



**Level
6**

End Point Assessment Handbook

Senior Compliance Risk Specialist
ST0363

Qualification Number:
610/0750/X

ICA INTERNATIONAL
COMPLIANCE
ASSOCIATION

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1. Introduction and overview

This document explains the requirements for end-point assessment (EPA) for the Senior Compliance and Risk Specialist apprenticeship.

This should be read in conjunction with the EPA handbook.

1.1 EPA structure

The EPA consists of two discrete assessment methods.

- Professional discussion
- Project report, presentation and questions.

The result from each assessment method is combined to determine the overall EPA grade. See section 4 for information on how the overall grade is determined.

Both assessments are mandatory, and the ICA will assess all areas of the EPA.

The combination of these two assessment methods builds a picture of performance against the standard.

They require apprentices to demonstrate the application of knowledge, skills, and behaviours in an integrated manner to deliver the required outcomes, enabling the assessor to make a holistic judgement about how well the apprentice meets or exceeds the standard.

Both assessments (professional discussion and presentation) will be conducted online and will be recorded for quality assurance purposes. The recordings will be retained according to ICA quality assurance requirement and General Data Protection Regulation (GDPR) guidelines.

1.2 Length of EPA period

The EPA period starts when the ICA confirms the gateway requirements have been met. The EPA must be completed within five months of going through gateway.

1.3 Order of assessment methods

The ICA will conduct the assessments in the following order.

1. Professional discussion.
2. Project report, presentation and questions.

The result of one assessment method does not need to be known before starting the next.

1.4 EPA Gateway

The apprentice, their employer, and the training provider must confirm that they think their apprentice is working at or above the occupational standard.

The apprentice will then enter the gateway.

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

- achieved level 2 English and maths qualifications (if required)
- submit Project scoping document for the work-based project with presentation and questioning
- submit Portfolio of evidence for the professional discussion underpinned by a portfolio.

2. Professional discussion

2.1 Introduction

This assessment will take the form of a professional discussion.

The purpose of this assessment is to:

- draw out the best of apprentice's competence and excellence
- allow apprentices the opportunity to evidence the knowledge, skills, and behaviours (KSBs) assigned to this assessment method
- allow the associated KSBs to be adequately and sufficiently measured.

The topic areas that will be covered during the discussion will cover the following:

1. Risk and regulation frameworks K1, K2, K3, K5, K7, S3 and S8
2. Products and customers K9, K10, K11, S4, S12 and B4
3. IT and digital/systems and processes K16, K18 and S19
4. Audits K4 and K17
5. Green finance and sustainability K19 and K20
6. Strategy and planning K14, S1, S15 and B6

2.2 Portfolio of evidence

For this assessment, apprentices will be required to submit a portfolio.

ICA will not assess the portfolio of evidence directly as it underpins the discussion. The assessor will review the portfolio of evidence to prepare questions for the discussion.

The portfolio should only contain evidence related to the KSBs that will be assessed by this assessment method.

ICA provides a mapping document for apprentices to map the contents of their portfolio to the KSBs. It is important to fully map the contents of the portfolio so that apprentices can:

- show the relevance of each piece of evidence
- show how apprentices have covered all of the necessary KSBs
- easily find information during the professional discussion.

When submitting large documents, the mapping of the portfolio contents should be to specific pages or sections to pinpoint the relevant content.

The portfolio can contain a maximum of 15 discrete pieces of evidence.

One piece of evidence can be referenced against more than one knowledge, skill, or behavioural requirement.

The types of evidence sources can include a range of 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 (maximum five minutes in length), with the apprentice 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 portfolio should be based on work completed by apprentices and can be drawn from all areas of work undertaken on-programme.

Apprentices can include examples of work that relate to collaborations or group/teamwork activities however apprentices must highlight their own role and responsibilities.

Apprentices are responsible for ensuring that apprentices have permission to include any confidential or sensitive information, or anything that identifies any third party.

Where there is a need to respect any confidentiality or sensitive material, apprentices can provide details in anonymised form or with key details redacted/changed as appropriate.

If the apprentice is unsure as to whether it is okay to include any information, they should first discuss it with their employer.

Apprentices should avoid including evidence that is redacted to the extent that it prevents the assessor being able to understand its relevance to the KSBs and apprenticeship standard.

2.3 Professional discussion

The professional discussion will be conducted online and last for 90 minutes.¹

A minimum of ten questions will be asked during the professional discussion.

The assessor will have prepared a list of questions to use during the assessment in advance in response to information within the portfolio.

The questions will be chosen to authenticate evidence within the portfolio.

They may also ask some additional questions in follow-up to answers given by apprentices during the discussion.

Apprentices should attempt to answer all questions asked by the assessor.

If there are areas of the criteria that, as written, do not relate directly to the apprentice's job role then apprentices can still demonstrate their understanding of these areas and discuss how their role relates to that aspect of the apprenticeship standards. Apprentices will not be disadvantaged in these instances.

2.4 Grading

To pass the assessment, apprentices must demonstrate all of the KSBs assigned to this assessment method and satisfy all of the pass descriptors.

¹ The assessor has the discretion to increase the time of the professional discussion by up to 10% to allow the apprentice to complete their last answer. Further time may be granted for apprentices with appropriate needs in line with ICA's Reasonable Adjustment Policy.

To achieve a 'distinction' grade for this assessment, apprentices must meet all of the pass descriptors and all of the distinction descriptors.

There are specific criteria for the award of distinction grade. Not every KSB or pass criterion will have a corresponding distinction criterion.

The table in section five outlines all the criteria that apprentices will be assessed against.

2.5 Supporting materials

ICA provides the following resources that we recommend that apprentices read before the assessment:

- EPA Guide - Assessment methods and criteria explained
- EPA Guide - Building a Portfolio
- EPA Guide - Preparing for your professional discussion

3. Project report, presentation and questions

3.1 Introduction

This element of assessment consists of three requirements:

1. apprentices are required to produce a report based on a project that they have completed or worked upon as part of their apprenticeship in the last 6 months prior to gateway.
2. apprentices are then required to prepare and deliver a presentation based on this report.
3. this will be followed by questioning (oral assessment) based on the presentation and project report.

The topic areas that will be covered during the discussion will cover the following:

- Industry and company understanding /analysis and problem solving: K6 and S5
- Communicating and influencing: K13, S2, S6, S7, S9, S13, S17, B3, and B7
- Stakeholder management: K8, K12, S10, S11, B1, and B5, and
- Continuous improvement: K15, S14, S16, S18, and B2.

Apprentices should use the mapping document provided by the ICA to outline how and where they intend to evidence the required KSBs.

3.2 Project

Apprentices are required to conduct a project in the form of a work-based report. The content of the project must enable the KSBs mapped to this assessment method to be met.

Project timing

- The project must be conducted during the on-programme period of the apprenticeship, specifically within the last six months prior to the gateway.
- The project itself is not assessed as part of the end-point assessment (EPA).
- The apprentice can only start the project report after passing through the gateway and receiving the report title and scope from the end-point assessment organisation (EPAO).

Line management and supervision

- While completing the project, apprentices should be subject to normal line management controls and supervision.

Project leadership

- Apprentices will lead the agreed project but may also work as part of a larger team. This team could include internal or external support such as customers, team members, clients, senior management, and internal teams.
- The project report must be apprentice's own work and should reflect their individual role and contributions to the project.

3.3 Choosing a work-based project

Portfolio of evidence

- The apprentice must submit a portfolio of evidence or work that includes the project. This portfolio should have an original and strategic impact on the organisation.
- The portfolio should typically contain evidence of 1–2 projects and must be mapped against the KSBs that will be assessed by this assessment method.

Context statement

- Along with the portfolio, apprentices will submit a maximum 300-word statement that provides context to the evidence submitted. This statement will help ICA set the title and scope for the project report.

Project scope and impact:

- The project must be significant in scope to ensure it allows the apprentice to meet the

KSBs mapped to this assessment method to the highest available grade.

- The project should have a strategic impact on the organisation, addressing a specific problem, recurring issue, or exploring an idea or opportunity.

EPAO's role:

- ICA will review the portfolio of evidence and the context statement to decide on a suitable project report title.
- ICA will review the portfolio within two weeks and communicate the title to the apprentice within one week of the review.

3.4 Project Basis

- The project may be based on any of the following:
 - a specific problem
 - a recurring issue, or
 - an idea or opportunity.
- Additional project bases include:
 - the need to review and agree on 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, or
 - the planning and design of a project that has strategic relevance and the potential to add value to the organisation.

3.5 Writing and submitting the project report

The apprentice can start writing the project report after the gateway and after receiving confirmation of the report title from the EPAO.

The report must be completed and submitted to the EPAO within eight weeks of receiving the report title and scope.

The employer should ensure the apprentice has the necessary time and resources to plan and complete the project report within this period.

To ensure that apprentices project report is robust and sufficiently covers the KSBs, it should include the following sections:

- **Executive summary:** Provide a concise summary of the key points, findings, and recommendations of the project. This section should give a high-level overview of the entire report.
- **Introduction:** Offer background information and context for the project. Explain why the project was undertaken and its relevance to the organisation.
- **Scope of the project:** Define the boundaries and limitations of the project. Describe what the project will cover and any constraints or exclusions.
- **Objectives of the project (including key performance indicators):** State the specific goals that the project aims to achieve, and include key performance indicators (KPIs) that will be used to measure the success of the project.
- **How the project outcomes were achieved:** Detail the methodologies, approaches, and strategies used to achieve the project outcomes, and explain the steps taken, the resources used, and any challenges encountered.
- **Outcome/results:** Present the results of the project, including any data analysis outcomes, and discuss the impact of the project on the organisation and whether the objectives and KPIs were met.
- **Appendices:** Include any additional supporting materials in the appendices. These might be references, pictorial representations, diagrams, or detailed data analysis.

3.6 Report word count

The project report should have a maximum word count of 3,500 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.

ICA does not specify how many words should be used for each area of the report.

3.7 Presentation with questions guidelines

The presentation must be based on the project report and should critically evaluate the outcomes and results.

The presentation should include the following key elements:

- **Overview of the project report:** Summarise the project's purpose, key points, and main findings.

- **Scope of the project report (including key performance indicators):** Define the project's boundaries and the KPIs used to measure success.
- **Summary of actions undertaken by the apprentice:** Detail the specific actions you took during the project, your role, and responsibilities.
- **Outcomes and how these were achieved:** Discuss the results and impacts of the project, including methodologies and strategies used.

Submission

Prepare and submit your presentation to the ICA at the same time as you submit the project report.

Duration

The presentation and questioning must last 60 minutes, typically including a 20-minute presentation and 40 minutes for questioning.²

3.8 Questioning requirements

Purpose

The purpose of the questions is to:

- seek clarification
- assess the depth and breadth of understanding
- confirm that the project report is the apprentice's own work, and
- assess any KSBs not evident in the project report.

Number of Questions

- The assessor must ask at least eight questions.
- Follow-up questions are allowed for clarification.

3.9 Grading

To pass the assessment apprentices must demonstrate all of the KSBs assigned to this assessment method and satisfy all of the pass descriptors.

Apprentices must evidence the KSBs across the three areas of work (report, presentation, and oral assessment).

² The 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 KSBs only need to be evidenced once within either the report, presentation, or oral assessment.

Apprentices should use the mapping document provided by ICA to outline how and where they intend to evidence the required KSBs.

To achieve a 'distinction' grade for this assessment, apprentices must meet all of the pass descriptors and all of the distinction descriptors.

There are three specific criteria for the award of distinction grade in the areas of:

- communicating and influencing and
- stakeholder management

The distinction criteria can be evidenced in any part of this assessment.

The table below outlines all the criteria that apprentices will be assessed against.

4. Results

4.1 Results

This EPA has the following grades:

- Fail
- Pass
- Merit
- Distinction

To Pass, the apprentice must be able to evidence each of the individual KSBs (see section 5).

To achieve a Merit the apprentice must achieve a Pass in one of the assessment methods and a Distinction in the other.

For a Distinction grade the apprentice must evidence all of the 'Pass' criteria and achieve a Distinction in both assessment methods.

The assessor will award a grade for each individual assessment. Grades from individual assessment methods will be combined in the following way to determine the grade of the EPA as a whole:

Assessment method 1 Professional discussion	Assessment method 2 Project report, presentation and questions	Overall grading
Fail	Any grade	Fail
Any grade	Fail	Fail
Pass	Pass	Pass
Pass	Distinction	Merit
Distinction	Pass	Merit
Distinction	Distinction	Distinction

4.2 Resits and retakes

Apprentices who fail one or more assessment methods will be offered the opportunity to take a re-sit or a re-take.

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

The training provider, employer, and ICA will agree the timescale for a re-sit or re-take.

A re-sit will be taken within three months of the EPA outcome notification. The timescale for a re-take is dependent on how much re-training is required but should be taken within four months of the EPA outcome notification.

Failed assessment methods must be re-sat or re-taken within a six-month period from when the apprentice went through gateway, otherwise the entire EPA will need to be re-taken in full.

Re-sits and re-takes are not offered to apprentices who have passed and who want to achieve a higher grade, such as those wishing to move from pass to distinction.

Where any assessment method has to be re-sat or re-taken, the apprentice will be awarded a maximum EPA grade of pass, unless the ICA determines there are exceptional circumstances requiring a re-sit or re-take.

5. Grading Criteria

The assessment will determine performance against the grading criteria detailed below.

Professional discussion

KSBs	Pass criteria	Distinction criteria
1. Risk and regulation frameworks		
<p>K2 The role of regulators in their industry, their objectives and primary functions.</p> <p>K3 The inter-relationships between different regulators and their organisation.</p>	<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>K1 The features and principles of the legal and regulatory framework in their industry.</p> <p>K5 The history of the industry and the role their organisation plays in the well-being of society.</p>	<p>Critically analyses how the features and principles of the industry legal and regulatory framework have evolved, leading to the current role their organisation plays in the well-being of society. (K1, K5)</p>	
<p>K7 Professional standards and best practice and how these are applied.</p> <p>S3 Plan and organise own work to meet legal, regulatory and organisational deadlines.</p> <p>S8 Maintain documents in line with current regulation and policy.</p>	<p>Analyses the extent to which professional standards and methods of working are applied within the organisation; coordinates 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>	<p>Critically analyses the degree to which the organisation's documentation aligns to professional standards and best practice. (K7, S3, S8)</p>
2. Products and customers		
<p>K9 Approaches to identify customer segments and needs.</p> <p>S4 Analyse and interpret information to assess whether it meets legal, regulatory, process or policy requirements.</p>	<p>Analyses customer segmentation and needs to determine whether it meets legal, regulatory, process and/or organisational policy requirements. (K9, S4)</p>	

KSBs	Pass criteria	Distinction criteria
2. Products and customers <i>(continued)</i>		
<p>K10 The policies and processes in place to ensure fair customer outcomes.</p> <p>K11 Financial and compliance risks within the organisation's products and services available to customers.</p> <p>S12 Manage conflict, demonstrating empathy and a desire to work towards win-win outcomes.</p> <p>B4 Resilient in challenging, changing environments; shows emotional intelligence to resolve conflicts when they arise.</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>	<p>Critically analyses the degree to which organisational, legal, and regulatory policies and processes ensure fair customer outcomes. (K10, S4)</p>
3. IT and digital/systems and processes		
<p>K16 The systems, tools and processes required in the role such as the impact of technology on risk management, cybersecurity, AI, blockchain and digital tools.</p> <p>K18 The impact of data protection legislation and the processes for sharing and storing information safely and securely including risks to data from cybercrime.</p> <p>S19 Handle data safely and securely and share information in compliance with data protection legislation and the organisation's policy.</p>	<p>Applies data protection legislation and organisational policy to handle data safely and securely when sharing and storing information mitigating the risks from cybercrime. (K16, K18, S19)</p>	<p>Analyses the risk to the organisation's data from cybercrime. (K18, S19)</p>

KSBs	Pass criteria	Distinction criteria
4. Audits		
<p>K4 The implications of non-compliance on the organisation.</p> <p>K17 Internal and external audit requirements and the responsibilities of the auditor and auditee.</p>	<p>Pass: 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)</p>	
5. Green finance and sustainability		
<p>K19 The nature and importance of key climate, environmental and emerging sustainability risks, relative to compliance and risk, and how these may be managed.</p> <p>K20 The extent to which sustainable finance is incorporated into risk and compliance frameworks and the role of key stakeholders.</p>	<p>Pass: Evaluates the manageability of environmental and sustainability risks relative to compliance and risk; outlines key stakeholders' role in sustainable finance and how it is incorporated into risk/compliance frameworks. (K19, K20)</p>	
6. Strategy and planning		
<p>K14 The features and principles of strategic planning relative to their role.</p> <p>S1 Think laterally, take a wide perspective of the issue and consider aspects of a problem to formulate an operational or strategic plan.</p> <p>S15 Develop strategies to implement change.</p> <p>B6 Displays a growth mindset, learning from failures, spotting opportunities and overcoming challenges.</p>	<p>Pass: 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)</p>	<p>Distinction: Critiques actions taken to solve customer problems and justifies changes to organisational policies and procedures. (K14, S1, B6)</p>

Work-based project with presentation and questioning

KSBs	Pass criteria	Distinction criteria
7. Industry and company understanding/analysis and problem solving		
<p>K6 Factors that can change risk appetite in an organisation including competitor activity, political, social, and environmental factors and how these can be mitigated.</p> <p>S5 Analyse information to identify key issues, draw conclusions and make recommendations.</p>	<p>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. (K6,S5)</p>	
8. Communicating and influencing		
<p>K13 The principles of communication techniques such as, active listening, team communications, business storytelling, negotiation techniques, conflict management and, diversity, equality, and inclusivity considerations.</p> <p>S6 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> <p>S7 Demonstrate different communication styles such as, active listening, team communications, business storytelling, negotiation techniques, conflict management, cross-cultural communications, equality, and inclusivity considerations.</p> <p>B7 Collaborates and promotes teamwork across diverse teams; internal, external and across disciplines.</p>	<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. (K13,S6,S7,B7)</p>	<p>Justifies their selection and application of communication styles and why others were not suitable. (K13,S6)</p>

KSBs	Pass criteria	Distinction criteria
8. Communicating and influencing <i>(continued)</i>		
<p>S2 Build reports to suit the requirement of the audience, for example departmental plans, key performance indicators (KPIs) and project reports.</p> <p>S17 Use digital tools for research, analysis, and to present data using visualisation techniques.</p>	<p>Justifies the use of digital tools for project research, analysis, and data presentation and to build reports specific to the audience. (S2,S17)</p>	<p>Evaluates the use of digital tools to build reports and the extent to which they meet audience requirements. (S2,S17)</p>
<p>S9 Challenge and influence managers and colleagues on desired course of action.</p> <p>S13 Lead others to achieve desired outcomes.</p> <p>B3 Takes an adaptable, evidence-based approach to decision making in the context of specific situations or environments.</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. (S13,B3)</p>	
9. Stakeholder management		
<p>K8 The role of their team or department, the different teams, and organisations they work with and how they support them.</p> <p>K12 The principles of excellent stakeholder management relative to their role.</p> <p>S10 Build and maintain working relationships with stakeholders, contracting and managing stakeholder expectations.</p>	<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. (K8,K12,S10)</p>	<p>Evaluates the approach they took in building trust with colleagues and how this influenced achieving the desired course of action. (K12,K8,S10)</p>
<p>S11 Build trust with colleagues, collaborating to achieve results.</p> <p>B1 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>B5 Takes responsibility for decisions and procedures implemented.</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 organisational policies and guidelines on honesty, integrity and confidentiality. (S11,B1,B5)</p>	

KSBs	Pass criteria	Distinction criteria
10. Continuous improvement		
<p>K15 Continuous improvement principles and techniques relative to their role.</p> <p>S14 Apply continuous improvement techniques to deliver improved compliance and risk outcomes for the organisation, for example seek feedback and respond to improve performance.</p> <p>S16 Network with others in the profession to keep up to date with changes in the industry, best practice, and potential opportunities.</p> <p>S18 Demonstrate technology to others and keeps up to date with developments in IT relative to their role.</p> <p>B2 Takes ownership of continued professional development, acts as a role model, and supports others in their development.</p>	<p>Articulates the principles of continuous improvement and how they apply continued learning to deliver improved outcomes. Use external network opportunities to take ownership of their own development needs to maintain own knowledge and assist colleagues development.</p> <p>(K15,S14,S16,S18,B2)</p>	



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