


End Point Assessment Organisation (EPAO)

# Compliance Risk Officer





**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

# Compliance Risk Officer

## Level 3

**Route:** Legal, finance and accounting

**Typical duration to gateway:** 15 months  
(this does not include EPA period)

**Maximum funding:** £11,000

**ICA Standard EPA Fee:** £1,100 per apprentice

We can offer discounts based on the number of apprentices.

## Apprenticeship occupation overview:

Compliance and risk officers are integral to all organisations in the financial services sector, including insurance and banking, as well as finance functions across various sectors with financial compliance responsibilities. Their primary role is to ensure that financial organisations operate within legal boundaries and industry standards, focusing on regulatory adherence and risk minimisation.

## Key Responsibilities:

- Ensure regulatory compliance and identify/manage potential risks.
- Support businesses in meeting financial legal and regulatory obligations.
- Maintain a culture of compliance through training and best practice guidance.
- Conduct risk and assurance checks to monitor ongoing compliance.
- Protect investors and ensure fair, efficient, and transparent markets.
- Reduce system risk and financial crime.

## Daily Interactions:

- Collaborate with colleagues and teams to provide risk and compliance advice.
- Present information and data to senior colleagues.

- Engage with external stakeholders to ensure compliance policies are applied correctly.

## Decision-Making and Responsibilities:

- Exercise judgment and discretion within specified parameters.
- Make evidence-based decisions on risk and compliance adherence.
- Escalate issues to a manager when necessary.
- Potentially supervise or guide others, depending on the organisation.

## Role Variation:

- In smaller organisations, may work with a multiskilled team.
- In larger organisations, may specialise in areas like financial crime or assurance.





### **Objective:**

- Mitigate legal and regulatory risks to avoid penalties and reputational damage.
- Ensure institutions operate within applicable laws and regulations.
- Actively manage organisational risk and reduce financial crime.

Compliance and risk officers typically report to a senior manager with expertise in financial risk and compliance policy. They play a crucial role in supporting an organisation's adherence to compliance regulations and minimising risk, potentially specialising in either compliance or risk, or handling both functions depending on the organisation's needs.

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

Apprentices will be assessed on the knowledge, skills, and behaviours in the following areas:

- Risk and compliance framework
- Industry and company understanding
- Systems and processes
- Customers and products
- Delivering services
- Green finance
- IT and digital
- Analysis and problem solving
- Communicating and influencing
- Teamwork
- Continuous improvement

The full details of the required knowledge, skills and behaviours (KSBs) of the Compliance Risk Officer apprenticeship standard are found within the published assessment plan.



## Gateway Requirements

The EPA gateway is the point where the ICA verifies that apprentices have fulfilled all necessary prerequisites before beginning the EPA.

At the conclusion of the on-programme training period, both the training provider and employer must agree that the apprentice has acquired the required knowledge, skills, and behaviours specified in the apprenticeship standard.

Apprentices who have not yet achieved Level 2 in English and Maths may need to do so before undertaking the end-point assessment.

At gateway, apprentices must submit:

- A portfolio of evidence for use in the interview.
- A summary of the project report, which will be used for the report, presentation, and questions.

### End Point Assessment

At the conclusion of their apprenticeship training, all apprentices must undergo an independent assessment to verify their occupational competence.

This rigorous, robust, and independent end-point assessment (EPA) is crucial for assuring employers that apprentices can effectively perform in their trained occupation and demonstrate the knowledge, skills, and behaviours outlined in the apprenticeship standard.

Only an independent end-point assessment organisation (EPAO) can conduct the EPA.

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

### Interview underpinned by a Portfolio of Evidence:

- This assessment involves a 60-minute interview, allowing the apprentice to demonstrate their competence and excellence, covering the knowledge, skills, and behaviours (KSBs) assigned to this method.
- The interview provides the apprentice with the opportunity to make detailed and proactive contributions to confirm their competency across the mapped KSBs.
- Apprentices must compile a portfolio of evidence during the on-programme period, containing evidence related to the KSBs assessed by this method. Typically, the portfolio includes 10 discrete pieces of evidence, each mapped against the KSBs. Evidence may demonstrate multiple KSBs.
- The interview verifies the portfolio content and ensures the apprentice has developed the skills, knowledge, and behaviours listed in the apprenticeship standard.

### Written project report with presentation and questions:

- This assessment requires the apprentice to complete a significant, defined piece of work with real business applications and benefits, relevant to the employer's business, the apprentice's occupation, and apprenticeship.
- This method includes two components:
  1. A 2,500-word report on a project.
  2. A 20-minute presentation based on the report, followed by a 25-minute question-and-answer session.

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

## Grading

Each assessment will be conducted independently. To achieve an overall pass grade, all assessment components of the EPA must be passed. The overall EPA will be graded as Fail, Pass, or Distinction, based on the apprentice's performance across the assessments. All assessment methods carry equal weight.

### Results and Certification

After completing the EPA, ICA will issue an EPA result letter and grade notification. They will also 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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