Draft Preview

DRAFT APPRENTICESHIP ASSESSMENT PLAN FOR THE COMPLIANCE AND RISK OFFICER APPRENTICESHIP

ST0362/V2

APPRENTICESHIP REFERENCE NUMBER	LEVEL OF THIS APPRENTICESHIP	INTEGRATION
ST0362	3	None

Assessment Plan

Assessment details

Introduction

This Apprenticeship Assessment Plan (AAP) sets out the requirements for the assessment of the Level 3 compliance and risk officer 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: Regulatory compliance and risk controls Implements legal, regulatory, and organisational compliance requirements by applying relevant frameworks, mitigating non-compliance, maintaining audit-ready records, and using organisational and industry knowledge to support effective risk controls and continuous improvement.	**K2*, K3*,** K5, **K12*** **S1, S4*, S6*,** S12
AO2: Customer and stakeholder communication Uses knowledge of products, services, communication methods, and fair customer outcomes to select appropriate communication approaches, adapt style to different audiences, and build constructive working relationships with customers and stakeholders.	**K8, K9, K15*** **S8*, S9*,** S10
AO3: Compliance data analysis and management information Uses digital tools to analyse compliance and risk data and produce evidence-based reports and management information, presenting findings through appropriate data visualisation techniques to support stakeholder decision-making.	**K16*** **S7***
AO4: Information security and data protection practice Applies data protection legislation and organisational policies to securely record, store and share information, using digital systems appropriately and mitigating risks to data including those arising from cyber threats.	**K17*** S13*, **S14**
AO5: Work planning, sustainability and professional development Plans and prioritises workloads to meet individual and team objectives while considering sustainability responsibilities within the finance sector, and reflects on performance to identify development needs and seek feedback to improve the service delivered.	K14, K18 **S3,** S11

(*) Knowledge and skills statements which offer opportunities to develop functional English and maths are identified with an asterisk.

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 an **interview.**

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**

- **professional discussion**

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	Demonstrates sound application of compliance and risk knowledge, facts, procedures, and ideas across routine and non-routine tasks, completing them to an acceptable standard.	Applies a thorough understanding of compliance and risk knowledge, facts, procedures, and ideas to manage and resolve routine and non-routine tasks with discernment and skill.
Applied Skills	Identifies and applies appropriate compliance and risk skills, methods, and procedures to complete tasks and address challenges with a reasonable degree of autonomy and effectiveness, working within set parameters.	Selects and integrates appropriate compliance and risk skills, methods, and procedures proactively and resourcefully to complete tasks and address challenges effectively and with minimal oversight, working within set parameters.
Regulatory and Procedural Awareness	Applies relevant regulatory and organisational compliance requirements without error, with some depth of insight and adaptability.	Demonstrates refined judgement in interpreting regulatory and organisational compliance requirements, confidently navigating nuanced issues in practice.
Communication and Collaboration	Participates effectively in team environments and demonstrates effective communication and customer- and stakeholder-focused interactions that support daily compliance and risk operations.	Communicates persuasively and adapts confidently to different audiences and team dynamics, taking initiative in delivering customer and stakeholder interactions within compliance and risk contexts.

Information Use and Decision Making	Accurately interprets and evaluates relevant compliance and risk information from a variety of sources to support problem-solving in mostly familiar but sometimes complex work contexts.	Evaluates diverse and sometimes conflicting compliance and risk information sources with insight, drawing informed conclusions that improve task outcomes or efficiency.
Responsibility and Autonomy	Takes responsibility for initiating and completing compliance and risk tasks within set parameters and, where relevant, contributes to guiding or supporting others.	Pre-empts the need for compliance and risk tasks to be initiated within set parameters, demonstrating accountability and responsiveness to emerging priorities or risks, and leading others to achieve team outcomes.

Professional recognition

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

Please contact the relevant professional body for further information.

Additional qualification

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