


End Point Assessment Organisation (EPAO)

Senior Compliance and Risk Specialist





ICA is an end-point assessment organisation (EPAO) working with training providers and employers to deliver high quality, robust end-point assessment (EPA) across a range of apprenticeships. We are part of the leading professional body for the regulatory and financial crime compliance community.

ICA's vision is to inspire, educate and enable the international compliance community to think more, perform better and help the right business be conducted in the right way.

Why choose ICA as your End Point Assessment organisation?

We will provide:

- dedicated independent end-point assessors who are subject matter experts
- robust processes and quality assurance
- quick turnaround of results
- friendly, flexible and responsive staff
- a flexible, fair and easy-to-understand pricing structure
- a simple scheduling process, with a team on hand to support you at each stage
- an online platform for apprentices to use for collating and submitting portfolios, and
- guidance sessions for apprentices on how the EPA will be conducted

Senior Compliance and Risk Specialist

Level 6

Route: Legal, finance and accounting

Typical duration to gateway: 36 months (this does not include EPA period)

Maximum funding: £23,000

ICA Standard EPA Fee: £2,750 per apprentice

The fee quoted is our standard fee - we can offer discounts based on the number of apprentices.

Apprenticeship occupation overview:

The broad purpose of the occupation is to provide high-quality input and advice to the business in their specialist area(s) of expertise.

The specialist areas may include risk, financial crime, compliance, modelling and analysing data, customer due diligence, cyber security, governance, anti money laundering, environmental, social and governance (ESG) and climate risk.

Senior Compliance and Risk Specialists ensure that their organisations' operations comply with relevant legislation, regulation and policies. They do this through reviewing and implementing policies and procedures.

This occupation is found in a range of organisations that are required to meet compliance and risk conditions. This could include the requirement of regulators in areas such as financial crime and operational risk.

They provide proactive support and guidance to internal business areas to ensure that the organisation meets the requirements, balanced against achieving appropriate customer outcomes.

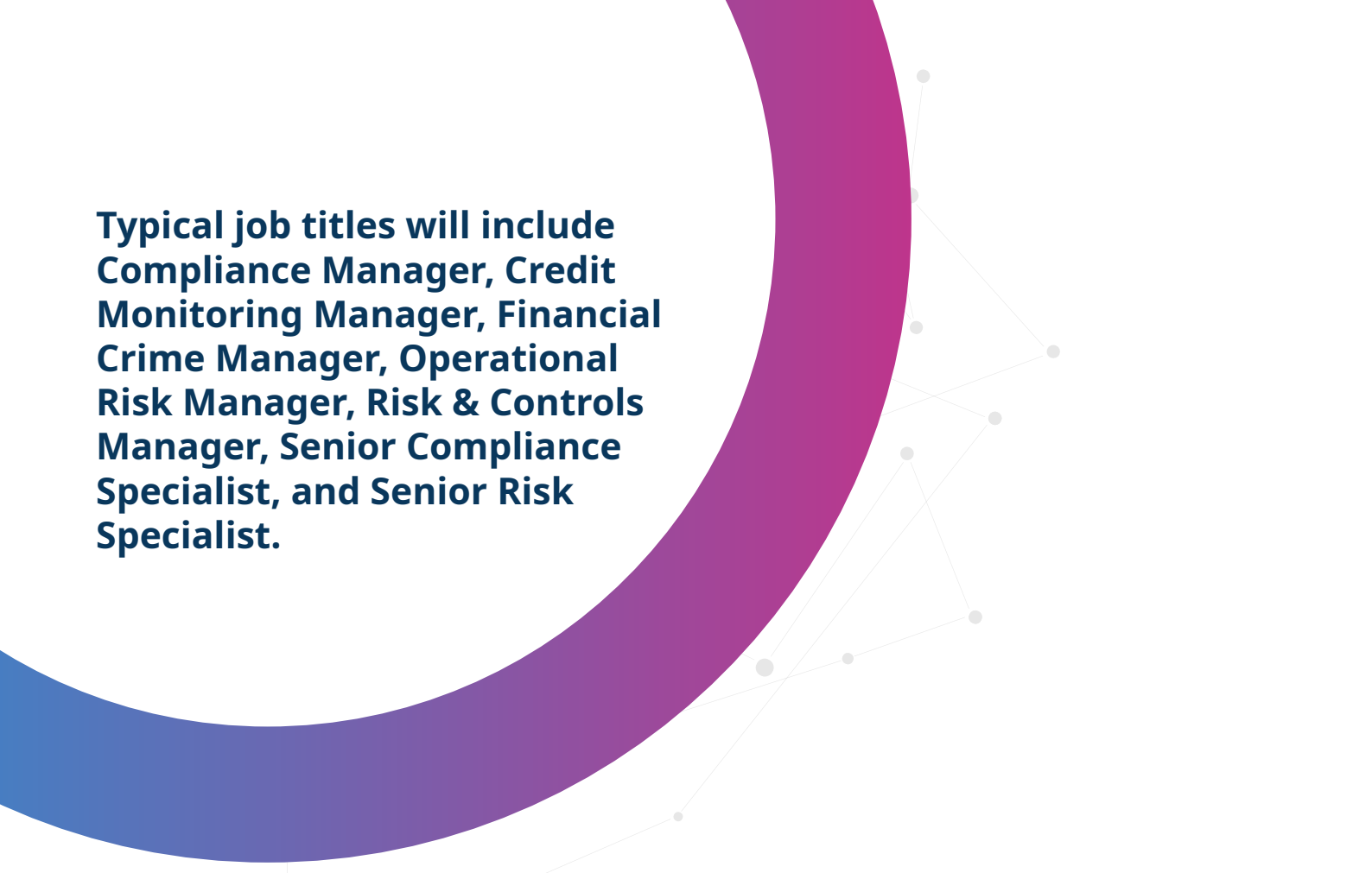
Risk and compliance specialists operate in many sectors where regulation and legislation are prevalent, including banking and finance, gambling and gaming, healthcare, and utilities.

Role Profile

A senior compliance and risk specialist manages complex problems, implements any new legal and regulatory requirements, and works with senior people in the organisation.

An employee in this occupation will be responsible for planning and developing courses of action to maintain risk and compliance in line with organisational risk appetite and regulatory requirements. They will also initiate and lead tasks and processes, taking responsibility, where relevant, for the work and roles of others and the allocation of resources.





Typical job titles will include Compliance Manager, Credit Monitoring Manager, Financial Crime Manager, Operational Risk Manager, Risk & Controls Manager, Senior Compliance Specialist, and Senior Risk Specialist.

Duties within this role will include:

- safeguarding the organisation from risks by ensuring monitoring structures and processes are effective
- using relevant frameworks to assess, manage and mitigate risks
- analysing a wide range of data, to understand risks and form recommendations for change
- providing specialist compliance and risk advice
- building relationships and influence with stakeholders to support and embed a risk-based culture, improve compliance and reduce risk factors
- maintaining an understanding of up-to-date legal and regulatory changes relevant to your area
- providing proactive support, guidance and challenge to business areas to ensure that the organisation meets legal and regulatory obligations
- developing new ways of working which strengthen and promote regulatory compliance and continuous improvement, and
- adapting to technological advancements and changes which impact the compliance and risk management landscape.

Knowledge, Skills, and Behaviours: What apprentices need to learn

The required knowledge, skills and behaviours of the Senior Compliance and Risk Specialist apprenticeship standard are available on the Skills England website.



Gateway Requirements

The EPA gateway is when the ICA checks and confirms that apprentices have met any requirements required before they start the EPA.

At the end of the on-programme training period, the training provider and employer will need to agree that the apprentice has met the knowledge, skills and behaviours required for the apprenticeship standard.

Apprentices without Level 2 English and Maths will need to achieve these prior to taking the EPA. You will also need to provide evidence of passing one of the professional qualifications listed in the occupational standard.

At gateway, apprentices must submit:

- a portfolio of evidence to be used within your professional discussion, and
- a summary of the project that will be used for the project report, presentation and questions.

End Point Assessment

All apprentices must take an independent assessment at the end of their apprenticeship training to confirm that they have achieved occupational competence. Rigorous, robust and independent EPA is essential to give employers confidence that apprentices completing an apprenticeship standard can actually perform in the occupation they have been trained in and can demonstrate the knowledge, skills and behaviours set out in the apprenticeship standard.

EPA can only be conducted by an independent EPAO.

The Assessment Plan for each standard outlines the assessment methods to be used. The EPA for this apprenticeship consists of the following mandatory elements.

Professional discussion, underpinned by a portfolio of evidence

This assessment will take the form of a 90-minute professional discussion.

Apprentices will collect evidence for a portfolio during their on-programme training and development, to evidence their learning and application of technical knowledge in practice, core regulatory competencies, and their values and behaviours.

The discussion verifies the content of the portfolio and that the apprentice has developed all of the knowledge, skills and behaviors listed in the apprenticeship standard.

Work-based project report, presentation and questions and answers

The apprentice is required to write a report based on a significant and defined project that has a real business application and benefit.

The report is designed to demonstrate the application of knowledge, skills and behaviours as they would occur in occupational practice. The project must be completed on-programme in the last six months prior to gateway and is not assessed. The report must then be written during the EPA period and will be assessed.

Apprentices will then prepare and deliver a 20-minute presentation based on the project and report. This is followed by a 40-minute Q&A oral assessment then seeks clarification on aspects of the project or presentation and to assess those knowledge, skills and behaviours that the apprentice did not have the opportunity to demonstrate through the project or report.

Further information regarding the assessment methods is provided within the ICA Assessment Handbook for this EPA.

Grading

Each assessment is mandatory and both must be passed in order to attain an overall pass grade.

The overall EPA will be graded fail, pass, merit or distinction based upon the performance across the two assessments.

ICA's assessors will individually grade each assessment method – distinction, pass or fail.

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.

Results and Certification

Following the EPA, ICA will issue an EPA result letter and grade notification and apply to the Department for Education (DfE) to produce the final apprenticeship certificate.

Get in touch to discuss your EPA service requirements

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