



# SENIOR COMPLIANCE AND RISK SPECIALIST

## Key information

**Reference:** ST0363

**Version:** 1.1

**Level:** 6

**Degree:** non-degree qualification

**Typical duration to gateway:** 36 months

**Typical EPA period:** 5 months

**Maximum funding:** £23000

**Route:** Legal, finance and accounting

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**Lars code:** 144

**EQA provider:** Ofqual

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# End-point assessment plan

V1.1

## Introduction and overview

This document explains the requirements for end-point assessment (EPA) for the senior compliance and risk specialist apprenticeship. End-point assessment organisations (EPAOs) must follow this when designing and delivering the EPA.

Senior compliance and risk specialist apprentices, their employers and training providers should read this document.

An approved EPAO must conduct the EPA for this apprenticeship. Employers must select an approved EPAO from the Education and Skills Funding Agency's Register of end-point assessment organisations (RoEPAO).

A full-time apprentice typically spends 36 months on-programme (this means in training before the gateway) working towards competence as a senior compliance and risk specialist. All apprentices must spend at least 12 months on-programme. All apprentices must complete the required amount of off-the-job training specified by the apprenticeship funding rules.

This EPA has 2 assessment methods.

The grades available for each assessment method are:

Assessment method 1 - professional discussion:

- fail
- pass
- distinction

Assessment method 2 - project report, presentation and questions:

- fail
- pass
- distinction

The result from each assessment method is combined to decide the overall apprenticeship grade. The following grades are available for the apprenticeship:

- fail
- pass
- merit

- distinction

## **EPA summary table**

<p><b>On-programme</b> <b>(typically 36 months)</b></p>	<p>The apprentice must complete training to develop the knowledge, skills and behaviours (KSBs) of the occupational standard.</p> <p>The apprentice must complete training towards English and maths qualifications in line with the apprenticeship funding rules.</p> <p>The apprentice must complete training towards one other qualification listed in the occupational standard.</p> <p>The qualification required is one from the following:</p> <p>CISI Diploma in Investment Compliance</p> <p>IRM International Certificate in Enterprise Risk Management</p> <p>IRM International Certificate in Financial Services Risk Management</p> <p>IRM International Diploma in Risk Management</p> <p>CBI Certificate in Climate Risk</p> <p>ICA International Diploma in Governance, Risk and Compliance</p> <p>ICA International Diploma in Financial Crime Prevention</p> <p>ICA International Diploma in Anti Money Laundering</p> <p>ICA International Diploma in Managing Sanctions Risk</p> <p>CICM Level 5 Diploma in Credit and Collections MCICM (Grad)</p> <p>For the professional discussion, the apprentice must compile a portfolio of evidence.</p> <p>For the report, presentation and questions, the apprentice must complete a project, on programme, in the last 6 months before gateway.</p>
<p><b>End-point</b> <b>assessment gateway</b></p>	<p>The employer must be content that the apprentice is working at or above the occupational standard.</p> <p>The apprentice's employer must confirm that they think the apprentice:</p>

- is working at or above the occupational standard as a senior compliance and risk specialist
- has the evidence required to pass the gateway and is ready to take the EPA

The apprentice must have passed one of the mandated qualifications listed in the senior compliance and risk specialist occupational standard ST0363.

CISI Diploma in Investment Compliance

IRM International Certificate in Enterprise Risk Management

IRM International Certificate in Financial Services Risk Management

IRM International Diploma in Risk Management

CBI Certificate in Climate Risk

ICA International Diploma in Governance, Risk and Compliance

ICA International Diploma in Financial Crime Prevention

ICA International Diploma in Anti Money Laundering

ICA International Diploma in Managing Sanctions Risk

CICM Level 5 Diploma in Credit and Collections MCICM (Grad)

The apprentice must have achieved English and maths qualifications in line with the apprenticeship funding rules.

For the professional discussion the apprentice must submit a portfolio of evidence.

For the project report, presentation and questions, the apprentice must submit a portfolio of evidence or work (a project) which has original and strategic impact and a maximum 300 word statement to give context to the evidence submitted so that the EPAO can set the title and scope for the project report. project requirements: The project must be sufficient in scope to ensure it allows the apprentice to meet the KSBs and mapped to this assessment method to the highest available grade. The EPAO will decide a suitable project report scope and title from the portfolio of evidence the apprentice has submitted. The employer and apprentice will not be involved in the decision.

	<p>The apprentice must submit any policies and procedures as requested by the EPAO.</p>
<p><b>End-point assessment</b> (typically 5 months)</p>	<p><b>Grades available for each assessment method:</b></p> <p>Professional discussion</p> <ul style="list-style-type: none"> <li>• fail</li> <li>• pass</li> <li>• distinction</li> </ul> <p>Project report, presentation and questions</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>• merit</li> <li>• distinction</li> </ul>
<p><b>Professional recognition</b></p>	<p>This apprenticeship aligns with The Chartered Institute for Securities and Investment (CISI) qualification. Successful completion of this qualification will give access to full membership of the Institute and MCSI designatory letters.</p> <p>This apprenticeship aligns with The Institute of Risk Management qualifications. Successful completion of a qualification would give recognition as a Certified Member (IRMCert) when completing the certificate qualifications and Graduate Member (GradIRM) when completing the diploma.</p> <p>This apprenticeship aligns with The Chartered Banker Institute qualification. An apprentice successfully completing the qualification would be eligible for recognition as a Certified Member (CCBI) and be able to use the professional designation 'CRP' (Climate Risk Professional).</p>

	<p>This apprenticeship aligns with The International Compliance Association qualifications. Successful completion of a qualification will give access to full professional membership of the ICA and permit the use of the MICA designatory letters.</p> <p>This apprenticeship aligns with The Chartered Institute of Credit Management qualification. An apprentice successfully completing this qualification would be eligible for Graduate Membership MCICM(Grad).</p>
<p><b>Re-sits and re-takes</b></p>	<ul style="list-style-type: none"> <li>• Re-take and re-sit grade cap: pass</li> <li>• Re-sit timeframe: typically 3 months</li> <li>• Re-take timeframe: typically 4 months</li> </ul>

## Duration of end-point assessment period

The EPA is taken in the EPA period. The EPA period starts when the EPAO confirms the gateway requirements have been met and is typically up to 5 months.

The expectation is that the EPAO will confirm the gateway requirements have been met and the EPA starts as quickly as possible.

## EPA gateway

The apprentice's employer must confirm that they think their apprentice is working at or above the occupational standard. The apprentice will then enter the gateway. The employer may take advice from the apprentice's training provider(s), but the employer must make the decision.

The apprentice must meet the gateway requirements before starting their EPA.

These are:

- achieved English and maths qualifications in line with the apprenticeship funding rules.
- achieved **ONE** of the following mandated qualifications:
  - achieved CISI Diploma in Investment Compliance
  - achieved IRM International Certificate in Enterprise Risk Management
  - achieved IRM International Certificate in Financial Services Risk Management
  - achieved IRM International Diploma in Risk Management
  - achieved CBI Certificate in Climate Risk

- achieved ICA International Diploma in Governance, Risk and Compliance
- achieved ICA International Diploma in Financial Crime Prevention
- achieved ICA International Diploma in Anti Money Laundering
- achieved ICA International Diploma in Managing Sanctions Risk
- achieved CICM Level 5 Diploma in Credit and Collections MCICM (Grad)

### **Portfolio of evidence requirements:**

**Professional discussion:** Apprentices must compile a portfolio of evidence during the on-programme period of the apprenticeship. It should only contain evidence related to the KSBs that will be assessed by this assessment method. It will typically contain 15 discrete pieces of evidence. Evidence must be mapped against the KSBs. EPAOs should provide mapping documents for the apprentice to complete prior to submission.

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 and records, for example:

- workplace policies and procedures
- feedback from line managers or other stakeholders
- reports, plans, presentations, spreadsheets
- witness statements
- annotated images or photographs
- video clips; the apprentice must be in view and identifiable

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

The portfolio of evidence should not include reflective accounts or any methods of self-assessment. Any employer contributions should focus on direct observation of performance (for example, witness statements) rather than opinions. The evidence provided should be valid and attributable to the apprentice; the portfolio of evidence should contain a statement from the employer and apprentice confirming this.

The EPAO should not assess the portfolio of evidence directly as it underpins the discussion . The independent assessor should review the portfolio of evidence to prepare questions for the discussion . They are not required to provide feedback after reviewing the portfolio..

Once the apprentice has submitted the professional discussion portfolio, the EPAO will review the portfolio within 2 weeks. The EPAO will communicate with the apprentice and employer to decide on a date for the professional discussion. Typically any time within the 5 month EPA period.



**Project report, presentation and questions:** The employer and the apprentice must confirm that the apprentice has completed the work themselves.

Apprentices must compile a project during the on-programme period of the apprenticeship, specifically within the last 6 months prior to gateway. It should contain evidence related to the KSBs that will be assessed by this assessment method. The portfolio of evidence will typically contain evidence of 1-2 projects. Evidence should be mapped against the KSBs. The apprentice should also provide a maximum 300-word context summary outlining the project(s).

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, for example:

- workplace policies/procedures, records
- witness statements/meeting notes
- feedback from line managers or other stakeholders
- annotated images or photographs
- project evidence: reports, project data, project plans, presentations, spreadsheets
- annotated images or photographs
- video clips; the apprentice must be in view and identifiable

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

The portfolio should not include reflective accounts or any methods of self-assessment. Any employer contributions should focus on direct observation of performance (for example witness statements) rather than opinions. The evidence provided should be valid and attributable to the apprentice; the portfolio of evidence should contain a statement from the employer and apprentice confirming this.

The EPAO should not assess the portfolio of evidence directly as it underpins the question stage of the presentation. The independent assessor should review the portfolio of evidence to prepare questions. They are not required to provide feedback after reviewing the portfolio.

The project may be based on any of the following:

- a specific problem
- a recurring issue
- an idea or opportunity

The project may also be based on:

- The need to review and agree a change plan to improve a specific problem in the workplace

- The continuous improvement review of a current process, service or product to ensure it is fit for purpose and meets the current needs of the business
- The planning and design of a project that has a strategic relevance and the potential to add value to the organisation

Once the apprentice has submitted the project(s) portfolio, the EPAO will review the portfolio within 2 weeks to enable a decision on a suitable project report scope and title. The EPAO will communicate the scope and title to the apprentice within 1 week of the review. The employer and apprentice are not involved in the decision on the project report, scope and title.

The EPA period starts when the EPAO confirms all gateway requirements have been met. The EPAO must complete this within 15 working days.

The apprentice must submit any policies and procedures as requested by the EPAO.

## Order of assessment methods

Assessment methods 1 and 2 can be delivered in any order or concurrently. However, the assessment components in assessment method 2 cannot be delivered in any order. The project report must be completed and written prior to the presentation and questions.

The rationale for this is that the presentation must be based on the content of the project report. The presentation will enable the apprentice to present their findings within the report and also give the assessor the opportunity to assess any of the KSBs which have not been captured within the report. The presentation will also give the assessor the opportunity to verify that the report is the work of the apprentice.

## Professional discussion

### Overview

In the discussion, an independent assessor and apprentice have a formal two-way conversation.

The apprentice can refer to and illustrate their answers with evidence from their portfolio of evidence. It gives the apprentice the opportunity to demonstrate their competency across the KSBs mapped to this EPA method.

### Rationale

This assessment method is being used because:

- it allows the apprentice to be assessed against KSBs that may not naturally occur during other assessment methods
- it allows scope for the apprentice to demonstrate the depth and breadth of KSBs, allowing for a distinction
- it allows for the assessment of a disparate set of KSBs
- it can be conducted remotely, potentially reducing cost

- the use of a portfolio allows the apprentice to underpin their responses with evidence

## Delivery

The professional discussion must be structured to give the apprentice the opportunity to demonstrate the KSBs mapped to this assessment method to the highest available grade.

The independent assessor conducts and assesses the professional discussion.

The purpose of the independent assessor's questions will be to assess the apprentice on the following themes:

- Risk and Regulation Frameworks
- Products and Customers
- IT and Digital / systems and processes
- Audit Knowledge
- Green Finance and Sustainability
- Strategy and Planning

The EPAO must give an apprentice at least 3 weeks notice of the professional discussion.

The independent assessor must have at least 2 week(s) to review the supporting documentation. The apprentice must have access to their portfolio of evidence during the professional discussion.

The apprentice can refer to and illustrate their answers with evidence from their portfolio of evidence, however the portfolio of evidence is not directly assessed.

The professional discussion must last for 90 minutes. The independent assessor can increase the time of the professional discussion by up to 10%. This time is to allow the apprentice to answer the final question completely.

For the professional discussion, the independent assessor must ask at least 10 questions. Follow-up questions are allowed. The independent assessor must use the questions from the EPAO's question bank or create their own questions in-line with the EPAO's training. The professional discussion must allow the apprentice the opportunity to demonstrate the KSBs mapped to this assessment method at the highest possible grade.

The independent assessor must keep accurate records of the assessment. The records must include the KSBs met, the grade achieved and answers to questions.

The independent assessor will make all grading decisions.

## Assessment location

The professional discussion must take place in a suitable venue selected by the EPAO (for example the EPAO's or employer's premises).

The professional discussion can be conducted by video conferencing. The EPAO must have processes in place to verify the identity of the apprentice and ensure the apprentice is not being aided.

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

## Question and resource development

The EPAO must write an assessment specification and question bank. The specification must be relevant to the occupation and demonstrate how to assess the KSBs shown in the mapping. It is recommended this is done in consultation with employers of this occupation. The EPAO should maintain the security and confidentiality of EPA materials when consulting employers. The questions must be unpredictable. A question bank of sufficient size will support this. The assessment specification and questions must be reviewed at least once a year to ensure they remain fit-for-purpose.

The EPAO must develop purpose-built question banks and ensure that appropriate quality assurance procedures are in place, for example, considering standardisation, training and moderation. The EPAO must ensure that questions are refined and developed to a high standard.

The EPAO must ensure that the apprentice has a different set of questions in the case of re-sits or re-takes.

The EPAO must produce the following materials to support the professional discussion:

- Independent assessor assessment materials which include:
  - training materials
  - administration materials
  - moderation and standardisation materials
  - guidance materials
  - grading guidance
  - question bank
- EPA guidance for the apprentice and the employer

## Project report, presentation and questions

### Overview

The report involves the apprentice completing a written report based on a significant and defined project that has a real business application and benefit. The project must be completed on-programme in the last 6 months prior to gateway, and is not assessed. The report must then be written during the EPA period and will be assessed.

The project report, presentation and questions must be structured to give the apprentice the opportunity to demonstrate the KSBs mapped to this assessment method to the highest available

grade. The EPAO must refer to the grading descriptors to ensure that the report is pitched appropriately

This assessment method includes 2 components:

- Project Report
- presentation with questions and answers

The project report and any components must be assessed holistically by the independent assessor when they are deciding the grade for this assessment method.

The purpose of the independent assessor's questions will be to assess the apprentice on the following themes:

- Industry and company understanding / Analysis and problem solving
- Communicating and Influencing
- Stakeholder Management
- Continuous Improvement

## Rationale

This assessment method is being used because:

- The report is designed to demonstrate the application of knowledge, skills and behaviours as they would occur in occupational practice. Producing a report reflects normal practice in the workplace for people working in this occupation and at this level, so this assessment method is appropriate. The project itself is not assessed.
- It is a significant and relevant piece of work that thoroughly tests both higher and lower order knowledge, skills and behaviours.
- This piece of work should have a real business benefit and is therefore a cost-effective assessment method

## Component 1: Project report Delivery

The project report, presentation and questions must be structured to give the apprentice the opportunity to demonstrate the KSBs mapped to this assessment method to the highest available grade.

The apprentice must complete a project in the last 6 months of the apprenticeship before entering gateway. The project may be based on any of the following:

- a specific problem
- a recurring issue
- an idea or opportunity.

This piece of work may also be based on:

- The need to review and agree a change plan to improve a specific problem in the workplace.
- The continuous improvement review of a current process, service or product to ensure it is fit for purpose and meets the current needs of the business
- The planning and design of a project that has a strategic relevance and the potential to add value to the organisation.

The project report must be completed during the EPA period and will be based on the project completed pre-gateway. The project will not be assessed, however the project report will be assessed.

To ensure the report allows the apprentice to meet the KSBs mapped to this assessment method to the highest available grade, the EPAO should decide the project report title and scope at gateway to ensure it is suitable.

The apprentice can only start the project report after the gateway. They must complete and submit the report to the EPAO within 8 weeks of receiving confirmation of the report title from the EPAO. The employer should ensure the apprentice has the time and resources within this period, to plan and complete their project report. The project report and content should be completed unaided.

The apprentice may work as part of a team which could include technical internal or external support. However, the project report must be the apprentice's own work and will be reflective of their own role and contribution. The apprentice and their employer must confirm that the project report is the apprentice's own work when it is submitted.

The report must include at least:

In order to ensure the report is robust and sufficiently covers the KSBs, the report should include, at least:

- An executive summary
- An introduction
- The scope of the project
- Objectives of the project (including key performance indicators)
- How the project outcomes were achieved
- Outcome/Results

The project report has a maximum word count of 3500 words. A tolerance of 10% above the word count is allowed at the apprentice's discretion. Appendices, references and diagrams are not included in this total. An appendix must be included showing how the project report maps to the KSBs that are being assessed by this method.

Should an apprentice fail component 1, the apprentice will need to re-take component 1 before progressing to component 2.

## **Component 2: Presentation with questions**



## Delivery

In the presentation with questions the apprentice delivers a presentation to an independent assessor based on the report and critically evaluates their outcomes and results. The independent assessor must ask questions following the presentation. This gives the apprentice the opportunity to demonstrate the KSBs mapped to this assessment method.

The purpose of the questions is:

- for clarification
- to assess the depth and breadth of understanding
- to attest that the project report is the apprentice's own work
- to assess any KSBs which are not evident in the project report

The presentation will provide an overview and salient points of the apprentice's report with the opportunity for questions and answers presentation with questions and answers. The independent assessor must ask questions after the presentation. All presentations must include at least:

- an overview of the project report
- the scope of the project report (including key performance indicators)
- summary of actions undertaken by the apprentice
- outcomes and how these were achieved.

The apprentice must prepare and submit their presentation to the EPAO at the same time as the apprentice submits the project report.

The apprentice must notify the EPAO, at the submission of the presentation, of any technical requirements for the presentation. For the presentation, the apprentice will have access to:

- Audio-visual presentation equipment
- Flip chart and writing and drawing materials
- Computer
- Any other requirements as previously notified to the EPAO

The independent assessor must have at least 2 weeks to mark the report to allow the independent assessor to prepare questions.

The EPAO must give the apprentices at least 1 week(s) notice of the date and time of the presentation with questions.

The apprentice must deliver their presentation to the independent assessor on a one-to-one basis

The independent assessor must ask questions after the presentation.

The presentation and questions must last 60 minutes. This will typically include a presentation of 20 minutes and questioning lasting 40 minutes. The independent assessor can increase the total time of the presentation and questioning by up to 10%. This time is to allow the apprentice to complete their last point or respond to a question if necessary.

The independent assessor must ask at least 8 questions. They must use the questions from the EPAO's question bank or create their own questions in-line with the EPAO's training. Follow up questions are allowed where clarification is required.

The independent assessor must use the full time available for questioning. There is equal weighting between the presentation and questioning components.

## Assessment location

The presentation with questions must take place in a suitable venue selected by the EPAO (for example the EPAO's or employer's premises). The presentation with questions should take place in a quiet room, free from distractions and influence.

The presentation with questioning can be conducted by video conferencing. 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

The EPAO must write an assessment specification and question bank. The specification must be relevant to the occupation and demonstrate how to assess the KSBs mapped to this assessment method. It is recommended this is done in consultation with employers of this occupation. EPAOs should maintain the security and confidentiality of EPA materials when consulting employers. The questions must be unpredictable. A question bank of sufficient size will support this. The assessment specification and questions must be reviewed at least once a year by the EPAO to ensure they remain fit-for-purpose.

The EPAO must develop purpose-built question banks and ensure that appropriate quality assurance procedures are in place, for example, considering standardisation, training and moderation. EPAOs must ensure that questions are refined and developed to a high standard.

The EPAO must ensure that apprentice has a different set of questions in the case of re-sits or re-takes.

EPAO must produce the following materials to support the project report, presentation and questions:

- independent assessor EPA materials which include:
  - training materials
  - administration materials
  - moderation and standardisation materials
  - guidance materials



- grading guidance
- question bank
- EPA guidance for the apprentice and the employer

## **Grading**

### **Professional discussion**

Fail - does not meet pass criteria

THEME KSBS	PASS APPRENTICES MUST DEMONSTRATE ALL OF THE PASS DESCRIPTORS	DISTINCTION APPRENTICES MUST DEMONSTRATE ALL OF THE PASS DESCRIPTORS AND ALL OF THE DISTINCTION DESCRIPTORS
Risk and regulation frameworks K1 K2 K3 K5 K7 S3 S8	<p>Articulates the role of the industry regulators, their inter-relationships and objectives and the impact on the apprentice's organisation. K2, K3</p> <p>Critically analyses how the features and principles of the industry legal and regulatory framework have evolved over time, leading to the current role of their organisation plays in the wellbeing of society K1, K5</p> <p>Analyses the extent to which professional standards and methods of working are applied within the organisation. Co-ordinates and manages work and documentation to meet legal, regulatory and company deadlines in line with industry professional standards and best practice'. K7, S3, S8</p>	Critically analyses the degree to which the organisation's documentation aligns to professional standards and best practice. K7, S3, S8
Products and customers K9 K10 K11 S4 S12 B4	<p>Analyses customer segmentation and needs to determine whether it meets legal, regulatory, process and/or organisational policy requirements. K9, S4</p> <p>Articulates the risks to clients of the organisation's products and services and applies policies and processes to ensure fair customer outcomes, manages conflict to produce win:win outcomes in line with the ethical code of conduct for the sector/organisation. K10, K11, S12, B4</p>	Critically analyses the degree to which organisational, legal and regulatory policies and processes ensure fair customer outcomes. K10, S4
IT and digital /systems and	Applies data protection legislation and organisational policy to handle	Analyses the risk to the organisation's data from cybercrime K18, S19

processes K16 K18 S19	data safely and securely when sharing and storing information mitigating the risks from cybercrime K16, K18, S19	
Audits K4 K17	Articulates internal and external audit requirements and the responsibilities of all parties to the audit. Outlines the implications to the organisation of audit findings of non-compliance K4, K17	N/A
Green finance and sustainability K19 K20	Evaluates the manageability of environment and sustainability risks relative to compliance and risk. Outlines the role key stakeholders play in sustainable finance and how it is incorporated into risk/compliance frameworks. K19, K20	N/A
Strategy and planning K14 S1 S15 B6	Applies the principles of strategic planning to solve problems faced by customers which lead to changes and/or overcome challenges, in line with organisational policies and procedures K14, S1, S15, B6	Critiques actions taken to solve customer problems and justifies changes to organisational policies and procedures K14, S1, B6

## Project report, presentation and questions

Fail - does not meet pass criteria

THEME KSBS	PASS APPRENTICES MUST DEMONSTRATE ALL OF THE PASS DESCRIPTORS	DISTINCTION APPRENTICES MUST DEMONSTRATE ALL OF THE PASS DESCRIPTORS AND ALL OF THE DISTINCTION DESCRIPTORS
Industry and company understanding / analysis and problem solving <a href="#">K6 S5</a>	Analyses competitor activity and political, social and environmental factors which change organisational risk appetite to reach conclusions and make recommendations as to how they might be mitigated <a href="#">K6, S5</a>	N/A
Communication and influencing <a href="#">K13 S2 S6 S7 S9 S13 S17 B3 B7</a>	<p>Applies communication skills adapting to the audience and outputs required, collaborates with others and promotes teamwork in line with the organisational policies on working with others, equality and inclusivity <a href="#">K13 S6, S7, B7</a></p> <p>Justifies the use of digital tools for project research, analysis and data presentation and to build reports specific to the audience <a href="#">S2, S17</a></p> <p>Evaluates how their leadership in the project challenges and influences managers and colleagues on a course of action in order to achieve outcomes <a href="#">S9, S13, B3</a></p>	<p>Justifies their selection and application of communication styles and why others were not suitable <a href="#">K13, S6</a></p> <p>Evaluates the use of digital tools to build reports and the extent to which they meet audience requirements <a href="#">S2, S17</a></p>
Stakeholder management <a href="#">K8 K12 S10 S11 B1 B5</a>	<p>Outlines the purpose of their team or departments and any other teams or organisations the project aligns with which enables building and maintaining of stakeholder relationships and expectations <a href="#">K8, K12 S10</a></p> <p>Justifies the methods used in the project to build trust and achieve results with co-workers based on their own decisions, in line with the</p>	Evaluates the approach they took in building trust with colleagues and how this influenced achieving the desired course of action <a href="#">K12, S8, S10</a>

	organisational policies and guidelines on honesty, integrity and confidentiality S11, B1, B5	
Continuous improvement K15 S14 S16 S18 B2	Articulates the principles of continuous improvement and how they apply continued learning to deliver improved outcomes. Uses external network opportunities to take ownership of their own development needs to maintain own knowledge and assist colleagues' development of K15, S14, S16, S18, B2	N/A

## Overall EPA grading

The assessment methods contribute equally to the overall EPA pass grade.

Performance in the EPA will determine the apprenticeship grade of:

- fail
- pass
- merit
- distinction

Independent assessors must individually grade the: professional discussion, project report and presentation and questions according to the requirements set out in this EPA plan.

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

An apprentice who fails one or more assessment method will be awarded an overall EPA fail.

An apprentice must achieve at least a pass in all the assessment methods to get an overall pass. To achieve an overall EPA 'pass', the apprentice must achieve a pass in both assessment methods. To achieve an overall EPA 'merit,' the apprentice must achieve a pass in one of the assessment methods and a distinction in the other. To achieve an overall EPA 'distinction', apprentices must achieve a distinction in both assessment methods

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

PROFESSIONAL DISCUSSION	PROJECT REPORT, PRESENTATION AND QUESTIONS	OVERALL GRADING
Fail	Fail	Fail
Any grade	Fail	Fail
Fail	Any grade	Fail
Pass	Pass	Pass
Pass	Distinction	Merit
Distinction	Pass	Merit
Distinction	Distinction	Distinction

## Re-sits and re-takes

An apprentice who fails one or more assessment method(s) can take a re-sit or a re-take at their employer's discretion. The apprentice's employer needs to agree that a re-sit or re-take is appropriate. A re-sit does not need further learning, whereas a re-take does.

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

The employer and EPAO agree the timescale for a re-sit or re-take. 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 4 months of the EPA outcome notification.

Failed assessment methods must be re-sat or re-taken within a 6-month period from the EPA outcome notification, otherwise the entire EPA will need to be re-sat or re-taken in full.

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

An apprentice will get a maximum EPA grade of pass for a re-sit or re-take, unless the EPAO determines there are exceptional circumstances.

## Roles and responsibilities

ROLES	RESPONSIBILITIES
Apprentice	<p>As a minimum, the apprentice should:</p> <ul style="list-style-type: none"> <li>• participate in and complete on-programme training to meet the KSBs as outlined in the occupational standard for a minimum of 12 months</li> <li>• complete the required amount of off-the-job training specified by the apprenticeship funding rules and as arranged by the employer and training provider</li> <li>• understand the purpose and importance of EPA</li> <li>• meet the gateway requirements</li> <li>• undertake the EPA</li> </ul>
Employer	<p>As a minimum, the apprentice's employer must:</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 off-the-job training to be undertaken by the apprentice</li> <li>• decide when the apprentice is working at or above the occupational standard and is ready for EPA</li> <li>• ensure that supporting evidence required at the gateway is submitted in line with this EPA plan</li> <li>• liaise with the training provider and EPAO to ensure the EPA is booked in a timely manner</li> </ul> <p>Post-gateway, the employer must:</p> <ul style="list-style-type: none"> <li>• confirm arrangements with the 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 allows the opportunity for the apprentice to be assessed against the KSBs</li> <li>• remain independent from the delivery of the EPA</li> </ul>

	<ul style="list-style-type: none"> <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 regular basis</li> <li>• pass the certificate to the apprentice upon receipt from the EPAO</li> </ul>
EPAO	<p>As a minimum, the EPAO must:</p> <ul style="list-style-type: none"> <li>• conform to the requirements of this EPA plan and deliver its requirements in a timely manner</li> <li>• conform to the requirements of the register of end-point assessment organisations (RoEPAO)</li> <li>• conform to the requirements of the external quality assurance provider (EQAP) for this apprenticeship</li> <li>• understand the occupational standard</li> <li>• make the EPA contractual arrangements, including agreeing the price of the EPA</li> <li>• develop and produce assessment materials as detailed for each assessment method in this EPA plan</li> <li>• appoint qualified and competent independent assessors in line with the requirements of this EPA plan to conduct assessments and oversee their working</li> <li>• appoint administrators (and invigilators where required) to administer the EPA</li> <li>• provide training for independent assessors in terms of good assessment practice, operating the assessment tools and grading</li> <li>• provide information, advice, guidance and documentation to enable apprentices, employers and training providers to prepare for the EPA</li> <li>• confirm all gateway requirements have been met as quickly as possible</li> <li>• arrange for the EPA to take place, in consultation with the employer</li> <li>• ensure that the apprentice has access to the required resources and liaise with the employer to agree this if necessary, where the apprentice is not assessed in the workplace</li> <li>• develop and provide assessment recording documentation to ensure a clear and auditable process is in place for providing</li> </ul>



	<p>assessment decisions and feedback to stakeholders</p> <ul style="list-style-type: none"> <li>• have no direct connection with the apprentice, their employer or training provider in all instances; there must be no conflict of interest</li> <li>• have policies and procedures for internal quality assurance (IQA), and maintain records of IQA activity 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 for an independent assessor before they conduct an EPA for the first time, if the EPA is updated and periodically (a minimum of annually)</li> <li>• manage invigilation of the apprentice to maintain security of the assessment in line with the EPAO's malpractice policy</li> <li>• verify the identity of the apprentice</li> <li>• use language in the development and delivery of the EPA that is appropriate to the level of the occupational standard</li> </ul>
Independent assessor	<p>As a minimum, an independent assessor must:</p> <ul style="list-style-type: none"> <li>• have the competence to assess the apprentice at the level of this apprenticeship and hold any required qualifications and experience in line with the requirements of the independent assessor as detailed in the IQA section of 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 occupation</li> <li>• deliver the end-point assessment in-line with this 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; there must be no conflict of interest</li> <li>• attend induction training</li> <li>• attend standardisation events when they start working for the EPAO, before they conduct an EPA for the first time and a minimum of annually for this apprenticeship</li> <li>• assess each assessment method, as determined by the EPA plan</li> </ul>

	<ul style="list-style-type: none"> <li>• assess the KSBs assigned to each assessment method, as shown in the mapping of KSBs to assessment methods in this EPA plan</li> <li>• make the grading decisions</li> <li>• record and report assessment outcome decisions, for each apprentice, following instructions and using assessment recording documentation provided by the 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>
Training provider	<p>As a minimum, the training provider must:</p> <ul style="list-style-type: none"> <li>• work with the employer and support the apprentice during the off-the-job training to provide the opportunities to develop the KSBs as listed in the occupational standard</li> <li>• conduct training covering the KSBs agreed as part of the Commitment Statement or the Individual Learning Plan</li> <li>• monitor the apprentice's progress during any training provider led on-programme learning</li> <li>• advise the employer, upon request, on the apprentice's readiness for EPA</li> <li>• remain independent from the delivery of the EPA</li> </ul>

## Reasonable adjustments

The EPAO must have reasonable adjustments arrangements for the EPA.

This should include:

- how an apprentice qualifies for reasonable adjustment
- what reasonable adjustments may be made

Adjustments must maintain the validity, reliability and integrity of the EPA as outlined in this EPA plan.

## Internal quality assurance

Internal quality assurance refers to how the EPAO ensures valid, consistent and reliable EPA decisions. The EPAO must adhere to the requirements within the roles and responsibilities section and:

- have effective and rigorous quality assurance systems and procedures that ensure fair, reliable and consistent EPA regardless of employer, place, time or independent assessor
- appoint independent assessors who are competent to deliver the EPA and who:
  - have recent relevant experience of the occupation or sector to at least occupational level 2 gained in the last 3 years or significant experience of the occupation or sector
- operate induction training for anyone involved in the delivery or assessment of the EPA
- provide training for independent assessors in good assessment practice, operating the assessment tools and making grading decisions
- provide ongoing training for markers and invigilators
- provide standardisation activity for 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 EPA decisions and grades
- conduct appeals where required, according to the EPAO's appeals procedure, reviewing and making final decisions on EPA decisions and grades
- have no direct connection with the apprentice, their employer or training provider; in HEI.

## Value for money

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

- utilising digital remote platforms to conduct applicable assessment methods
- using the employer's premises
- conducting assessment methods on the same day

## Professional recognition

This apprenticeship aligns with The Chartered Institute for Securities and Investment (CISI) qualification. Successful completion of this qualification will give access to full membership of the Institute and MCSI designatory letters.

This apprenticeship aligns with The Institute of Risk Management qualifications. Successful completion of a qualification would give recognition as a Certificate Member (IRMCert) when completing the Certificate qualifications and Graduate Member (GradIRM) when completing the Diploma.

This apprenticeship aligns with The Chartered Banking Institute qualification. An apprentice successfully completing the qualification would be eligible for recognition as a Certified Member (CCBI) and would be able to use the professional designation 'CRP' (Climate Risk Professional).

The apprenticeship aligns with The International Compliance Association qualifications. Successful completion of a qualification will give access to full professional membership of the ICA and permit the use of the MICA designatory letters.

This apprenticeship aligns with The Chartered Institute of Credit Management qualification. An apprentice successfully completing this qualification would be eligible for Graduate Membership MCICM(Grad).

## **Mapping of KSBs to assessment methods**

KNOWLEDGE	ASSESSMENT METHODS
<b>K1</b> The features and principles of the legal and regulatory framework in their industry.	Professional discussion
<b>K2</b> The role of regulators in their industry, their objectives and primary functions.	Professional discussion
<b>K3</b> The inter-relationships between different regulators and their organisation.	Professional discussion
<b>K4</b> The implications of non-compliance on the organisation.	Professional discussion
<b>K5</b> The history of the industry and the role their organisation plays in the wellbeing of society.	Professional discussion
<b>K6</b> Factors that can change risk appetite in an organisation including competitor activity, political, social and environmental factors and how these can be mitigated.	Project report, presentation and questions
<b>K7</b> Professional standards and best practice and how these are applied.	Professional discussion
<b>K8</b> The role of their team or department, the different teams and organisations they work with and how they support them.	Project report, presentation and questions
<b>K9</b> Approaches to identify customer segments and needs.	Professional discussion
<b>K10</b> The policies and processes in place to ensure fair customer outcomes.	Professional discussion
<b>K11</b>	Professional discussion

Financial and compliance risks within the organisation's products and services available to customers.	
<b>K12</b> The principles of excellent stakeholder management relative to their role.	Project report, presentation and questions
<b>K13</b> The principles of communication techniques such as, active listening, team communications, business storytelling, negotiation techniques, conflict management and, diversity, equality and inclusivity considerations.	Project report, presentation and questions
<b>K14</b> The features and principles of strategic planning relative to their role.	Professional discussion
<b>K15</b> Continuous improvement principles and techniques relative to their role.	Project report, presentation and questions
<b>K16</b> The systems, tools and processes required in the role such as the impact of technology on risk management, cyber security, AI, blockchain, digital tools.	Professional discussion
<b>K17</b> Internal and external audit requirements and the responsibilities of the auditor and auditee.	Professional discussion
<b>K18</b> The impact of data protection legislation and the processes for sharing and storing information safely and securely including risks to data from cybercrime.	Professional discussion
<b>K19</b> The nature and importance of key climate, environmental and emerging sustainability risks, relative to compliance and risk, and how these may be managed.	Professional discussion
<b>K20</b>	Professional discussion

The extent to which sustainable finance is incorporated in risk and compliance frameworks and the role of key stakeholders.

SKILL	ASSESSMENT METHODS
<p><b>S1</b> Think laterally, take a wide perspective of the issue at hand, consider aspects of a problem to formulate an operational or strategic plan.</p>	Professional discussion
<p><b>S2</b> Build reports to suit the requirement of the audience, for example departmental plans, key performance indicators (KPIs) and project reports.</p>	Project report, presentation and questions
<p><b>S3</b> Plan and organise own work to meet legal, regulatory, organisational deadlines.</p>	Professional discussion
<p><b>S4</b> Analyse and interpret information to assess whether it meets legal, regulatory, process or policy requirements.</p>	Professional discussion
<p><b>S5</b> Analyse information to identify key issues, draw conclusions and make recommendations.</p>	Project report, presentation and questions
<p><b>S6</b> Demonstrate different communication methods and adapt communication style to their audience, being clear on purpose of communication and outputs required, for example; verbal, written, virtual communication, presentations.</p>	Project report, presentation and questions
<p><b>S7</b> Demonstrate different communication styles such as, active listening, team communications, business storytelling, negotiation techniques, conflict management, cross-cultural communications, equality and inclusivity considerations.</p>	Project report, presentation and questions
<p><b>S8</b> Maintain documents in line with current regulation and policy.</p>	Professional discussion
<p><b>S9</b> Challenge and influence managers and colleagues on desired course of action</p>	Project report, presentation and questions



<p><b>S10</b> Build and maintain working relationships with stakeholders, contracting and managing stakeholder expectations.</p>	Project report, presentation and questions
<p><b>S11</b> Build trust with colleagues, collaborating to achieve results.</p>	Project report, presentation and questions
<p><b>S12</b> Manage conflict, demonstrating empathy and a desire to work towards win-win outcomes.</p>	Professional discussion
<p><b>S13</b> Lead others to achieve desired outcomes.</p>	Project report, presentation and questions
<p><b>S14</b> Apply continuous improvement techniques to deliver improved compliance and risk outcomes for the organisation, for example seek feedback and respond to improve performance.</p>	Project report, presentation and questions
<p><b>S15</b> Develop strategies to implement change.</p>	Professional discussion
<p><b>S16</b> Network with others in the profession to keep up to date with changes in the industry, best practice and potential opportunities.</p>	Project report, presentation and questions
<p><b>S17</b> Use digital tools for research, analysis, and to present data using visualisation techniques.</p>	Project report, presentation and questions
<p><b>S18</b> Demonstrate technology to others and keeps up to date with developments in IT relative to their role.</p>	Project report, presentation and questions
<p><b>S19</b> Handle data safely and securely and share information in compliance with data protection legislation and organisation's policy.</p>	Professional discussion

BEHAVIOUR	ASSESSMENT METHODS
<p><b>B1</b> Displays honesty and integrity - truthful in their actions. Shows integrity by doing the right thing, maintains confidentiality and acts with due care and diligence.</p>	<p>Project report, presentation and questions</p>
<p><b>B2</b> Takes ownership of continued professional development, acts as a role model and supports others in their development.</p>	<p>Project report, presentation and questions</p>
<p><b>B3</b> Takes an adaptable, evidence-based approach to decision making in the context of specific situations or environments.</p>	<p>Project report, presentation and questions</p>
<p><b>B4</b> Resilient in challenging, changing environments. Shows emotional intelligence to resolve conflicts when they arise.</p>	<p>Professional discussion</p>
<p><b>B5</b> Takes responsibility for decisions and procedures implemented.</p>	<p>Project report, presentation and questions</p>
<p><b>B6</b> Displays a growth mindset, learning from failures, spotting opportunities and overcoming challenges.</p>	<p>Professional discussion</p>
<p><b>B7</b> Collaborates and promotes teamwork across diverse teams; internal, external and across disciplines.</p>	<p>Project report, presentation and questions</p>

## Mapping of KSBs to grade themes

### Professional discussion - Discussion

KSBS GROUPED BY THEME	KNOWLEDGE	SKILLS	BEHAVIOUR
<p>Risk and regulation frameworks K1 K2 K3 K5 K7 S3 S8</p>	<p>The features and principles of the legal and regulatory framework in their industry. (K1)</p> <p>The role of regulators in their industry, their objectives and primary functions. (K2)</p> <p>The inter-relationships between different regulators and their organisation. (K3)</p> <p>The history of the industry and the role their organisation plays in the wellbeing of society. (K5)</p> <p>Professional standards and best practice and how these are applied. (K7)</p>	<p>Plan and organise own work to meet legal, regulatory, organisational deadlines. (S3)</p> <p>Maintain documents in line with current regulation and policy. (S8)</p>	<p>N/A</p>
<p>Products and customers K9 K10 K11 S4 S12 B4</p>	<p>Approaches to identify customer segments and needs. (K9)</p> <p>The policies and processes in place to ensure fair customer outcomes. (K10)</p> <p>Financial and compliance risks within the organisation's products and services</p>	<p>Analyse and interpret information to assess whether it meets legal, regulatory, process or policy requirements. (S4)</p> <p>Manage conflict, demonstrating empathy and a desire to work towards win-win outcomes. (S12)</p>	<p>Resilient in challenging, changing environments. Shows emotional intelligence to resolve conflicts when they arise. (B4)</p>

	available to customers. (K11)		
IT and digital /systems and processes K16 K18 S19	<p>The systems, tools and processes required in the role such as the impact of technology on risk management, cyber security, AI, blockchain, digital tools. (K16)</p> <p>The impact of data protection legislation and the processes for sharing and storing information safely and securely including risks to data from cybercrime. (K18)</p>	Handle data safely and securely and share information in compliance with data protection legislation and organisation's policy. (S19)	N/A
Audits K4 K17	<p>The implications of non-compliance on the organisation. (K4)</p> <p>Internal and external audit requirements and the responsibilities of the auditor and auditee. (K17)</p>	N/A	N/A
Green finance and sustainability K19 K20	The nature and importance of key climate, environmental and emerging sustainability risks, relative to compliance and risk, and how these may be managed. (K19)	N/A	N/A

	The extent to which sustainable finance is incorporated in risk and compliance frameworks and the role of key stakeholders. (K20)		
Strategy and planning K14 S1 S15 B6	The features and principles of strategic planning relative to their role. (K14)	Think laterally, take a wide perspective of the issue at hand, consider aspects of a problem to formulate an operational or strategic plan. (S1)  Develop strategies to implement change. (S15)	Displays a growth mindset, learning from failures, spotting opportunities and overcoming challenges. (B6)

## Project report, presentation and questions - Project

KSBS GROUPED BY THEME	KNOWLEDGE	SKILLS	BEHAVIOUR
Industry and company understanding / analysis and problem solving K6 S5	Factors that can change risk appetite in an organisation including competitor activity, political, social and environmental factors and how these can be mitigated. (K6)	Analyse information to identify key issues, draw conclusions and make recommendations. (S5)	N/A
Communicating and influencing K13 S2 S6 S7 S9 S13 S17 B3 B7	The principles of communication techniques such as, active listening, team communications, business storytelling, negotiation techniques, conflict management and, diversity, equality and inclusivity considerations. (K13)	Build reports to suit the requirement of the audience, for example departmental plans, key performance indicators (KPIs) and project reports. (S2)  Demonstrate different communication methods and adapt communication style to their audience, being clear on purpose of communication and outputs required, for example; verbal, written, virtual communication, presentations. (S6)  Demonstrate different communication styles such as, active listening, team communications, business storytelling, negotiation techniques, conflict	Takes an adaptable, evidence-based approach to decision making in the context of specific situations or environments. (B3)  Collaborates and promotes teamwork across diverse teams; internal, external and across disciplines. (B7)

		<p>management, cross-cultural communications, equality and inclusivity considerations. (S7)</p> <p>Challenge and influence managers and colleagues on desired course of action (S9)</p> <p>Lead others to achieve desired outcomes. (S13)</p> <p>Use digital tools for research, analysis, and to present data using visualisation techniques. (S17)</p>	
<p>Stakeholder management K8 K12 S10 S11 B1 B5</p>	<p>The role of their team or department, the different teams and organisations they work with and how they support them. (K8)</p> <p>The principles of excellent stakeholder management relative to their role. (K12)</p>	<p>Build and maintain working relationships with stakeholders, contracting and managing stakeholder expectations. (S10)</p> <p>Build trust with colleagues, collaborating to achieve results. (S11)</p>	<p>Displays honesty and integrity - truthful in their actions. Shows integrity by doing the right thing, maintains confidentiality and acts with due care and diligence. (B1)</p> <p>Takes responsibility for decisions and procedures implemented. (B5)</p>
<p>Continuous improvement K15 S14 S16 S18 B2</p>	<p>Continuous improvement principles and techniques relative to their role. (K15)</p>	<p>Apply continuous improvement techniques to deliver improved compliance and risk outcomes for the organisation, for example seek feedback and</p>	<p>Takes ownership of continued professional development, acts as a role model and supports others in their development. (B2)</p>

		<p>respond to improve performance. (S14)</p> <p>Network with others in the profession to keep up to date with changes in the industry, best practice and potential opportunities. (S16)</p> <p>Demonstrate technology to others and keeps up to date with developments in IT relative to their role. (S18)</p>	
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## Version log

Version	Change detail	Earliest start date	Latest start date	Latest end date
1.1	Standard, funding and end-point assessment plan revised	04/02/2023	Not set	Not set
1.0	Approved for delivery	19/09/2016	03/02/2023	Not set



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