

# City & Guilds Level 4 Certificate in Governance, Law, Regulation and Standards in Cyber Security (3660-07)

April 2022 Version 1.1

603/5336/3

**Qualification Handbook**

## Qualification at a glance

<b>Subject area</b>	IT Professional
<b>City &amp; Guilds number</b>	3660
<b>Age group approved</b>	16+
<b>Entry requirements</b>	Centres must ensure that any pre-requisites stated in this Handbook are met.
<b>Assessment</b>	Online multiple choice test
<b>Qualification grade scale</b>	Pass
<b>Approvals</b>	Approval application required. Please see <a href="http://www.cityandguilds.com">www.cityandguilds.com</a> for details.
<b>Registration and certification</b>	Registration and certification of this qualification is through the Walled Garden, and is subject to end dates.

Title and level	GLH	TQT	City & Guilds qualification number	Ofqual accreditation number
City & Guilds Level 4 Certificate in Governance, Law, Regulation and Standards in Cyber Security	60	146	3660-07	603/5336/3

Version and date	Change detail	Section
1.0 September 2019	Document created	
1.1 April 2022	Added Ofqual accreditation number	Qualification at a glance
	Added City & Guilds to qualification title	Throughout

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# 1 Introduction

This document tells you what you need to do to deliver the qualifications:

Area	Description
Who is the qualification for?	This qualification is designed to support learners who are on the <b>Risk Analyst</b> pathway of the <b>City &amp; Guilds Level 4 Cyber Security Technologist</b> apprenticeship, forming a mandatory qualification in that pathway.
What does the qualification cover?	<p>This qualification will provide the learner with an understanding of the concepts and principles of cyber security governance and its importance to an organisation.</p> <p>They will explore cyber security management and the main roles with responsibility for cyber security inside organisations – and where accountability lies. It will provide the learner with an understanding of the specialist cyber security practitioners who are qualified to perform specific tasks in the world of cyber security, the main certifications and qualifications to look for in working with companies and individuals and the professional bodies of which they may be members.</p> <p>This qualification will provide the learner with knowledge of the main legal and regulatory instruments relevant to cyber security and the international standards recognised in this area – the legal ‘framework’ that underpins information security.</p>
What opportunities for progression are there?	<p>On achieving this qualification the learner will have completed a section of the knowledge element as part of their apprenticeship journey on the <b>Risk Analyst</b> pathway:</p> <p><b>Risk Analyst pathway</b></p> <ul style="list-style-type: none"> <li>• Level 4 Certificate in Cyber Security Introduction (3660-01)</li> <li>• Level 4 Award in Risk Assessment in Cyber Security (3660-06)</li> <li>• Level 4 Certificate in Governance, Law, Regulation and Standards in Cyber Security (3660-07)</li> </ul>
Who did we develop the qualification with?	It was developed in collaboration with employers, sector experts and training providers using the Apprenticeship Standard and Occupational Brief as the baseline. These were created by The Tech Partnership and their Employer Groups for the specific areas. The qualification embodies the required

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learning for an apprentice to have the opportunity to successfully gain the relevant knowledge for their chosen career path in cyber security.

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Is it part of an apprenticeship framework or initiative?      Yes – Level 4 Cyber Security Technologist (9660-12/13)

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## Structure

Learners must complete the single unit 407 to gain this qualification.

## Total Qualification Time

Total Qualification Time (TQT) is the number of notional hours which represents an estimate of the total amount of time that could reasonably be expected for a learner to achieve and demonstrate the achievement of the level of attainment necessary for the award of a qualification.

TQT is comprised of the following two elements:

- The number of hours which an awarding organisation has assigned to a qualification for Guided Learning, and
- An estimate of the number of hours a learner will reasonably be likely to spend in preparation, study or any other form of participation in education or training, including assessment, which takes place as directed by - but, unlike Guided Learning, not under the immediate guidance or supervision of - a lecturer, supervisor, tutor or other, appropriate provider of education or training

Title and level	GLH	TQT
City & Guilds Level 4 Certificate in Governance, Law, Regulation and Standards in Cyber Security	60	146

## 2 Centre requirements

### Approval

To offer this qualification, new centres will need to gain both centre and qualification approval. Please refer to the *City & Guilds Centre Manual* for further information.

Centre staff should familiarise themselves with the structure, content and assessment requirements of the qualification before designing a course programme.

### Resource requirements

#### Resources

Please see the individual unit information for any resources required.

#### Centre staffing

Staff delivering this qualification must be able to demonstrate that they meet the following occupational expertise requirements. They should:

- be occupationally competent or technically knowledgeable in the area[s] for which they are delivering training and/or have experience of providing training. This knowledge must be to the same level as the training being delivered
- have recent relevant experience in the specific area they will be assessing
- have credible experience of providing training

Centre staff may undertake more than one role, e.g. tutor and assessor or internal verifier, but cannot internally verify their own assessments.

### Learner entry requirements

City & Guilds does not set entry requirements for this qualification. However, centres must ensure that candidates have the potential and opportunity to gain the qualification successfully and that they have the full engagement of the employer for the full programme.

### Age restrictions

City & Guilds cannot accept any registrations for candidates under 16 as these qualifications are not approved for under 16s.

## 3 Delivering the qualification

### Initial assessment and induction

An initial assessment of each candidate should be made before the start of their programme to identify:

- if the learner has any specific training needs
- support and guidance they may need when working towards their qualifications
- any units they have already completed, or credit they have accumulated which is relevant to the qualifications
- the appropriate type and level of qualification

We recommend that centres provide an induction programme so the candidate fully understands the requirements of the qualification, their responsibilities as a candidate, and the responsibilities of the centre. This information can be recorded on a learning contract.

### Support materials

The following resources are available for this qualification:

- Practice exam available both paper-based and on-screen



## 4 Assessment

### Summary of assessment methods

Candidates must:

- successfully complete one evolve test for the mandatory unit

Available assessments/assignments:

City & Guilds has written the following assessments to use with this qualification:

- Evolve tests

Assessment Types			
Unit	Title	Assessment method	Where to obtain assessment materials
407	Governance, Law, Regulation and Standards in Cyber Security	Multiple choice questions – online Evolve Test	Please see <a href="http://www.cityandguilds.com">www.cityandguilds.com</a>

### Assessment strategy

Test specifications

The way the knowledge is covered by each test is laid out in the table below:

**Assessment type:** Multiple choice online test

**Assessment conditions:** Invigilated examination conditions

**Number of questions:** 20

**Duration:** 30 minutes

**Pass mark:** 14/20 (70%)

**Grading:** Pass/Fail

Test: 407 **Governance**, Law, Regulation and Standards in Cyber Security

Learning Outcome	Topic	Number of questions	Weighting
1 Understand cyber security governance	1.1 The impact of poor cyber security governance	2	65%
	1.2 Components of cyber security governance	2	
	1.3 Roles and responsibilities	3	
	1.4 Policies	3	

	1.5 Certifications	3	
2 Understand the legal and regulatory framework	2.1 Key features	4	35%
	2.2 Standards	3	
<b>Total</b>		<b>20</b>	

### Recognition of prior learning (RPL)

Recognition of prior learning means using a person's previous experience or qualifications which have already been achieved to contribute to a new qualification.

RPL is not allowed for this qualification.

## 5 Administration

### Quality assurance

#### Internal quality assurance

Registered centres must have effective quality assurance systems to ensure optimum delivery and assessment of qualifications. Quality assurance includes initial centre registration by City & Guilds and the centre's own internal procedures for monitoring quality. Centres are responsible for internal quality assurance and City & Guilds is responsible for external quality assurance.

Standards and rigorous quality assurance are maintained by the use of:

- internal quality assurance
- City & Guilds external moderation

In order to carry out the quality assurance role, Internal Quality Assurers must have appropriate teaching and vocational knowledge and expertise.

### Access arrangements and special consideration

We have taken note of the provisions of equalities legislation in developing and administering this specification.

We follow the guidelines in the Joint Council for Qualifications (JCQ) document: Regulations and Guidance Relating to Candidates who are Eligible for Adjustments in Examination GCSE, GCE, GNVQ, AEA, Entry Level, Basic Skills & Key Skills Access Arrangements and Special Consideration. This is published on the JCQ website: [http://www.jcq.org.uk/access\\_arrangements/](http://www.jcq.org.uk/access_arrangements/)

#### Access arrangements

We can make arrangements so that learners with disabilities, special educational needs and temporary injuries can access the assessment. These arrangements must be made before the examination. For example, we can produce a Braille paper for a learner with visual impairment.

#### Special consideration

We can give special consideration to learners who have had a temporary illness, injury or indisposition at the time of the examination. Where we do this, it is given after the examination.

Applications for either access arrangements or special consideration should be submitted to City & Guilds by the Examinations Officer at the centre.

#### Language of examinations

We will provide this specification in English only.

## **Other issues**

### **European Dimension**

City & Guilds has taken account of the 1988 Resolution of the Council of the European Community in preparing this specification and associated specimen units.

### **Environmental Education**

City & Guilds has taken account of the 1988 Resolution of the Council of the European Community and the Report Environmental Responsibility: An Agenda for Further and Higher Education 1993 in preparing this specification and associated specimen units.

### **Avoidance of bias**

City & Guilds has taken great care in the preparation of this specification and specimen units to avoid bias of any kind.

## 6 Units

### Availability of units

The unit information can be found in this document.

### Structure of the units

These units each have the following:

- City & Guilds reference number
- Title
- Level
- Guided learning hours (GLH)
- Learning outcomes

Centres must deliver the full breadth of the range. Specialist equipment or commodities may not be available to all centres, so centres should ensure that their delivery covers their use.

## Unit 407 Governance, Law, Regulation and Standards

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Level:	4 Certificate
GLH:	60
TQT:	146

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### What is this unit about?

This unit will provide the learner with an understanding of the concepts and principles of cyber security governance and its importance to an organisation. They will explore cyber security management and the main roles with responsibility for cyber security inside organisations – and where accountability lies. It will provide the learner with an understanding of the specialist cyber security practitioners who are qualified to perform specific tasks in the world of cyber security, the main certifications and qualifications to look for in working with companies and individuals and the professional bodies of which they may be members.

This unit will provide the learner with knowledge of the main legal and regulatory instruments relevant to cyber security and the international standards recognised in this area – the legal ‘framework’ that underpins information security.

This unit is a mandatory unit for apprentices completing the ‘Risk Analyst’ pathway of the Level 4 Cyber Security Technologist apprenticeship.

This unit is assessed through a multiple-choice test, taken online.

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### Learning outcomes

In this unit, learners will be able to

1. Understand cyber security governance
2. Understand the legal and regulatory framework

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### Learning outcome

1. Understand cyber security governance

### Topics

- 1.1 The impact of poor cyber security governance
- 1.2 Components of cyber security governance
- 1.3 Roles and responsibilities
- 1.4 Policies
- 1.5 Certifications

### Depth

The learner will be able to describe why cyber and information security governance is important within an organisation, and the components, roles and responsibilities within an organisation.

### Topic 1.1

The learner will be able to describe the impact of poor cyber security governance, such as:

- Increase in likelihood of security incidence
- Poor security culture
- Lack of investment in security controls
- Breaches of legal and regulatory requirements:
  - Fines
  - Sanctions
- Reputational damage
- Lack of awareness of risk exposure

### Topic 1.2

The learner will be able to describe components of cyber security governance:

- Ownership at Board level
- Alignment of cyber security strategy with business strategy
- Delegated authority from Board:
  - Scope of authority
  - Escalation
  - Responsibility and accountability
  - Use of committees and steering groups
  - Reporting and management information
- Legal and regulatory compliance
- Culture (the responsibility for cyber security lies at all levels)
- Business continuity, disaster recovery and cyber resilience

### Topic 1.3

The learner will be able to explain the roles and responsibilities of:

- Accountable Executive
- Auditor (internal and external)
- Chief Information Security Officer (CISO)
- Data Protection Officer
- General staff member
- Penetration Tester
- Risk Owner
- Risk Analyst
- Risk Manager
- Security Operations Centre Analyst
- Security Analyst
- Security Architect
- Security Assurance
- Vulnerability Assessor

#### Topic 1.4

The learner will be able to explain how policies are defined, ownership, and management are implemented:

- Acceptable use (computer/internet)
- Access Control Policy
- Disclosure
- Data protection
- Security
- Disaster recovery
- Data retention
- Vulnerability management
- Privacy (informing staff they may be monitored (CCTV, email monitoring))
- Ethics
- Codes of conduct

#### Topic 1.5

The learner will be able to describe the organisations and applicable certifications, such as:

- BCS
  - Certificate of Information Security Management Principles (CISMP)
- CISCO
  - CCNA Security
- CompTIA
  - Security+
  - CySA+
  - CASP+
  - PenTest+
- CREST
  - Registered Penetration Tester
  - Certified Infrastructure Tester
  - Certified Web Application Tester
  - Certified Simulated Attack Specialist
  - Certified Simulated Attack Manager
  - Certified Threat Intelligence Manager
- (ISC)<sup>2</sup>
  - Certified Information Systems Security Professional (CISSP)
- ISACA
  - Certified Information Systems Auditor (CISA)
  - Certified Information Security Manager (CISM)
  - Certified in Risk and Information Systems Control (CRISC)
- Microsoft
  - MTA Security Fundamentals
  - Securing Windows Server 2016
- The National Cyber Security Centre (NCSC)
  - CESG Certified IA Professional (CCP) Scheme
  - CHECK certifications (Team Leader, Team Member)



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## Learning outcome

### 2. Understand the legal and regulatory framework

#### Topics

##### 2.1 Key features

##### 2.2 Standards

#### Depth

##### Topic 2.1

The learner will be able to explain the key features of the legal and regulatory framework and understand their implications including how each places responsibilities on an organisation and individuals. The learner will be able to describe the actions to take in the event of a security breach, the relevant legislation and regulations, and organisations which can support incidence response.

##### UK legislation:

- Computer Misuse Act
- Data Protection Act combined with the General Data Protection Regulation
- Human Rights Act
- Electronics Communications Act
- Official Secrets Act
- Regulation of Investigatory Powers Act (RIPA)
- Telecomms (Lawful Business Practice) (Interception of Communications) Regulation

##### International law:

- Digital Millennium Act

##### Topic 2.2

The learner will be able to explain the concepts and benefits of applying the ISO/IEC 27000 family of standards, such as:

- ISO/IEC 27001
- ISO/IEC 27002
- ISO/IEC 27005

## Supporting Information

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### Guidance for delivery

This unit is a mandatory unit for apprentices completing the 'Risk Analyst' pathway of the Level 4 Cyber Security Technologist apprenticeship. This unit 'dives deeper' into the governance and risk assessment concepts introduced in 3660-401 Cyber Security Introduction.

The expectation from the Apprenticeship standard is that apprentices understand 'at a deeper level' the introductory topics – so training providers should consider the pathways their apprentices on are completing and apply a joined up approach to the structure, pace and content of the learning. Opportunities to explore these concepts in the real-world environment in the apprentices workplace should be exploited as this help them to better understand how often abstract legal concepts apply to the fast-moving and sometimes volatile world of information and cyber security.

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### Suggested learning resources

#### Books

Information Risk Management – A practitioner's guide                      David Sutton  
Published by: BCS  
ISBN: 978-1-78017-265-1

The Open FAIT™ Body of Knowledge – A Pocket Guide: A Taxonomy and Method for Risk Analysis.  
Published by The Open Group. (2014)  
ISBN 978 94 018 0018

Threat Modelling: Designing for Security.                                      Adam Shostack  
Published by John Wiley & sons, Inc.  
ISBN 978-1118-80999-0

Enterprise Security Architecture A Business-Driven Approach.    Sherwood, Clark and Lynas.  
Published by CMP Books (2005)  
ISBN 978-1-57820-318-4.

Building Secure Software - How to Avoid Security Problems the Right Way.      John Viega and Gary McGraw.  
Published by Addison-Wesley (2001)  
ISBN 978-0321774958

Everyday Cryptography                                                              Keith M Martin.  
Published by Oxford University Press (2012)  
ISBN 978-0-19-969559-1

The Security Development Lifecycle: SDL: A Process for Developing Demonstrably More Secure Software  
(Developer Best Practices).                                                              Michael Howard, Steve Lipner.  
Microsoft Press  
ISBN 978-07356-2214-2

#### Websites

<https://www.bcs.org>  
<http://www.crest-approved.org>  
<https://www.iisp.org>  
<https://www.ncsc.gov.uk>  
<https://www.isc2.org/>

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<https://www.isaca.org>

<https://www.thecyberscheme.org/>

<https://www.tigerscheme.org/>

<https://www.cyberessentials.ncsc.gov.uk/>

<https://ico.org.uk/>

## 7 Sources of general information

The following documents contain essential information for centres delivering City & Guilds qualifications. They should be referred to in conjunction with this handbook. To download the documents and to find other useful documents, go to the Centres and Training Providers homepage on [www.cityandguilds.com](http://www.cityandguilds.com).

*Centre Manual - Supporting Customer Excellence* contains detailed information about the processes which must be followed and requirements which must be met for a centre to achieve 'approved centre' status, or to offer a particular qualification, as well as updates and good practice exemplars for City & Guilds assessment and policy issues.

Specifically, the document includes sections on:

- The centre and qualification approval process
- Assessment, internal quality assurance and examination roles at the centre
- Registration and certification of candidates
- Non-compliance
- Complaints and appeals
- Equal opportunities
- Data protection
- Management systems
- Maintaining records
- Assessment
- Internal quality assurance
- External quality assurance.

*Our Quality Assurance Requirements* encompasses all of the relevant requirements of key regulatory documents such as:

- SQA Awarding Body Criteria (2007)
- NVQ Code of Practice (2006)

and sets out the criteria that centres should adhere to pre and post centre and qualification approval.

*Access to Assessment & Qualifications* provides full details of the arrangements that may be made to facilitate access to assessments and qualifications for candidates who are eligible for adjustments in assessment.

The **centre homepage** section of the City & Guilds website also contains useful information on such things as:

- **Walled Garden:** how to register and certificate candidates on line
- **Events:** dates and information on the latest Centre events
- **Online assessment:** how to register for e-assessments.

*Centre Guide – Delivering International Qualifications* contains detailed information about the processes which must be followed and requirements which must be met for a centre to achieve 'approved centre' status, or to offer a particular qualification.

Specifically, the document includes sections on:

- The centre and qualification approval process and forms

- Assessment, verification and examination roles at the centre
- Registration and certification of candidates
- Non-compliance
- Complaints and appeals
- Equal opportunities
- Data protection
- Frequently asked questions.

### **Linking to this document from web pages**

We regularly update the name of documents on our website, therefore in order to prevent broken links we recommend that you link to our web page that the document resides upon, rather than linking to the document itself.

## 8 Useful contacts

### UK learners

General qualification information

E: [learnersupport@cityandguilds.com](mailto:learnersupport@cityandguilds.com)

### International learners

General qualification information

E: [intcg@cityandguilds.com](mailto:intcg@cityandguilds.com)

### Centres

Exam entries, Certificates, Registrations/enrolment, Invoices, Missing or late exam materials, Nominal roll reports, Results

E: [centresupport@cityandguilds.com](mailto:centresupport@cityandguilds.com)

### Single subject qualifications

Exam entries, Results, Certification, Missing or late exam materials, Incorrect exam papers, Forms request (BB, results entry), Exam date and time change

E: [singlesubjects@cityandguilds.com](mailto:singlesubjects@cityandguilds.com)

### International awards

Results, Entries, Enrolments, Invoices, Missing or late exam materials, Nominal roll reports

E: [intops@cityandguilds.com](mailto:intops@cityandguilds.com)

### Walled Garden

Re-issue of password or username, Technical problems, Entries, Results, e-assessment, Navigation, User/menu option, Problems

E: [walledgarden@cityandguilds.com](mailto:walledgarden@cityandguilds.com)

### Employer

Employer solutions including, Employer Recognition: Endorsement, Accreditation and Quality Mark, Consultancy, Mapping and Specialist Training Delivery

E: [business@cityandguilds.com](mailto:business@cityandguilds.com)

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## About City & Guilds

As the UK's leading vocational education organisation, City & Guilds is leading the talent revolution by inspiring people to unlock their potential and develop their skills. We offer over 500 qualifications across 28 industries through 8500 centres worldwide and award around two million certificates every year. City & Guilds is recognised and respected by employers across the world as a sign of quality and exceptional training.

## City & Guilds Group

The City & Guilds Group is a leader in global skills development. Our purpose is to help people and organisations to develop their skills for personal and economic growth. Made up of City & Guilds, City & Guilds Kineo, The Oxford Group and ILM, we work with education providers, businesses and governments in over 100 countries.

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