessor and the apprentice. The duration of the short break is not included in the 150 minutes time allowed. The apprentice will be subject to EPAO invigilation requirements during this time.

Video conferencing can 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 in some way. The apprentice and the independent assessor should have access to the apprentice's portfolio during the professional discussion.

Apprentices are expected to understand and use relevant occupational language that would be typical of a competent person in this occupation.

The independent assessor must use the assessment tools and procedures that are set by the EPAO to record the outcome of the professional discussion including KSBs met and answers to questions.

The independent assessor will make all grading decisions.

Assessment location

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 or a suitable venue selected by the EPAO (for example a training provider's premises)
- Via video conferencing

Other relevant information

A structured question bank must be developed by EPAOs. 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/re-takes.

Independent assessors must be developed and trained by the EPAO in the conduct of the professional discussion and reaching consistent judgement.

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

- Outline of the assessment method's requirements
- Question bank
- Marking materials including a template to record the apprentice's responses to questions generated by the independent assessor
- Assessor guidance on questions they generate themselves
- Confidentiality guidance and documentation

Assessment method 2: Work-based written project report and questioning (This assessment method has 2 components.)

Assessment method 2 component 1: Work-based written project report

Overview

A project involves the apprentice completing a significant and defined piece of work that has a real business benefit and then writing a report on the project work completed. The project must be undertaken after the apprentice has gone through the gateway, and all work that contributes to the project should be undertaken after the apprentice has gone through the gateway.

The project 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 assessed for the EPA. 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 as shown in the mapping of assessment methods. The EPAO must refer to the grading descriptors to ensure that projects are pitched appropriately.

The rationale for this assessment method is:

- Archivists and records managers need to advocate business protocols by communicating clearly in writing, and to plan, deliver and evaluate discrete projects putting theoretical requirements into practice. They must be able to devise, apply and

explain the rationale behind methods for solving problems, testing ideas and achieving goals.

- they are required to be concise and precise in their use of language in written and verbal communication and demonstrate clarity of thought to engage others
- the work-based written project report offers a realistic opportunity to combine project management, formal writing and justification of what has been achieved. As such, this assessment method allows apprentices to demonstrate mastery of KSBs that arise naturally in professional roles within organisations of any size or scope.
- it is a holistic assessment method, allowing the apprentice to demonstrate KSBs in an integrated way by writing the report on the project and being questioned to understand rationale for choices made, issues identified and resolved and areas where further information is required
- it allows for a range of archivist and records manager activities to be demonstrated
- it provides a cost-effective assessment, as it minimises independent assessor time and makes use of the apprentice's employer's workplace, equipment and resources, and should contribute to workplace productivity

Delivery

Apprentices will produce a work-based written project report as agreed at gateway. The work-based written project report is completed after the apprentice has gone through the gateway. This includes any work or evidence that contributes towards the project report.

The project's subject, title and scope will be agreed between the employer and the EPAO at the gateway. EPAOs will have a list of possible titles for the work-based written project report and the subject and scope will ensure real business benefit. Where titles do not appear to provide this for the employer, an alternative should be agreed by the EPAO and the employer.

The apprentice will conduct their project, complete their report, and submit it to the EPAO after a maximum of 14 weeks of the EPA start date for review and to generate questions for the questioning (component 2). It is expected that the project report will typically take 150 hours to complete.

The employer will ensure the apprentice has sufficient time and the necessary resources, within this period, to plan and undertake the project and write the report. The apprentice should complete their work-based project report unaided and when it is submitted to the EPAO, the apprentice and their employer must verify that it is the apprentice's own work.

The work-based written project report should be paper based or electronic

The project may be based on any of the following:

- a specific problem/a recurring issue in relation to service delivery for example digital preservation, retention scheduling, cataloguing issues
- an idea/opportunity to improve service delivery for example improving retention, digitisation of collections

- an area of current professional debate or controversy and the impact on service delivery for example the impact of diversity and inclusion in collection policies or on collection access
- a business benefit task in relation to service delivery, for example developing or upgrading a disaster recovery or document security plan (i.e. how to implement a transition back to normal service after a fire, flood, other major incident or the physical protection of an iconic collection in a display/transit e.g. Magna Carta, the Domesday Book)

As a minimum, all work-based written project reports must include:

- 5000 words plus or minus 10%, excluding references, appendices, diagrams etc. The project content will include:
 - approach
 - terms of reference
 - an introduction
 - scope of the project
 - project plan
 - objectives
 - stakeholder communications
 - research and findings
 - risk identification, assessment and mitigation
 - funding options
 - project outcomes
 - benefits to the organization
 - conclusions
 - recommendations, including next steps if relevant.

The work-based written project report must map, in an appendix, how it evidences the relevant KSBs for this assessment method.

The work-based written project report will be submitted to the EPAO in accordance with the agreed process and timescales in this EPA plan.

Marking

The work-based written project report and the questioning (assessment method 2, components 1 and 2) will be holistically reviewed and marked by the independent assessor 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.

The independent assessor will make all grading decisions.

Required supporting material

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

- documentation to record questions required for the questioning (component 2)
- assessment specifications
- guidance document for employers and apprentices on the process / timescales for the assessment as well as a description of the purpose
- guidance document for independent assessors on how to carry out the assessment
- work-based written project report specification
- examples of project titles
- outline of the assessment method's requirements
- employer/apprentice work authenticity confirmation paperwork
- report submission process including tracking
- confidentiality of information documentation and guidance
- grading guidance
- guidance document for independent assessors on how to holistically mark the assessment method

Assessment Method 2 Component 2: Questioning

Overview

This assessment will take the form of questioning 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. The questioning will be based on the work-based written project report described in component 1 above, and will allow the independent assessor to probe further into rationale for choices made to support the report e.g. research methodology, and/or clarify points contained in the work-based written project report, and probe deeper into KSBs evidenced to determine grading decisions.

The rationale for this assessment method is:

- The questioning is intended to probe deeper into the KSBs mapped to this method to allow the assessor to further test knowledge and competence following a review of the project report. The questioning will also allow the assessor to use further evidence to make a judgement against the grading descriptors. Questions will be generated by the assessor in response to the work-based project report. This method is value for money as it assesses a range of KSBs holistically and can be completed in a relatively short space of time, other methods such as direct observation would not be possible as the activities take too long to complete.

Delivery

The independent assessor will conduct the questioning.

The questioning will be undertaken after the work-based written project report has been submitted and reviewed by the independent assessor.

The questioning must last for 40 minutes. The independent assessor has the discretion to increase the time of the questioning by up to 10% to allow the apprentice to complete their last answer.

During this method, the independent assessors must use the questions they have generated when reviewing the work-based written project report using their professional judgment. These questions and any follow-up questions are to allow the apprentice to provide greater clarity for their rationale of choices, probe deeper into points made and/or to resolve any points identified when reviewing the work-based written report and to make a judgement against the grading descriptors. Questioning can also cover KSBs that may not have been fully demonstrated in the project (although these will be kept to a minimum), and cover KSBs that will be probed deeper to fully test competence.

The work-based written project report questioning will be conducted as set out here:

- The EPAO will ensure the independent assessor has a minimum of five working days to review the work-based written project report prior to the questioning.
- EPAOs must make arrangements for the questioning with the apprentice's employer.
- Apprentices must be given at least two-weeks' notice of the date and time of the questioning.
- There will be a minimum of 5 questions.

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

Apprentices are expected to understand and use relevant occupational language that would be typical of a competent person in this occupation.

The independent assessor must use the assessment tools and procedures that are set by the EPAO to record the outcome of the questioning including questions asked and the answers given.

Marking

The work-based written project report and the questioning (assessment method 2, components 1 and 2) will be holistically reviewed and marked by the independent assessor 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.

The independent assessor will make all grading decisions.

Assessment location

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

The questioning can take place in any of the following:

- Employer's premises or a suitable venue selected by the EPAO (for example a training provider's premises)
- Via video conferencing

Other relevant information

Independent assessors must be developed and trained by the EPAO in the conduct of questioning and in particular how to develop their own questions based on the work-based written project report.

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

- outline of the assessment method's requirements
- guidance document for employers and apprentices on the process / timescales for the assessment as well as a description of the purpose
- independent assessor training materials including guidance on questions they generate themselves
- assessment recording documentation
- confidentiality documentation and guidance
- assessment specifications
- grading guidance
- guidance document for independent assessors on how to holistically mark the assessment method

Reasonable adjustments

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

Weighting of assessment methods

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

Grading

Assessment method 1: Professional discussion underpinned by a portfolio

KSBs	Pass: Meets all pass criteria	Distinction: Meets all pass criteria and all distinction criteria
K1 K2 K3 K4 K5 K7 K8 K9 K10 K12 K13 K17 K19 K22 S1 S2 S3 S4 S5 S6 S7 S8 S9 S10 S11 S13 S14 S15 S18 S21 S22 S25 B1 B3 B6 B7	Analyses how they establish and maintain archives and records management policies, principles, procedures and processes, and explains how they consider and apply these to records through their lifecycle, including how these could be applied in a range of organisations and work environments. (K1, K3, K4, S3, S4) Justifies their approach to using information concerning intellectual and custodial integrity of archives and records as they apply to all records including digitised and born digital and explains how they confirm that the archives and/or records are stored correctly and they are monitored in accordance with legislation, guidelines and regimes. (K2, S2) Evaluates how they negotiate with depositors/donors regarding acquisitions, and with internal and external colleagues/stakeholders regarding security, maintenance and disposal of records, and explains contractual arrangements which support archives and records management. (K17, S1) Analyses how they care for born-digital and digitised records and explains how they undertake the digitisation of archival material. (S5, S6)	Critically evaluates potential improvements to archives and records management policies, procedures and processes and evaluates the impact these improvements could have on their organisation. (K1, K3, K4, S3, S4)

	Explains how they act with authenticity, including how they adhere to relevant codes of practice and professional ethics and how they embed them into working practices. Reflects on how they apply an ethical approach to professional issues and work activities, including cataloguing, engagement and user access (K5, B1) Explains how they arrange, describe and classify analogue, digitised and born-digital records in a variety of formats in accordance with professional standards and guidelines, including records management, cataloguing, preservation (including digital preservation) and access. (K7, S7) Analyses the impact of information legislation and regulations as they apply to the function and/or organisation and explains how they apply information legislation, broader legislation and regulations and how they manage compliance of the archives and records sector and service. Justifies decisions they have made in relating to the application of legislation and regulations and explains where they have referred to more senior staff for their input. (K8, K9, S9, B3) Analyses the physical care, protection and preservation requirements for records including how they keep accurate paper and digital location records, justifying the use of different processes such as barcoding. Explains how they manage and organise audits to ensure that the materials are identified and are stored as safely and securely as possible, and how they ensure flood, fire, preservation and conservation plans are identified and adhered to by the organisation. (K10, S8, S10) Explains how they work in partnership with other specialists to arrange for work to be carried out. (S11) Evaluates how they use IT equipment, software/systems and databases to support	Critically evaluates their process for keeping up to date with information legislation and regulations, broader legislation and regulations, and reflects on the impact of non-compliance for their organisation and for the archives and records sector. (K8, K9, S9) Critically evaluates the outcomes of the delivery of outreach strategies and reflects on the impact of these activities to the organisation. (K13, S15)
--	--	--

	the daily running and management of archives and records services. (K12, S13, S14) Evaluates their role in the development and delivery of outreach strategies for archives or records management services, including explaining how they identify audiences and how they include accessibility and inclusivity initiatives for public-facing service elements. (K13, S15) Evaluates how they keep up to date with sector and wider trends for digital engagement making recommendations for change and explains how they share best practice or how they deliver training to stakeholders regarding archival or records management activities. Explains how they create content and present information about the collections and/or services for relevant audiences. (S18, S21, B6) Evaluates how they apply specialism(s) relevant to the organisation or collections. (K19, S22) Evaluates how they apply the people and/or volunteer management policies and processes such as performance management, training needs and analyses how they lead by example. (K22, S25, B7)	Reflects on how they apply their specialism(s) to benefit the organisation or collection and evaluates how they keep specialism(s) current and relevant. (K19, S22)
Fail	Fails to meet all pass criteria	

Assessment method 2: Work-based written project report and questioning

KSBs	Pass: Meets all pass criteria	Distinction: Meets all pass criteria and all distinction criteria
K6 K11 K14 K15 K16 K18 K20 K21 S12 S16 S17 S19 S20 S23 S24 B2 B4 B5 B8	Uses archives, records management and information governance terminology appropriately. (K6, B2) Analyses risk identification, assessment and mitigation and evaluates how this relates to organisational risk appetite. Develop/maintain risk assessment(s) including reviewing the assessment(s) and identification and prioritisation of risks, including mitigation actions. (K11, S12, B4) Identifies and communicates with various internal/external stakeholders using a range of communication techniques, including negotiation and influencing, to overcome barriers and provide innovation and change management, and also to build relationships with key decision makers, internal/external stakeholders and others in the sector to enhance the archives and records management service. (K14, S16, S23, B5, B8) Analyses and applies service delivery, project and budget management principles and processes, to plan, prioritise and balance workload to meet agreed timescales, cost, and quality objectives. (K15, S20) Identifies and analyses potential funding streams and/or income generation activities to support archive and records management projects, and presents ideas, analysis and content, to support the submission of funding applications. (K16, S19)	Critically evaluates the risk mitigation actions in place and makes recommendations for additional actions to reduce the risk potential. (K11, S12) Justifies their chosen communication methods and critically evaluates the effectiveness of the methods and the impact to the archives and records management service. (K14, S16, B5) Evaluates the effectiveness and impact of funding streams and/or income generation activities to support archive and records management projects. (K16, S19)

	Evaluates and undertakes research methodologies and techniques appropriate to the organisation, services or collections and explains the rationale for the selection made within the project. (K18, S17) Justifies how the project aligns with the development and management of archives, records and collections and with the business strategy of the organisation. (K20) Demonstrates how they undertake business planning processes and strategies, including working within a set budget and continuity planning, and explains how they apply legislation and regulations as appropriate to the service and situation. (K21, S24)	Critically evaluates the business planning processes and strategies used in the project, including continuity plans, and makes recommendations for improvements. (K21)
Fail	Fails to meet all pass criteria	

Overall EPA grading

All EPA methods must be passed for the EPA to be passed overall.

Apprentices must gain a distinction in both assessment methods to gain a distinction.

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

Professional discussion underpinned by a portfolio	Work-based written project report and questioning	Overall grading
Fail	Any grade	Fail
Any grade	Fail	Fail
Pass	Pass	Pass
Distinction	Pass	Pass
Pass	Distinction	Pass
Distinction	Distinction	Distinction

Re-sits and re-takes

Apprentices who fail an assessment method will be offered the opportunity to take a re-sit or a re-take at the employer's discretion. The apprentice's employer will need to agree that either a re-sit or re-take is an appropriate course of action.

A re-sit does not require further learning, whereas a re-take does.

Apprentices should have a supportive action plan to prepare for a re-sit or a re-take.

An apprentice who fails one or more assessment methods, and therefore the EPA in the first instance, will be required to re-sit or re-take the failed assessment method only. If the apprentice fails the work-based written project report, they will only have to retake/resit the report and the questioning, they will not have to retake/resit the work that the project has been based on.

If the employer and the EPAO identify that the project which the work-based written project report and questioning is based on, is not satisfactory then subject to timescales below, the project must be undertaken again prior to writing the work-based written project report and undertaking questioning.

The timescale for a re-sit/re-take is agreed between the employer and EPAO. A re-sit is typically taken within six 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 nine months of the EPA outcome notification.

All assessment methods must be taken within a 12 month period, otherwise the entire EPA will need to be re-sat/re-taken.

Re-sits and re-takes are not offered to apprentices wishing to move from pass to a higher grade.

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	As a minimum, apprentices should: • participate in and complete on-programme training to meet the KSBs as outlined in the occupational standard for a minimum of 12 months • undertake 20% off-the-job training as arranged by the employer and training provider • understand the purpose and importance of EPA • undertake the EPA including meeting all gateway requirements
Employer	As a minimum, employers should: • work with the training provider (where applicable) to support the apprentice in the workplace to provide the opportunities to develop the KSBs • arrange and support a minimum of 20% off-the-job training to be undertaken by the apprentice • decide when the apprentice is working at or above the occupational standard and so is ready for EPA • select the EPAO • ensure that all supporting evidence required at the gateway is submitted in accordance with this EPA plan • remain independent from the delivery of the EPA • confirm arrangements with the EPAO for the EPA (who, when, where) in a timely manner (including providing access to any employer specific documentations as required, for example company policies) • ensure that the EPA is scheduled with the EPAO for a date and time which allow appropriate opportunity for the KSBs to be met • ensure the apprentice is well prepared for the EPA • ensure the apprentice is given sufficient time away from regular duties to prepare for and complete any post-gateway elements of the EPA,

	and that any required supervision during this time (as stated within this EPA plan) is in place • where the apprentice is assessed in the workplace, ensure that the apprentice has access to the resources used on a daily basis
EPAO	As a minimum, EPAOs should: • agree the EPA price • understand the occupational standard • appoint administrators (and invigilators where required) to administer the EPA as appropriate • provide training for independent assessors in terms of good assessment practice, operating the assessment tools and grading • provide adequate information, advice and guidance documentation to enable apprentices, employers and training providers to prepare for the EPA • arrange for the EPA to take place, in consultation with the employer • deliver the EPA as outlined in this EPA plan in a timely manner • where the apprentice is not assessed in the workplace, ensure that the apprentice has access to required resources and liaise with the employer to agree this if necessary • use appropriate assessment recording documentation to ensure a clear and auditable process is in place for providing assessment decisions and feedback to all relevant stakeholders • 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 procedures in place to mitigate any conflicts of interest which will be monitored by EQA activity • 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 • conform to the requirements of the nominated external quality assurance provider (EQAP)

	• conform to the requirements of the Register of End-Point Assessment Organisations (RoEPAO) • deliver induction training for independent assessors, and for invigilators and markers where used • 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) • manage invigilation of apprentices in order to maintain security of the assessment in line with their malpractice policy • verify the identity of the apprentice being assessed • use language in the development and delivery of the EPA that is appropriate to the level of the occupational standard • request certification via the Apprenticeship Service upon successful achievement of the EPA • ensure confidentiality of information provided during the end-point assessment process
Independent assessor	As a minimum, an independent assessor should: • 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 • understand the occupational standard and the requirements of this EPA • have, maintain and be able to evidence up to date knowledge and expertise of the subject matter • deliver the end-point assessment in-line with the EPA plan • comply with the IQA requirements of the EPAO • 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) • attend induction training

	• 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 • assess each assessment method, as determined by the EPA plan, and without extending the EPA unnecessarily • 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 • make all grading decisions • record and report all assessment outcome decisions, for each apprentice, following instructions and assessment recording documentation provided by the EPAO in a timely manner • use language in the development and delivery of the EPA that is appropriate to the level of the occupational standard • maintain confidentiality of information provided by the apprentice during the assessment process
Training provider	As a minimum the training provider should: • 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 • conduct training covering any knowledge, skill or behaviour requirement agreed as part of the Commitment Statement (often known as the Individual Learning Plan). • monitor the apprentice's progress during any training provider led on-programme learning • advise the employer, upon request, on the apprentice's readiness for EPA • 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

Internal Quality Assurance (IQA)

Internal quality assurance refers to the requirements that EPA organisations must have in place to ensure consistent (reliable) and accurate (valid) assessment decisions. EPA organisations for this EPA must:

- appoint independent assessors who have knowledge of the following occupational areas:
experience of working in an Archives and Records Manager role in the last 3 years.
- appoint independent assessors who have recent relevant experience of the occupation/sector at least the same level as the apprentice and have at least 3 years post qualification experience or equivalent, as an Archivist and Records Manager
- appoint independent assessors who are members of the Archives and Records Association (ARA) and hold ARA Professional Registration
- appoint independent assessors who are competent to deliver the end-point assessment
- provide training for independent assessors in terms of good assessment practice, operating the assessment tools and grading
- have robust quality assurance systems and procedures that support fair, reliable and consistent assessment across the organisation and over time
- operate induction training and standardisation events for independent assessors when they begin working for the EPAO on this standard and before they deliver an updated assessment method for the first time
- ensure independent assessors attend standardisation events on an ongoing basis and at least once per year.

Value for money

Value for money of the EPA will be aided by using at least some of the following practice:

- use of existing premises for the professional discussion and project questioning, for example using an employer's premises
- use of technology, for example video conferencing
- project activity will contribute to workplace operations.

Professional body recognition

This apprenticeship is designed to prepare successful apprentices to meet the requirements for Archives and Records Association Professional Registration at the Foundation (FMARA) or Registered (RMARA) level and/or Chartered Member of CILIP (MCLIP) with The Chartered Institute of Library and Information Professionals.

Mapping of knowledge, skills and behaviours (KSBs)

Assessment method 1: Professional discussion underpinned by a portfolio

Knowledge
K1 The records lifecycle and records continuum as they apply to all records, including digitised and born digital.
K2 Intellectual and custodial integrity of archives and records as they apply to all records, including digitised and born digital.
K3 Principles, policies and procedures for archives and records including selection, acquisition, retention, appraisal, classification, audit, appropriate access, preservation and appropriate disposal as they apply to all records, including digitised and born digital.
K4 The application of these principles, policies and procedures as they apply to all records, including digitised and born digital in a range of organisations and work environments
K5 Professional codes of ethics, for example those of the Archives and Records Association and the Information and Records Management Society and how to embed them into working practices
K7 Professional standards and guidance, including for records management, cataloguing, preservation (including digital preservation) and access, for example PD BS 4971:2017 Guide for the storage and exhibition of archival materials and the requirements of Archives Accreditation standards https://www.nationalarchives.gov.uk/archives-sector/archive-service-accreditation/ .
K8 Information legislation and regulations, including access legislation, privacy regulations, data protection legislation, freedom of information, evolving copyright and intellectual property legislation for example http://uklaca.org/), licensing and creative commons, as they apply to the function and/or organization.
K9 The application of broader legislation and regulations including health and safety, equality and inclusion to the archives and records sector
K10 Physical care, protection and preservation of analogue, digitized and born-digital records including: security, environmental impacts and administration, disaster management principles and procedures and evolving best practice guidelines
K12 IT software/systems and databases used to support the daily running and management of archives and records services.
K13 Outreach strategies for archives or records management services, including: identifying internal/external audiences, initiatives to make public-facing service elements more accessible and inclusive

K17 Contractual arrangements which support archives and records management for example deposit agreements, commercial licensing
K19 Specialism(s) relevant to the organisation or collections, for example: coding or other advanced digital skills, advanced information governance, languages, Palaeography, working with a specific audience (e.g. children/young people)
K22 People and/or volunteer management policies and processes such as: performance management, training needs as required by the organisation

Skills
S1 Negotiate with depositors/donors regarding acquisitions, and with internal and external colleagues/stakeholders regarding security, maintenance and disposal of records
S2 Confirm that the archives and/or records are stored correctly and they are monitored in accordance with legislation, guidelines and regimes for example PD BS 4971:2017 Guide for the storage and exhibition of archival materials
S3 Develop and maintain archives and records management policies, procedures and processes ensuring their application
S4 Consider and implement selection, acquisition, retention, appraisal, classification, audit and disposal principles to records
S5 Organise and manage the digitisation of archival material, including identifying suitable records, scanning, creating metadata, and making images available online
S6 Manage the care of born-digital and digitised records, including their management, appraisal, classification, storage, access and, where appropriate, long term preservation.
S7 Arrange, describe and classify analogue, digitised and born-digital records in a variety of formats in accordance with professional standards
S8 Confirm that accurate paper and digital location records are kept and consider the use of different processes such as barcoding
S9 Manage compliance with legislation and regulations as appropriate to the service and situation, for example health and safety, data protection legislation, copyright and intellectual property
S10 Organise and manage audits to make sure that the materials are identified and are stored as safely and securely as possible. This includes making sure that flood, fire, preservation and conservation plans are identified and adhered to by the organisation.
S11 Work in partnership with other specialists for example conservators, sound technicians, or software engineers/developers and other IT experts to arrange for work to be carried out.
S13 Use IT software and systems to accurately store, interrogate interpret and analyse information as required by the archives/records service or by internal/external stakeholders.

S14 Use appropriate technology and specialist equipment relevant to the collections or services for example workstations or software suites to support digital preservation
S15 Develop/manage outreach strategies to engage, develop and maintain internal/external audiences, such as open days, social media use or accessible exhibitions.
S18 Share best practice and/or deliver training to internal staff/external organisations regarding archival or records management activities
S21 Create content and present information about the collections and/or services for relevant internal or external audiences. Keep up to date with sector and wider trends for digital engagement
S22 Apply specialism(s) relevant to the organisation or collections, for example: languages, palaeography, coding or other advanced digital skills, advanced information governance, working with a specific audience (e.g. children/young people).
S25 Apply the people/volunteer management policies for example assessing work plans and training needs and managing performance

Behaviours
B1 Authenticity, for example adhere to relevant codes of practice and professional ethics, apply an ethical approach to professional issues and work activities, including cataloguing, engagement and user access
B3 Decision-making, for example exercise a significant degree of autonomy and judgement in delivering the service/function, referring matters to more senior members of staff where their input is needed.
B6 Commitment to continuing professional development (CPD), for example proactively keep industry and best practice knowledge and skills up to date.
B7 Leading by example, for example use initiative, respect and apply the organisation's values, enthuse others, and speak and/or act on behalf of the service.

Assessment method 2: Work-based written project report and questioning

Knowledge
K6 Archives, records management and information governance terminology and its appropriate use.
K11 Risk identification, assessment and mitigation; how this relates to organisational risk appetite
K14 A range of oral and written communication techniques, including negotiation and influencing

K15 Service delivery and project management principles and processes
K16 Funding streams, income generation to support archive and records management projects
K18 Research methodologies and techniques appropriate to the organisation, services or collections
K20 The alignment of the development and management of archives, records and collections to the business strategy of the organisation. This may include: key functions that records and archives support, retention and disposal of records, the acquisition of new collections
K21 Business planning processes and strategies, including: working within a set budget, continuity plans

Skills
S12 Develop/maintain risk assessment(s) and undertake regular reviews to identify and prioritise risks including mitigation actions
S16 Use influencing skills with key decision makers in the sector to enhance the archives and records management service.
S17 Commission, undertake and disseminate research to support the archives and records management service and/or facilitate research requests from stakeholders ensuring timely and accurate responses.
S19 Identify potential funding streams and present ideas, analysis and content and make recommendations, usually in the form of reports, to support the submission of various types of funding applications and future funding strategies
S20 Apply project and budget management principles to plan, priorities and balance workload to meet agreed timescales, cost and quality objectives, observing and acting within relevant delegated expenditure authorities and resource streams
S23 Identify and communicate with various internal/external stakeholders with shared strategies, goals and objectives to identify and overcome barriers to service improvement and collection development
S24 Undertake business planning processes including continuity planning and apply legislation and regulations as appropriate to the service and situation, for example health and safety, data protection legislation

Behaviours
B2 Attention to detail, for example be thorough and accurate, plan and manage complex tasks carefully.

B4 Problem solving, for example conceptualise and address problematic situations and mitigate risks with sound solutions while foreseeing possible consequences.
B5 Relationship building, for example establish effective working relationships with internal and external stakeholders and get along well with others.
B8 Innovation and change management, for example identify and initiate change, pro-actively welcome others' ideas and experiment with technology.