



Draft Preview

DRAFT APPRENTICESHIP ASSESSMENT PLAN FOR THE CONSUMER FINANCIAL SERVICES PROFESSIONAL APPRENTICESHIP

ST1464/V2

APPRENTICESHIP REFERENCE NUMBER	LEVEL OF THIS APPRENTICESHIP	INTEGRATION
ST1464	6	None

Assessment Plan

Assessment details

Introduction

This Apprenticeship Assessment Plan (AAP) sets out the requirements for the assessment of the Level 6 consumer financial services 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:

- Option 1: Retail or commercial financial services professional
- Option 2: Financial services relationship manager
- Option 3: Financial services operations manager

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: Customer engagement and relationship management</p> <p>Applies principles of customer segmentation and fair outcomes to build and maintain stakeholder relationships, identify needs, and communicate financial concepts clearly across channels.</p>	<p>K6, K7</p> <p>S1, S2, S8, S9, S13</p>
<p>AO2: Regulatory frameworks and risk compliance</p> <p>Works within organisational and regulatory standards to identify, assess, and escalate risks, ensuring compliance with governance and ethical requirements.</p>	<p>K1, K2, K4</p> <p>S4</p>
<p>AO3: Digital tools and data security</p> <p>Uses digital technologies and tools to analyse financial data, maintain secure data handling, and apply cybersecurity principles in financial services delivery.</p>	<p>K9, K10, K11</p> <p>S12, S14</p>
<p>AO4: Operational planning and delivery</p> <p>Implements financial administration processes, applies project and time management techniques, and leads or contributes to operational plans and performance improvements.</p>	<p>K8</p> <p>S3, S5, S6, S7, S10, S11</p>
<p>AO5: External environment and sustainability</p> <p>Understands external economic factors, governance frameworks, and sustainability principles, applying these to organisational strategy and financial service delivery.</p>	<p>K3, K5, K12</p>
<p>Option 1: Retail or commercial financial services professional Mapping</p>	
<p>AO6: Product and market delivery</p> <p>Supports the development and implementation of financial products and services, applying market analysis and financial techniques to meet stakeholder needs.</p>	<p>K13, K14, K15</p> <p>S15, S16</p>
<p>Option 2: Financial services relationship manager Mapping</p>	
<p>AO7: Client portfolio and growth</p>	<p>K16, K17, K18</p>

Manages client relationships and portfolios, applying sales, marketing, and risk assessment strategies to deliver sustainable financial outcomes.	S17, S18, S19, S20
Option 3: Financial services operations manager	Mapping
AO8: Operational compliance and efficiency	K19, K20, K21
Administers financial operations processes, ensuring regulatory compliance, integrating changes, and supporting continuous improvement through robust testing and feedback.	S21, S22, S23

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 knowledge to create valid and workable financial services solutions in complex contexts involving many interacting factors, showing sound interpretation and a reasoned approach.	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 financial services.
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 financial services delivery.	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 for financial services delivery.
Regulatory and Procedural Awareness	Applies regulatory and procedural knowledge strategically, aligning compliance with organisational goals and adapting approaches to meet evolving requirements in financial services governance and risk contexts.	Anticipates and interprets regulatory change, shaping responses that ensure compliance while enabling strategic advantage or operational resilience within financial services.
Communication and Collaboration	Communicates, influences, and collaborates across a range of stakeholder groups, aligning communication with organisational goals and	Leads strategic communication and collaboration that engages, aligns, and influences stakeholders. Demonstrates keen judgement and

	values in financial services settings.	responsiveness in complex or sensitive contexts within financial services.
Information Use and Decision Making	Critically analyses, interprets and evaluates complex information and ideas to inform decisions. Demonstrates an awareness of theoretical perspectives and their application within the occupational setting of financial services.	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 in financial services.
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 in financial services operations.	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 in financial services contexts.

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