Draft Preview

DRAFT APPRENTICESHIP ASSESSMENT PLAN FOR THE SENIOR COMPLIANCE AND RISK SPECIALIST APPRENTICESHIP

ST0363/V2

APPRENTICESHIP REFERENCE NUMBER	LEVEL OF THIS APPRENTICESHIP	INTEGRATION
ST0363	6	None

Assessment Plan

Assessment details

Introduction

This Apprenticeship Assessment Plan (AAP) sets out the requirements for the assessment of the Level 6 senior compliance and risk specialist 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.

The assessment outcomes have been created to summarise the content that is not fully assessed by the qualifications mandated in the occupational standard. The knowledge and skills statements that are not mapped here are assessed by the qualifications mandated in the occupational standard.

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

Assessment Outcome	Mapping
AO1: Risk strategy, customer insight and reporting Applies organisational, environmental and sustainability-related risk insights alongside customer segment understanding to inform strategic planning and fair-customer policies, producing audience-appropriate reports using digital research, analysis and data-visualisation tools.	K5, **K6,** K9, K10, **K14,** K19, K20 S2, S17
AO2: Regulatory compliance, data protection and operational control Implements regulatory, audit-related and data-protection requirements by planning work to meet organisational and legislative deadlines, maintaining accurate documentation, and handling, storing and sharing information safely and securely.	**K17, K18** **S3, S8, S19**
AO3: Stakeholder engagement, communication and leadership Builds effective working relationships by applying stakeholder-management principles and inclusive communication techniques, using influencing skills, conflict-management approaches, trust-building behaviours and leadership capabilities while demonstrating relevant technologies to support collaboration and shared decision-making.	**K8,** K12, **K13** **S7, S9, S10, S11, S12, S13,** S18
AO4: Continuous improvement and change development Applies continuous-improvement methods and professional networking to inform and develop change strategies that enhance organisational risk and compliance performance.	K15 S14, **S15,** S16

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 at least one **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**
- **project**
- **report**
- **presentation**
- **question and answer**

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 knowledge to create valid and workable solutions in complex contexts involving many interacting factors, showing sound interpretation and a reasoned approach in the compliance and risk environment.	Applies advanced knowledge with a high level of insight and strategic awareness, producing solutions that effectively navigate complex contexts involving many interacting factors, and add value in both design and implementation within the compliance and risk environment.
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 in the compliance and risk environment.	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 in the compliance and risk environment.
Regulatory and Procedural Awareness	Applies regulatory and procedural knowledge strategically, aligning compliance with organisational goals and adapting approaches to meet evolving requirements across compliance and risk activities.	Anticipates and interprets regulatory change, shaping responses that ensure compliance while enabling strategic advantage or operational resilience across compliance and risk activities.
Communication and Collaboration	Communicates, influences, and collaborates across a range of stakeholder	Leads strategic communication and collaboration that engages, aligns, and

	groups, aligning communication with organisational goals and values in the compliance and risk environment.	influences stakeholders. Demonstrates keen judgement and responsiveness in complex or sensitive contexts in the compliance and risk environment.
Information Use and Decision Making	Critically analyses, interprets and evaluates complex information and ideas to inform decisions, demonstrating an awareness of theoretical perspectives and their application within the compliance and risk environment.	Engages critically with a wide range of theories, schools of thought or models, using them to inform a nuanced evaluation of complex concepts or information and to justify innovative or forward-thinking approaches within the compliance and risk environment.
Responsibility and Autonomy	Exercises accountability in planning and delivering courses of action capable of supporting change or development. Leads tasks and processes, making appropriate use of resources and delegation in the compliance and risk environment. 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 in the compliance and risk environment. Exercises autonomy with confidence and judgment, taking accountability for complex decision-making and outcome evaluation.

Professional recognition

This apprenticeship aligns with the professional body recognition detailed in the occupational standard.

Please contact the relevant professional body for further information.
<u>Additional qualification</u>

One of the qualifications detailed in the occupational standard must be completed before the end of the apprenticeship.