



Draft Preview

DRAFT APPRENTICESHIP ASSESSMENT PLAN FOR THE FINANCIAL INVESTMENT PROFESSIONAL APPRENTICESHIP

ST1465/V2

APPRENTICESHIP REFERENCE NUMBER	LEVEL OF THIS APPRENTICESHIP	INTEGRATION
ST1465	6	None

Assessment Plan

Assessment details

Introduction

This Apprenticeship Assessment Plan (AAP) sets out the requirements for the assessment of the Level 6 financial investment professional apprenticeship. It should be read in conjunction with the General Requirements for Apprenticeship Assessment. Where there is conflict between this AAP and the General Requirements, this AAP takes precedence. Assessment organisations must also comply with the relevant regulatory framework for apprenticeship assessment.

It is important that the assessment of apprentices is proportionate, valid, and provides reliable evidence of an apprentice's attainment of the relevant knowledge and skills. As such, assessment organisations must design assessments to ensure:

- employers have confidence that the apprentice has reached the expected performance standard
- apprentices are sufficiently secure in their knowledge and skills, so that they could demonstrate their competence in different contexts (for example, a different workplace)

Assessment Outcomes

The assessment outcomes group and summarise the knowledge and skills that must be demonstrated in assessments. All assessment outcomes must be assessed.

Assessment organisations must ensure all the core assessment outcomes and the assessment outcomes for one of the following options are assessed for each apprentice:

- Investment banking professional
- Investment management professional
- Investment operations professional

Knowledge and skills statements in **bold** are mandatory and must be assessed in every version of the assessment that is made available.

Core Assessment Outcome	Mapping
<p>AO1: Regulatory and governance frameworks</p> <p>Applies knowledge of financial services structure, regulation, risk frameworks, ethics, and industry analysis to ensure compliance and manage risk in investment activities.</p>	<p>K1, K2, K3, K4, K8, K12</p> <p>S4, S14</p>
<p>AO2: Financial analysis and risk management</p> <p>Uses principles of data analysis, financial products, risk management, and statistical modelling to evaluate investment opportunities and make informed decisions.</p>	<p>K6, K7, K9, K10, K13</p> <p>S8, S9, S10</p>
<p>AO3: Stakeholder engagement and communication</p> <p>Builds trusted relationships, identifies stakeholder needs, and communicates complex financial concepts clearly to diverse audiences.</p>	<p>K5, K11, K20</p> <p>S1, S2, S12, S13</p>
<p>AO4: Digital and data tools for investment services</p> <p>Uses digital systems, applications, and data security practices to support financial tasks and maintain compliance with organisational and cyber standards.</p>	<p>K14, K15</p> <p>S3, S16</p>
<p>AO5: Operational planning and performance management</p> <p>Plans and organises workflows, manages time, and contributes to strategic and operational improvements to meet organisational objectives.</p>	<p>K16, K17, K18</p> <p>S5, S6, S7, S11, S15, S17</p>
Option 1: Investment banking professional	Mapping
<p>AO6: Investment banking operations</p> <p>Supports corporate finance activities through account planning, financial modelling, and strategic material development for capital markets.</p>	<p>K19, K20</p> <p>S18, S19, S20</p>
Option 2: Investment management professional	Mapping
<p>AO7: Investment management operations</p> <p>Delivers portfolio management and client solutions, monitors trading activity, and applies risk management</p>	<p>K19, K20, K21</p> <p>S18, S21, S22, S23, S24</p>

tools to optimise investment performance.

Option 3: Investment operations professional	Mapping
AO8: Investment operations administration	K22, K23
Manages trade processing, settlement, compliance administration, and operational risk oversight to ensure accurate and efficient investment operations.	S25, S26, S27, S28

Assessment requirements

Assessment organisations must set apprenticeship assessments. Assessment organisations should consider how technology and digital tools can support innovation and efficiency.

Assessment organisations must design apprenticeship assessments to include a **professional discussion**.

Any additional assessment(s) must be selected from the following list of methods to ensure the assessment outcomes are met in full:

- **portfolio of evidence**
- **additional professional discussion**
- **presentation**
- **work-based project**
- **report**
- **question and answer session**
- **knowledge test**
- **case study**

Apprentices may be assessed at any appropriate point during their apprenticeship programme.

Assessments may be designed to allow a centre or training provider to mark assessments. The assessment organisation is responsible for ensuring all assessments are sufficiently reliable and valid, and for the accuracy of any centre or training provider marking.

Performance descriptors

Performance descriptors describe the level of performance required to achieve a pass or distinction grade. Assessment organisations must design assessments that align with these descriptions.

Performance Category	Pass	Distinction
Applied Knowledge	Applies advanced financial investment knowledge to analyse scenarios involving multiple interacting factors and produces valid, workable resolutions supported by clear interpretation and rationale.	Applies advanced financial investment knowledge with in-depth insight and strategic awareness, producing resolutions that effectively navigate complex contexts involving many interacting factors and add value in both design and implementation.
Applied Skills	Determines, refines and adapts suitable methods, using advanced cognitive and practical skills to effectively address problems with limited definition, supported by relevant research and/or development activities.	Determines and refines methods with a strong emphasis on adaptation and optimisation, often designing or applying research and development outputs in ways that significantly improve outcomes.
Regulatory and Procedural Awareness	Applies regulatory and procedural knowledge strategically, aligning compliance with organisational goals and adapting approaches to meet evolving requirements in financial investment activities.	Anticipates and interprets regulatory change, shaping responses that ensure compliance while enabling strategic advantage or operational resilience in financial investment activities.
Communication and Collaboration	Communicates, influences, and collaborates across a range of stakeholder groups, aligning communication with organisational goals and values when presenting	Leads strategic communication and collaboration that engages, aligns, and influences stakeholders. Demonstrates well-informed judgement and responsiveness in

	financial concepts and insights.	complex or sensitive financial contexts.
Information Use and Decision Making	Critically analyses, interprets and evaluates complex financial information and ideas to inform decisions. Demonstrates an awareness of theoretical perspectives and their application within the occupational setting.	Engages critically with a wide range of theories, schools of thought or models, using them to inform a nuanced evaluation of complex financial concepts or information and to justify innovative or forward-thinking approaches.
Responsibility and Autonomy	Exercises accountability in planning and delivering courses of action capable of supporting change or development. Leads tasks, processes and teams making appropriate use of resources and delegation. Makes considered judgments within broad parameters.	Plans and executes sustained action that underpins substantial change or development, showing strong leadership in the direction of others, resource allocation, and task execution. Exercises autonomy with confidence and judgment, taking accountability for complex decision-making and outcome evaluation.

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