



**Level
3**

End Point Assessment Handbook

Compliance Risk Officer ST0362

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1. Introduction and overview

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

This should be read in conjunction with the EPA handbook.

1.1 EPA structure

The EPA consists of two assessment methods.

- Interview underpinned by a portfolio of evidence.
- Written project report with 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 cumulative 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 (interview 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. Interview underpinned by a portfolio.
2. Written project report with presentation and questioning.

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 interview underpinned by a portfolio.
- have passed one of the mandatory qualifications.

2. Written project report with presentation and questions

2.1 Introduction

This assessment method involves the apprentice completing a defined piece of work that has a real business application and benefit.

The scope of the work completed must meet the needs of the employer's business and be relevant to the apprentice's occupation and apprenticeship.

Work towards this assessment method must be carried out after gateway.

The written project report does not need to be implemented as part of the EPA, but there must be evidence of all the KSBs mapped to this assessment method being demonstrated during the EPA period.

This assessment method has 2 components:

- a project with a project output:
 - the project should involve the investigation of a defined topic (more details provided below)
 - the output should be a written project report that summarises the analysis undertaken during the investigation, and the resulting conclusions and recommendations
- a presentation with questions and answers.

Together, these components give the apprentice the opportunity to demonstrate the KSBs mapped to this assessment method.

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

- Risk and compliance framework: K1, K2, K3, K4, S1, B1, B2
- Industry and company understanding: K5, K7
- Communicating and influencing: K15, K16, S7, S8
- Teamwork: S10, B6, and
- Continuous improvement: S11, S12, B3, B5.

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

2.2 Project

Apprentices will conduct a project in the form of a work-based report.

The content of the project must enable the Knowledge, Skills, and Behaviours (KSBs) mapped to this assessment method to be met.

Apprentices must complete and submit apprentices project in a maximum of 12 weeks after gateway.

Whilst completing the project, apprentices should be subject normal line management controls and supervision.

Apprentices will lead the agreed project, but apprentices may also work as part of a larger team which could include internal or external support (such as customers, team members, clients, senior management, and internal teams). However, the report must be apprentices' own work and will be reflective of apprentices' own role and contribution to the project.

Apprentices must start the report after the gateway. However, the discussion and planning with apprentices' employers to agree on a project scope and to ensure apprentices have the required time and resources can start in advance of that.

Please note: the recommendations of the written project report do **not** need to be implemented as part of the EPA period, but there must be evidence of all the KSBs mapped to this assessment method being demonstrated during the EPA period.

2.3 Project scope

Your project must provide an opportunity to demonstrate the application of the KSBs assigned to this assessment.

You are required to write a report on a project that investigates a topic based on one of the following themes:

- A Specific Problem: Identifying and addressing a particular issue within the organisation.
- A Recurring Issue: Examining an ongoing problem to find long-term solutions.
- An Idea or Opportunity: Exploring a new concept or opportunity that could benefit the organisation.

Here are some examples of the types of projects that could be used for your written project report.

- Exploring an opportunity that has a strategic relevance and the potential to add value to the organisation.
- Reviewing a current process, service or product to ensure it is fit for purpose and meets the current needs of the business.
- Analysing a specific problem that has been identified in the workplace and recommending a change plan to resolve or improve it.

This list is not exhaustive and is intended to provide examples of possible projects that may be suitable.

The scope of the project should be a significant and defined piece of work that has a real business application and benefit to apprentice's organisation.

2.4 Project title

Apprentices are required to submit a brief summary of the project that will form the basis of their report and presentation. This summary must be submitted at the gateway to inform the ICA of the type of project chosen. The ICA will check and confirm the title of the project.

The summary should give details of the work-based project report's title and scope to confirm its suitability at the gateway. This is to ensure that if there are any issues about the project title, they will be resolved prior to the EPA period starting.

The brief summary should be no more than 500 words and is not an assessed element of the end-point assessment.

2.5 Report

The project output should be a written report with accompanying presentation summarising the analysis and findings of the project and the resulting conclusions and recommendations.

Apprentices are **not** required to implement the recommendations of their report as part of the EPA.

The written project report should be based on, or relevant to, their work area and presented in a format relevant to the project topic. For example, a business proposal, a report to a committee or board, or a proposal for a change plan.

As a minimum all reports must include:

- an executive summary (or abstract)
- an introduction
- the topic and scope of the investigation
- research outcomes
- data analysis outcomes
- discussion of findings
- conclusions and recommendations
- references

The written project report must have a word count of 2500. A tolerance of 10% above or below is allowed at the apprentice's discretion.

Appendices including references, pictorial representations, diagrams etc, and mapping to the KSBs will **not** be included in this total.

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

2.6 Presentation

Apprentices are required to prepare and deliver a presentation on the project that apprentices have completed.

The presentation slides should be submitted at the same time as the project report.

The presentation must be based on the same project covered within the report and cover the following:

- an overview of the project
- the project scope (including key performance indicators)

- summary of actions undertaken by the apprentice
- project outcomes and how these were achieved.

The presentation should last no more than 20 minutes¹.

To deliver the presentation, apprentices should ensure that they have access to appropriate presentation equipment, such as a PC with PowerPoint, as required.

2.7 Oral assessment (questions and answers)

Following the presentation, the assessor will ask a minimum of six questions covering each of the topic areas listed above.

They will have prepared some questions in advance based on the report and ask follow-up questions in response to the presentation or where clarification is required.

The purpose of the assessor's questions is:

- verify that the activity was completed by the apprentice
- seek clarification where required
- assess those KSBs that the apprentice did not have the opportunity to demonstrate with the report, although these should be kept to a minimum
- assess level of competence against the grading descriptors.

The questions and answer part will last 25 minutes².

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

2.8 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).

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

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

1 The assessor has the discretion to increase the time for the presentation by up to 10% to allow you to complete your last point. Further time may be granted for apprentices with appropriate needs in line with the ICA's Reasonable Adjustment Policy.

2 The assessor has the discretion to increase the time of the question and answers by up to 10% to allow you to complete your last answer. Further time may be granted for apprentices with appropriate needs in line with the 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 distinction criteria can be evidenced in any part of this assessment.

The table in section 5 outlines all the criteria that apprentices will be assessed against.

3. Interview underpinned by portfolio.

3.1 Introduction

This assessment will take the form of a interview underpinned by a portfolio.

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:

- Delivering services K14, S2, S3, B4
- Systems and processes K11, K12, S6
- IT and digital K17, S13, S14
- Green finance K18
- Analysis and problem solving K13, S4, S5
- Customers and products K6, K8, K9, K10, S9

3.2 Portfolio of evidence

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

A portfolio of evidence should include a signed statement from the employer and apprentice confirming its authenticity.

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 they have covered all of the necessary KSBs
- easily find information during the interview.

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 10 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.

3.3 Interview

The interview will be conducted online and last for 60 minutes.³

A minimum of six questions will be asked during the interview.

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.

3.4 Grading

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

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

There are seven specific criteria for the award of distinction grade.

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

³ The assessor has the discretion to increase the time of the interview 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 the ICA's Reasonable Adjustment Policy.

3.5 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 interview

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).

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 Interview underpinned by a portfolio of evidence	Assessment method 2 Written project report with presentations and questions	Overall grading
Fail	Fail	Fail
Any grade	Fail	Fail
Fail	Any grade	Fail
Pass	Pass	Pass
Pass	Distiction	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.

Written project report with presentation and questions

KSBs	Pass criteria	Distinction criteria
Risk and compliance framework		
K1 Legal and regulatory framework relative to their industry. K2 Role of the different regulators, and the implications of non-compliance for the organisation.	Describes the legal and regulatory framework for their industry and the impact of different regulators on non-compliance incidences. (K1,K2)	

KSBs	Pass criteria	Distinction criteria
Risk and compliance framework		
<p>K3 Legal and regulatory requirements, for example the Financial Conduct Authority handbook, and the policies and procedures to implement these requirements.</p> <p>K4 Risk and compliance requirements for their role, for example operational risk, financial crime, know your customer, training and competence, approved persons, conduct risk, complaints, data security.</p> <p>S1 Implement legal and regulatory framework requirements.</p> <p>B1 Acts in a professional and ethical manner.</p> <p>B2 Maintains confidentiality and acts with due care and diligence.</p>	<p>Demonstrates how they have interpreted and implemented legal and regulatory framework requirements, taking appropriate care with confidentiality, and showing integrity and professionalism when carrying out the specific requirements of their role. (K3, K4, S1, B1, B2)</p>	<p>Evaluates the impact of their actions in relation to the specific risk and compliance requirements of their role. (K4,S1)</p>
Industry and company understanding		
<p>K5 Range and purpose of organisations that are found in their wider industry, and their own organisation's position within this landscape.</p> <p>K7 Impact that the external environment and legal and regulatory requirements have on the organisation and on their industry.</p>	<p>Describes how their organisation relates to other organisations within the landscape, and the impact of relevant laws and regulations on their organisation and wider industry. (K5,K7)</p>	<p>N/A</p>

KSBs	Pass criteria	Distinction criteria
Communicating and influencing		
<p>K15 Communication methods, including verbal, non-verbal and written, and how to adapt communication to different audiences.</p> <p>K16 Digital tools for research, analysis, and presentation of data through visualisation techniques.</p> <p>S7 Produce evidence-based reports and management information for stakeholders considering visualisation techniques when presenting data.</p> <p>S8 Select and use communication methods applicable to the audience and circumstances, for example, presentations, phone, face to face, email, virtual meetings.</p>	<p>Uses digital tools to research and analyse data to produce evidence- based reports and selects appropriate visualisation techniques and communication methods when presenting to stakeholders. (K15,K16,S7,S8)</p>	<p>Evaluates the effectiveness of their selection and adaptation of communication methods to suit the audience. (K15,S8)</p>
Teamwork		
<p>S10 Build and maintain working relationships.</p> <p>B6 Collaborates with and supports colleagues.</p>	<p>Outlines the strategies employed to build and maintain stakeholder relationships, including situations where they have collaborated with colleagues. (S10,B6)</p>	<p>N/A</p>
Continuous improvement		
<p>S11 Identify own training needs and seek feedback to improve performance and service delivered.</p> <p>S12 Apply continuous improvement techniques when delivering improved compliance outcomes and mitigating risks.</p> <p>B3 Seeks to continuously improve and develop themselves and their team.</p> <p>B5 Keeps up to date with relevant legal, regulatory and other changes affecting the industry.</p>	<p>Describes how they seek feedback and take ownership of their development needs to maintain and update their own knowledge and apply continued learning principles to deliver improved outcomes. (S11,S12,B3,B5)</p>	<p>Evaluates the impact of feedback on mitigating compliance and risk issues. (S11,S12,B3)</p>

Interview underpinned by a portfolio of evidence

KSBs	Pass criteria	Distinction criteria
Delivering services		
<p>K14 Planning, prioritising, and time management techniques.</p> <p>S3 Plan and organise workloads to meet individual and team performance targets.</p> <p>B4 Adapts to, and is resilient in, challenging or changing situations.</p> <p>S2 Deliver risk and compliance services to stakeholders using organisational systems and processes.</p>	<p>Explains how they plan, manage, adapt, and prioritise their workload in changing or challenging situations, to meet deadlines and team performance targets. (K14, S3, B4)</p> <p>Describes how they identify and utilise systems and processes to deliver services to stakeholders. (S2)</p>	<p>Evaluates their contribution to meeting individual and team performance targets and deadlines. (K14, S3)</p> <p>Evaluates the effectiveness of their service delivery to stakeholders. (S2)</p>
Systems and processes		
<p>K12 Audit requirements and the responsibilities of the auditor and auditee.</p> <p>S6 Manage records in order to meet audit requirements of the organisation.</p> <p>K11 Systems, tools and processes that assist in identifying, managing, and mitigating compliance and risk issues.</p>	<p>Explains how they manage records and apply audit requirements within the organisation and the differing responsibilities of auditor and auditee. (K12, S6)</p> <p>Explains how systems, tools and processes are used to manage and mitigate compliance and risk issues. (K11)</p>	<p>Evaluates their use of systems, tools, and processes to manage and mitigate compliance and risk issues. (K11)</p>
IT and digital		
<p>K17 Data protection legislation and the processes for sharing and storing information safely and securely, including risks to data from cybercrime.</p> <p>S13 Record information electronically and make use of available technology, for example Management Information Systems (MIS), spreadsheets, presentation software, word processing, email, and virtual communication.</p> <p>S14 Handle data safely and securely and share information in compliance with data protection legislation and organisational policy.</p>	<p>Describes how they apply data protection legislation and organisational policy to record and handle data safely and securely when sharing and storing information, making use of available technology while mitigating the risks from cybercrime. (K17, S13, S14)</p>	<p>N/A</p>

KSBs	Pass criteria	Distinction criteria
Green finance		
<p>K18 Green and sustainable policies and practices and the role they play in the finance sector, and how to minimise negative impacts on environmental sustainability within the context of their role.</p>	<p>Outlines how the current organisational policies and practices relevant to their role play a part in minimising negative impacts on the environment. (K18)</p>	<p>N/A</p>
Analysis and problem solving		
<p>K13 Policies and procedures for the identification and escalation of compliance issues and risks.</p> <p>S4 Identify ways to reduce and mitigate incidents of non-compliance.</p> <p>S5 Escalate compliance and risk issues where appropriate in line with organisational procedures.</p>	<p>Describes how to apply organisational policies and procedures to identify strategies to reduce and mitigate non-compliance issues, and how to escalate these incidents where appropriate in line with organisational procedures. (K13, S4, S5)</p>	<p>Justifies the ways in which they have applied policies and procedures to reduce and mitigate incidents of non-compliance. (K13, S4)</p>
Customers and products		
<p>K8 Products and services offered to customers within their organisation and their industry relative to their role.</p> <p>K9 Approaches to delivering fair customer outcomes, for example identifying vulnerable customers.</p> <p>K10 Professional standards and best practice, and how these are applied.</p>	<p>Outlines the products and services offered to customers within the organisation, the approaches to delivering fair customer outcomes, and how standards and best practice can be applied relative to their role. (K8, K9, K10)</p>	<p>N/A</p>
<p>K6 Functions of the organisation and their relationship with risk and compliance policies and procedures.</p> <p>S9 Communicate about products with customers, colleagues, or stakeholders in different styles, for example visually, verbally, written, using e-comms.</p>	<p>Describes the different functions within the organisation and how they have communicated with customers, colleagues, and other stakeholders, adapting their style accordingly. (K6, S9)</p>	<p>N/A</p>



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