



Draft Preview

DRAFT APPRENTICESHIP ASSESSMENT PLAN FOR THE FINANCIAL SERVICES ADMINISTRATOR APPRENTICESHIP

ST0177/V2

APPRENTICESHIP REFERENCE NUMBER	LEVEL OF THIS APPRENTICESHIP	INTEGRATION
ST0177	3	None

Assessment Plan

Assessment details

Introduction

This Apprenticeship Assessment Plan (AAP) sets out the requirements for the assessment of the Level 3 financial services administrator 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.

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
<p>AO1: Financial services framework and professional standards</p> <p>Applies regulatory frameworks, professional standards, market context, and organisational product knowledge to deliver accurate and compliant administrative support.</p>	<p>K1, K2, K3, K6</p> <p>S1</p>
<p>AO2: Issue escalation and risk management</p> <p>Identifies, mitigates, and escalates risks and issues in line with organisational policies and procedures to protect customers and the organisation.</p>	<p>K7, K8</p> <p>S4, S5</p>
<p>AO3: Digital systems and data security</p> <p>Uses organisational and industry digital systems to process tasks securely and applies data protection principles to safeguard information.</p>	<p>K9*, K10</p> <p>S6*, S7*</p>
<p>AO4: Stakeholder service and communication</p> <p>Delivers clear and professional communication, builds positive relationships, adapts style for different audiences, and uses research and data presentation techniques to support customer needs.</p>	<p>K4*, K11*, K12*, K13*</p> <p>S2*, S8*, S9*, S10*</p>
<p>AO5: Operational processes and continuous improvement</p> <p>Works within team systems and processes to achieve goals, plans and organises workload effectively, and identifies opportunities for process improvement.</p>	<p>K5, K14, K15</p> <p>S3*, S11, S12</p>
<p>AO6: Sustainability, inclusion, and professional development</p> <p>Considers sustainability and inclusion policies in daily activities and engages in continuous professional development to remain current with industry changes.</p>	<p>K16, K17, K18</p> <p>S13, S14, S15</p>

(*) 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 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**

Assessment organisations must have due regard to any relevant regulation and legislation guidelines that may be published by the Financial Conduct Authority and/or the Prudential Regulation Authority.

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.

Please note: where the table below refers to financial services, this also includes the insurance industry.

Performance Category	Pass	Distinction
Applied Knowledge	Demonstrates sound application of financial services knowledge, facts, procedures, and ideas across routine and non-routine tasks within familiar but sometimes complex work contexts, completing them to an acceptable standard.	Applies a thorough understanding of financial services knowledge, facts, procedures, and ideas to manage and resolve routine and non-routine tasks with discernment and skill, confidently navigating familiar but sometimes complex work contexts.
Applied Skills	Identifies and applies appropriate financial services skills, methods, and procedures to complete tasks and address challenges with a reasonable degree of autonomy and effectiveness.	Selects and integrates appropriate financial services skills, methods, and procedures proactively and resourcefully to complete tasks and address challenges effectively and with minimal oversight.
Regulatory and Procedural Awareness	Applies financial services legislation, regulation, and organisational procedures relevant to the role without error, with some depth of insight and adaptability.	Demonstrates refined judgement in interpreting financial services legislation, regulation, and organisational procedures, confidently navigating nuanced issues in practice.
Communication and Collaboration	Participates effectively in financial services team environments and demonstrates clear, professional communication and customer and or colleague (or stakeholder) service	Communicates persuasively and adapts confidently to different audiences and team dynamics, taking initiative in delivering customer and or colleague (or stakeholder)

	skills that support daily operations.	interactions within financial services contexts.
Information Use and Decision Making	Accurately identifies and applies relevant financial services information from different sources to complete tasks accurately and make informed decisions in mostly familiar but sometimes complex work contexts.	Evaluates diverse and conflicting financial services information sources with insight, drawing informed conclusions that improve task outcomes or efficiency.
Responsibility and Autonomy	Takes responsibility for initiating and completing financial services tasks within set parameters and, where relevant, contributes to guiding or supporting others.	Pre-emptively the need for financial services tasks to be initiated within set parameters, demonstrating accountability and responsiveness to emerging priorities or risks, and leading others to achieve team outcomes.

Crown copyright 2026 You may re-use this information (not including logos) free of charge in any format or medium, under the terms of the Open Government Licence. Visit www.nationalarchives.gov.uk/doc/open-government-licence.