



ICA INTERNATIONAL
COMPLIANCE
ASSOCIATION

**End Point Assessment
Organisation (EPAO)**

**Financial Services
Professional**

ICA is an end-point assessment organisation (EPAO) working with training providers and employers to deliver high quality, robust end-point assessment (EPA) across a range of apprenticeships. We are part of the leading professional body for the regulatory and financial crime compliance community.

ICA's vision is to inspire, educate and enable the international compliance community to think more, perform better and help the right business be conducted in the right way.

Why choose ICA as your End Point Assessment organisation?

We will provide:

- dedicated independent end-point assessors who are subject matter experts
- robust processes and quality assurance
- quick turnaround of results
- friendly, flexible and responsive staff
- a flexible, fair and easy-to-understand pricing structure
- a simple scheduling process, with a team on hand to support you at each stage
- an online platform for apprentices to use for collating and submitting portfolios, and
- guidance sessions for apprentices on how the EPA will be conducted





Financial Services Administrator

Level 6

Route: Legal, finance and accounting

Typical duration to gateway: 42 months
(this does not include EPA period)

Maximum funding: £18,000

ICA Standard EPA Fee: £2,750 per apprentice

The fee quoted is our standard fee - we can offer discounts based on the number of apprentices.

Apprenticeship occupation overview:

The financial services industry encompasses a broad range of businesses that manage or consult about managing money.

These include retail and corporate banking, investment management, investment consulting, investment banking, mortgages, and life and pensions.

The completion of this apprenticeship will enable individuals to become highly competent professionals for the industry.

This will be delivered by a base of core knowledge, skills and behaviours required of all individuals entering or progressing to this level in the sector, and a set of specialist options that then provide the occupationally specific competence, depending on the part of the sector and type of business the individual works for.

Role Profile

This is a core and options model. The shared knowledge, skills and behaviours are covered in the core, with the specific technical knowledge and skills required for each role being covered in the single chosen option. The specialist options included are as follows.

1. Retail banking

These roles are within retail banking, covering both branch and head office roles. Retail banking, also known as consumer banking, is the provision of services to individual consumers, rather than to companies, corporations, or other banks. Services offered include savings and transactional accounts, mortgages, personal loans, debit cards, and credit cards.

The roles are typically responsible for delivering effective retail branch services or head office functions that support these branch services, where they are likely to be leading teams/business areas in order to meet customer needs.

2. Commercial/business banking

These roles sit within the commercial/business banking part of the sector. At this level they typically provide relationship management to small- and medium-size business clients/customers, assessing their

financial performance and proactively matching banking products and services to their needs. They may also provide specialist advice on a range of more technical banking products such as equipment, invoices, and trade finance.

3. Investment banking

Investment banking is the creation of capital for corporate, government and financial institution clients/customers, through the provision of capital markets and financing solutions. Additionally Investment banking involves the provision of investment advice, trading, and post-trade services to professional investors across a range of financial instruments. Typically, at this level, the role involves providing technical/specialist support to those in direct trading and senior client/customer advisory roles, in addition to providing some day-to-day trade support to clients/customers.



4. Investment management

Investment management (also known as asset or fund management) and investment consulting are about either managing or providing advice around the management of a client's/customer's money, to meet investment goals, such as capital growth and/or income generation. Clients/customers may be individuals or institutions. Typically, the roles focus on the analyst and fund/portfolio support roles, usually involving financial statement analysis, asset selection, stock selection, implementation and monitoring of investments and providing investment recommendations to clients/customers.

5. Operations

These are junior management-level roles working within the operational and administrative areas of businesses in the sector. These roles are in most areas of financial services, where transactional and process management is needed, and require a significant level of technical and sector skill and knowledge in order to deliver successfully. The role may sit within a number of different specialist business functions such as customer service, global payments, investment operation

transactions, product control, and change management. At this level the role will typically be starting to lead teams and managing service delivery.

6. Workplace pensions

The roles in this part of the sector are positioned within specialist workplace pensions businesses, or in-house teams who are responsible for managing the workplace pension scheme of the organisation. The roles provide support to clients/customers on an administrative or consultancy basis within the very complex world of workplace pensions. At this level, the role may contain both the admin and consultancy elements. In particular, the roles require a sound understanding of both the general principles and structures of workplace pension schemes, together with the specifics for their clients/customers, as much variation is possible between clients/customers.

Knowledge, skills and behaviours: What apprentices need to learn

The required knowledge, skills and behaviours of the Financial Services Professional apprenticeship standard are found on the Institute for Apprenticeships & Technical Education (IfATE) website..



Gateway Requirements

The End-Point Assessment (EPA) gateway is when the ICA checks and confirms that apprentices have met any requirements required before they start the EPA.

At the end of the on-programme training period, the training provider and employer will need to agree that the apprentice has met the knowledge, skills and behaviours required for the apprenticeship standard.

Apprentices without Level 2 English and Maths will need to achieve these prior to taking the end-point assessment. You will also need to provide evidence of passing one of the professional qualifications listed in the occupational standard.

Why choose ICA as your EPAO?

ICA will provide:

- dedicated independent end-point assessors who are subject matter experts
- robust processes and quality assurance
- quick turnaround of results
- friendly, flexible, and responsive staff
- a flexible, fair, and easy-to-understand pricing structure


- a simple scheduling process, with a team on hand to support you at each stage
- an online platform apprentices to use for collating and submitting portfolios, and
- guidance sessions for apprentices on how the EPA will be conducted.

End Point Assessment

All apprentices must take an independent assessment at the end of their apprenticeship training to confirm that they have achieved occupational competence. Rigorous, robust and independent EPA is essential to give employers confidence that apprentices completing an apprenticeship standard can actually perform in the occupation they have been trained in and can demonstrate the knowledge, skills and behaviours set out in the apprenticeship standard.

EPA can only be conducted by an independent EPAO.





The Assessment Plan for each standard outlines the assessment methods to be used. The EPA for this apprenticeship consists of the following mandatory elements.

Work-based project report, presentation and questions & answers

This will be a significant work-based project that contains real activity undertaken in the role and demonstrates many of the aspects of the standard. It should describe what the apprentice did, how they did it and the benefits that resulted from the project.

The project will be a substantive evidence base from a business-related project to demonstrate the application of skills, knowledge and behaviours. It will be related to the specific option that the apprentice has chosen from the standard.

It will be completed in the last few months of the apprenticeship, following the gateway, and the apprentice will be given four months after the gateway to complete the project for submission.

Panel interview, underpinned by a portfolio of evidence

This assessment will take the form of a 120-minute interview; it will provide an opportunity for the apprentice to demonstrate their competence and excellence and to cover the knowledge, skills and behaviour assigned to this assessment method.

The panel interview will cover the knowledge, skills and behaviours in the standard (although focusing more on the skills and behaviours), testing the portfolio and how well they are performing in their role.

Apprentices will collect evidence for a portfolio during their on-programme training and development, to evidence their learning and application of technical knowledge in practice, core regulatory competencies, and their values and behaviours.

The portfolio will contain work-based evidence that has been built up progressively through the apprenticeship and will illustrate the application of the knowledge, skills and behaviours within the standard. The requirements of individual portfolios must be tailored to cover the specialist option selected. It will also include a learning journal created by the apprentice, showing how they have applied what they have learned.

The portfolio should provide examples across the Knowledge, Skills and Behaviours using a range of evidence types that best demonstrate competence for their job role and to ensure breadth to that evidence base.

The interview verifies the content of the portfolio and that the apprentice has developed all of the skills, knowledge and behaviours listed in the apprenticeship standard.

Full information regarding the assessment methods is provided within the ICA Assessment Handbook for this EPA.

Get in touch to discuss your EPA service requirements



Gr

Each
indep
comp
in or

The o
Pass,
the p
asses

Indep
grad
distr

Appr
in bo
a pas
elem

Resu

Follo
EPA r
and a
Fund
final



End Point Assessment Organisation (EPAO)

Get in touch to discuss your EPA service requirements

Email epa@int-comp.org, call us directly on +44 (0) 121 362 7503, or complete the form at www.int-comp.org/epao to request a same day call back from the EPA Team.

 @intcompassoc

 /intcompassoc

 /intcompassoc

 ica_compliance

International Compliance Association - Head Office

Fort Dunlop, 6th Floor, Fort Parkway, Birmingham, B24 9FD, United Kingdom
+44 (0) 121 362 7503 | epa@int-comp.org | www.int-comp.org/epao