



**End Point Assessment  
Organisation (EPAO)**

**Senior Compliance  
and Risk Specialist**

**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 to 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



Excellent:  
Good:  
Fair:  
Uncertain:  
Poor:

Report Summary

<b>Tradeline Overview</b>	
Total:	37
Current:	32
Untrade:	0
Current Neg:	0
Historical Neg:	1

<b>Account Status</b>	
Current Past Due:	\$0
Accts Paid:	\$193,450
Account Balance:	\$1,842
Monthly Payment:	

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## Senior Compliance and Risk Specialist

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**Level 3**

**Route:** Business and administration

**Typical duration to gateway:** 12 months  
(this does not include EPA period)

**Maximum funding:** £4,500

**ICA Standard EPA Fee:** £900 per apprentice  
The fee quoted is our standard fee - we can offer discounts based on the number of apprentices.

### **Apprenticeship occupation overview:**

A team leader or supervisor is a first line management role, with operational and project responsibilities or responsibility for managing a team to deliver a clearly defined outcome. They provide direction, instructions and guidance to ensure the achievement of set goals. Working in the private, public or

third sector and in all sizes of organisation, specific responsibilities will vary, but the knowledge, skills and behaviours needed will be the same whatever the role.

Key responsibilities are likely to include supporting, managing and developing team members, managing projects, planning and monitoring workloads and resources, delivering operational plans, resolving problems, and building relationships internally and externally.

### **Role Profile**

The duties within this role include the following.

**Leading people** – able to communicate organisational strategy and team purpose

and to support the development of the team and people through coaching, role modelling values and behaviours, and managing change effectively.

**Managing people** – able to build a high-performing team by supporting and developing individuals, and motivating them to achieve. Able to set operational and personal goals and objectives and monitor progress, providing clear guidance and feedback.

**Building relationships** – building trust with and across the team, using effective negotiation and influencing skills, and managing any conflicts. Building relationships with customers and managing these effectively.

**Communication** – able to communicate effectively (verbal, written, digital), chair meetings and present to team and management. Use of active listening and provision of constructive feedback.

**Operational management** – able to communicate organisational strategy and deliver against operational plans, and monitoring outcomes. Able to adapt to change, identifying challenges and solutions. Ability to organise, prioritise and allocate work, and effectively use resources.

**Finance** – delivering ‘value for money’ and how to monitor budgets to ensure efficiencies and that costs do not overrun.

**Project management** – able to organise, manage resources and risk, and monitor progress to deliver against the project plan. Ability to use relevant project management tools, and take corrective action to ensure successful project delivery.

### **Knowledge, Skills, and Behaviours: What apprentices need to learn**

The required Knowledge, Skills and Behaviours of the Senior Compliance and Risk Specialist 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 EPA.

At gateway, apprentices must submit a portfolio of evidence to be used within the professional discussion.

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## End-Point Assessment (EPA)

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 knowledge, skills and behaviours set out in the apprenticeship standard.

EPA can only be conducted by an independent end-point assessment organisation (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.**

### **Presentation and questions and answers**

The apprentice delivers a 20-minute presentation to the ICA. This is followed by up to 30 minutes for a Q&A session.

The presentation will allow the apprentice to demonstrate the knowledge, skills and behaviours assigned to this assessment method, allowing the independent assessor to draw these out, and to assess performance against the distinction criteria.

Questions and answers following the presentation will seek to assess those knowledge, skills and behaviours not evidenced through the presentation and to assess performance against the distinction criteria.

The presentation should provide a summary of their role as a team leader, what they do, and how this is relevant to their role and organisation. It will be based on one of the following topics:

- reviewing ways to reduce cost and increase efficiency in a business environment
- implementing a performance management process within a team or business unit
- supporting their team through a period of change within their organisation, and
- managing a difficult situation within their team.

Apprentices can choose to look at other topics provided they cover the relevant knowledge, skills and behaviours, give adequate opportunity for the apprentice to meet the required 'pass' and 'distinction' grading criteria and are agreed with the ICA in advance.

### **Professional discussion, underpinned by a portfolio of evidence**

This assessment will take the form of a 60-minute professional discussion which will provide an opportunity for the apprentice to demonstrate their competence and excellence and to cover the knowledge, skills and behaviours assigned to this assessment method.

A professional discussion is a two-way discussion which involves both the assessor and the apprentice actively listening and participating in a formal conversation. It gives the apprentice the opportunity to make detailed and proactive contributions to confirm their competency across the knowledge, skills and behaviours mapped to this method.

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 discussion 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.**

# Grading

Each assessment will be carried out independently, and all assessment components of the EPA must be passed in order to attain an overall pass grade.

The overall EPA will be graded Fail, Pass, or Distinction based upon the performance across the 2 assessments.

Assessors will individually grade each assessment method – distinction, pass or fail.

To achieve an overall EPA 'pass', the apprentice must achieve a pass in both assessment methods.

To achieve an overall EPA 'distinction', apprentices must achieve a distinction in both assessment methods.

## Results and Certification

Following the EPA, ICA will issue an EPA result letter and grade notification and apply to the Education and Skills Funding Agency (ESFA) to produce the final apprenticeship certificate.

**Get in touch to discuss your EPA service requirements**



## End Point Assessment Organisation (EPAO)

### Get in touch to discuss your EPA service requirements

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



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ica\_compliance

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