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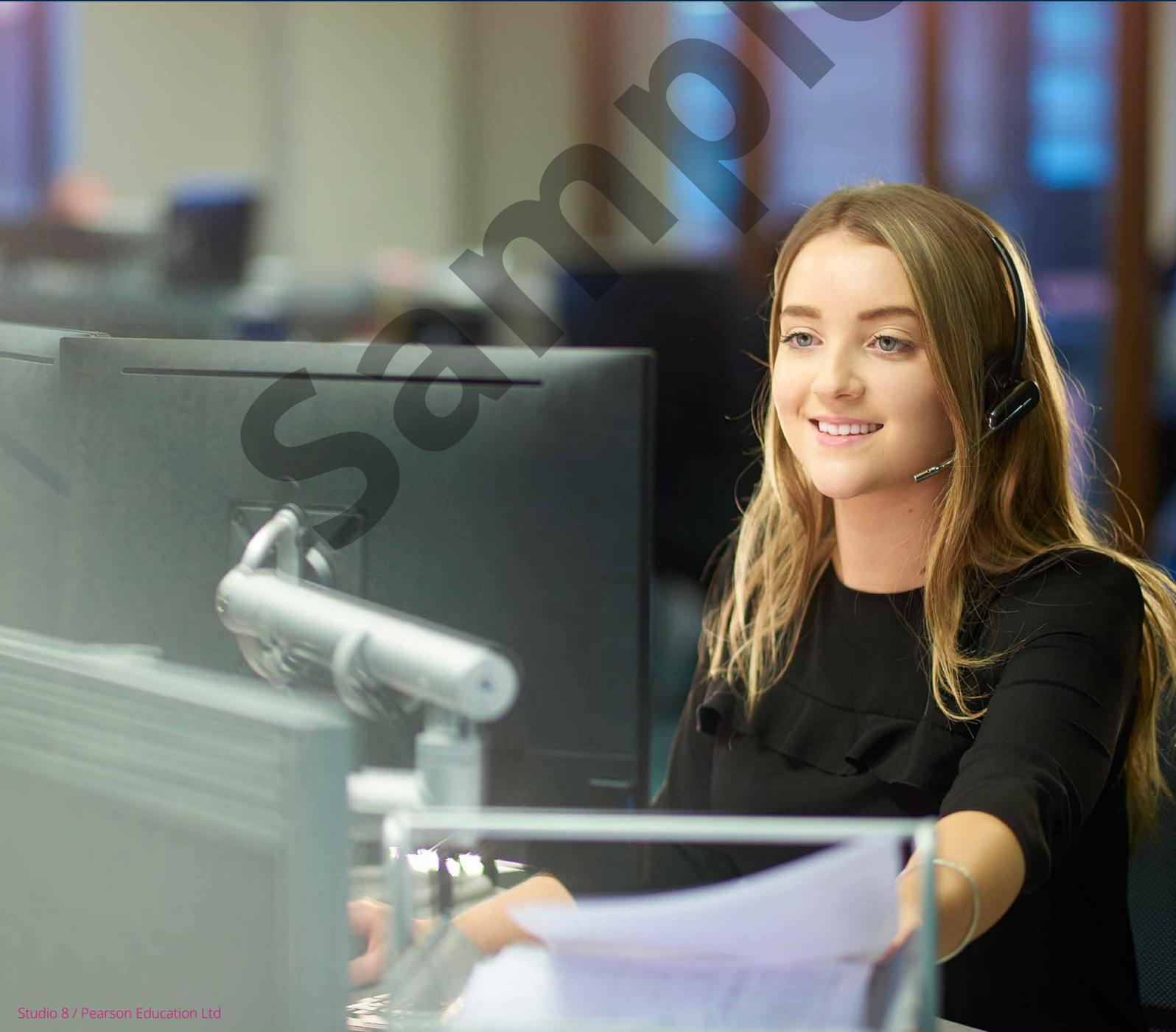
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Level 2 End-point Assessment for Financial Services Customer Adviser

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Issue 1



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End-point assessments for the New Apprenticeship Standards

Introduction

In October 2013, the government began the implementation of the plan to reform apprenticeships in England. The reform includes changes that move the design of apprenticeships into the hands of employers, with the aim of making them more rigorous and responsive to employers' needs. Employer groups, referred to as Trailblazers, now lead on the development of apprenticeships for occupations where they identify the need for apprentices.

One of the most significant changes in this reform is the introduction of an independent end-point assessment. The end-point assessment (EPA) is a synoptic assessment of the knowledge, skills and behaviours outlined in the Apprenticeship Standard and which are learned throughout the apprenticeship programme. The end-point assessment can be delivered only by a registered assessment organisation that must be independent of the employer or any apprenticeship training provider involved in the delivery of the on-programme phase of the apprenticeship. All assessment decisions for the end-point assessment must be made by the independent assessment organisation.

All apprentices must undertake the independent end-point assessment at the end of the on-programme phase of training when their employer, and in some cases their training provider, is satisfied that they have met the 'gateway' criteria to undertake the assessment. The purpose of the end-point assessment is to make sure that the apprentice meets the standard set by employers and that they are fully competent in the occupation. An apprentice cannot be awarded the apprenticeship certificate until they have successfully completed the end-point assessment.

Pearson, as a registered assessment organisation, has been working closely with employers, further education providers and occupational experts in the development of end-point assessment tools to ensure that they are:

- valid and appropriate to assess occupational competence in the relevant industry and will deliver reliable outcomes
- fair to all apprentices and help them to make progress in their lives
- manageable for apprentices and the industry and can be delivered effectively and efficiently.

This specification contains the information needed to prepare apprentices for the end-point assessment for the Financial Services Customer Adviser Apprenticeship.

2 Financial Services Customer Adviser end-point assessment

Structure

The end-point assessment (EPA) for the Financial Services Customer Adviser Apprenticeship consists of the following two assessment components.

End-point assessment components	Duration
Portfolio of evidence	Three-month, end-point assessment period, with submission deadline to be agreed between end-point assessor, employer/training provider and apprentice.
Professional discussion	A maximum of 1 hour.

Apprentices are expected to complete all components of the end-point assessment within three to four months of the start of the end-point assessment period. It is expected that assessment components be completed in the order that they are shown in this specification.

There is detailed information about each of these end-point assessment components in *Section 3*.

Grading

The grade for the end-point assessment is based on the apprentice's aggregated achievement of the specified grade criteria for both components. Grades are not reported for individual assessment components.

The table below shows how the grade for the end-point assessment is determined.

End-point assessment grade	Grade requirements
Pass	The apprentice must achieve <i>all Pass grade criteria in both</i> the portfolio of evidence and professional discussion end-point assessment components.
Distinction	<i>In addition to the Pass grade requirement, the apprentice must achieve the following in the portfolio:</i> <ul style="list-style-type: none">• all distinction criteria in all four of the following skills and behaviours areas:<ul style="list-style-type: none">○ customer service○ delivering results○ teamwork○ personal development• all distinction criteria in any three of the following skills and behaviours areas:<ul style="list-style-type: none">○ continuous improvement○ communication○ problem solving○ flexibility○ honesty and integrity○ resilience.

Component 1: portfolio of evidence

Purpose

The portfolio of evidence is a summative portfolio in which apprentices will demonstrate, with the support of appropriate work-based evidence, how they have applied and used the identified knowledge, skills and behaviours at the required standard in their everyday work practice.

The portfolio of evidence is assessed against a number of outcomes related to the knowledge, skills and behaviours within the Financial Services Customer Adviser Apprenticeship Standards. The Apprenticeship Standard outcomes have been developed by employers with input from training providers and professional bodies, and are published in the Apprenticeship Standard assessment plan that can be found by visiting www.gov.uk/government/collections/apprenticeship-standards. The portfolio of evidence requires apprentices to:

- illustrate their application of the knowledge, skills and behaviours within the Standard holistically
- demonstrate, with use of real work-based evidence, their competence in the work environment.

The *Portfolio Assessment Brief in Annexe B* gives more information on the portfolio requirements and shows how these requirements map to the Pass and Distinction criteria outlined on *pages 37-61*.

The portfolio of evidence will assess the following areas and outcomes from the Apprenticeship Standard.

Skills and behaviours area	Apprenticeship Standard outcomes
Customer service	<ol style="list-style-type: none"> 1 Demonstrates a desire to put customers first, in line with the organisation's culture and values 2 Able to identify where a customer has a need, understand that need and provide suitable options 3 Able to support customers with appropriate channel choice 4 Demonstrates an awareness of local community activities and knows how they can support
Delivering results	<ol style="list-style-type: none"> 1 Customer transactions/enquiries are processed to the organisation's standards, using required systems and processes 2 Takes ownership and commits to delivery 3 Plans/organises their workload effectively and raises awareness with their manager of any issues/challenges
Teamwork	<ol style="list-style-type: none"> 1 Consistently supports colleagues and collaborates to achieve results 2 Builds and maintains good working relationships with colleagues/customers 3 Aware of own role within the team and their impact on others
Communication	<ol style="list-style-type: none"> 1 Demonstrates genuine interest and empathy with customers/colleagues, engaging through jargon free language 2 Exhibits the ability to listen and adapt their behavioural style
Problem solving	<ol style="list-style-type: none"> 1 Able to demonstrate appropriate solutions to deliver the best customer outcome, escalating as required within timescales 2 Identifies and deals appropriately with complaints following the organisation's processes and standards
Continuous improvement	<ol style="list-style-type: none"> 1 Able to raise ideas for improvement related to performance and service 2 Able to implement changes within their own role successfully
Personal development	<ol style="list-style-type: none"> 1 Takes ownership for and seeks ways in which to develop their knowledge and skills within the role

Apprenticeship Standard and content

This section identifies the Apprenticeship Standard outcomes that are assessed in the portfolio of evidence, and details the principles, concepts and practices underpinning them. In order to provide sufficient and valid evidence to demonstrate their competence in relation to the Apprenticeship Standard learning outcomes, apprentices need to have a good understanding of these principles, concepts and practices, they need sufficient time to practise using them in their customer service delivery.

Training and delivery approaches, such as coaching, mentoring, shadowing, reflective practice, collaboration and consultation, will be useful in structured on-the-job training to help apprentices develop the skills, behaviours and practices linked to this assessment.

Sample

Skills and behaviours area 1: Customer service

Apprenticeship Standard	Apprenticeship Standard outcomes	Content for delivery
<p>Delivers excellent service, identifying and meeting or exceeding customer requirements. Supports customers in the use of digital solutions. Initiates contact with customers and builds relationships with them when appropriate. Identifies customer needs and refers where appropriate. Supports the company contribution to the local community, getting involved in activities and building a local network, where appropriate.</p>	<ol style="list-style-type: none"> 1 Demonstrates a desire to put customers first, in line with the organisation's culture and values 2 Able to identify where a customer has a need, understand that need and provide suitable options 3 Able to support customers with appropriate channel choice 4 Demonstrates an awareness of local community activities and knows how they can support 	<p>Dealing with customers and building customer relationships</p> <ul style="list-style-type: none"> • <i>Organisational culture and values</i>: definition and examples of organisational core values; purpose of core values in an organisation; how to apply organisational core values in a customer service delivery role; values such as honesty, integrity, financial awareness, reliability, being trustworthy; professional ethics and competence. • <i>Behaviour with customers</i>: listening, asking appropriate questions and gathering facts, identifying needs, clear communication, efficient and professional manner. • <i>Using appropriate communications skills and techniques</i>: verbal and non-verbal communication skills; positive language and behaviours; communication techniques, e.g. paraphrasing, summarising, mirroring. • <i>Value-added options</i>: enhancements a company gives its product or service before offering the product to customers, e.g. anniversary premium renewals, discount on additional policies, 0% interest periods for new or balance transfer customers, discount on additional product purchases, money back credit cards, 'local' call-centre personalised service, money back on account switches, fixed-rate interest period mortgages/credit/utilities.

Assessing performance

Apprentices must produce their evidence for this assessment against the *Portfolio Assessment Brief* in *Annexe B*.

The Independent end-point Assessor will assess the apprentice's submitted evidence against the requirements in the Apprentice Portfolio Brief and against the grade criteria and related evidence requirements, as detailed below. No other sources of information will be used to make judgements about the quality and sufficiency of the apprentice's evidence. Evidence requirements are provided for grade criteria only where it necessary to clarify the evidence expected.

Sample

Skills and behaviours area 1: Customer service

Learning outcomes	Pass criteria	Distinction criteria	Evidence requirements
<p>Demonstrates a desire to put customers first, in line with the organisation's culture and values</p>	<p>1A Deliver customer service in line with the organisational service offer, culture and values.</p> <p>1B Use interpersonal skills and behaviours appropriately to deliver customer-focused and positive customer experiences.</p>	<p>1L Use own initiative to identify feasible option(s) that provide(s) added value to the organisational service offer and that exceeds customer expectations.</p>	<p>To meet the Pass criteria, apprentices must clearly outline their organisational service offer, culture and values. They must then demonstrate how they have applied the stated culture and values, and used their interpersonal skills and behaviours to deliver customer-focused and positive customer experiences within the limits of the service offer.</p> <p>To meet the Distinction criterion, apprentices must describe at least one service option that they have identified on their own initiative and explain how this option adds value to the organisational service offer and why it is feasible in relation to the organisational values, culture and regulatory context.</p> <p>Supporting work-based evidence can include relevant records of observed performance, expert witness testimony, customer feedback or relevant work product/output such as a redacted email suggesting the service option or redacted completed organisational forms detailing the suggestion of the service option etc.</p> <p>Evidence for the Pass criteria must be drawn from a maximum of two different customer situations.</p>

Component 2: Professional Discussion

Purpose

The professional discussion is a planned structured discussion between the apprentice and the Independent end-point Assessor. The purpose is to assess apprentices' knowledge and understanding of specific areas of the Apprenticeship Standard and their ability to apply this in carrying out their role as a financial services customer adviser in their organisation.

The professional discussion will assess the following areas and outcomes of the Apprenticeship Standard.

Modules	Apprenticeship Standard learning outcomes
Industry and Company Understanding	<ol style="list-style-type: none">1 Knows the role their sector plays in Financial Service2 Knows the business they work in, the company 'Values', professional standards and where their role fits in the business
Products and Services	<ol style="list-style-type: none">1 Has a broad understanding of the products and services offered to customers by their company2 Has a detailed understanding of the products and services that they support in their role
Systems and Processes	<ol style="list-style-type: none">1 Knows the systems, tools and processes used in the role, together with the standards to be met2 Knows the consequences of not following processes correctly and what action to take
Regulatory, Legal and Compliance	<ol style="list-style-type: none">1 Knows the regulatory and legislative environment of Financial Services and how it applies to their role2 Knows specific compliance and risk requirements that apply to their role

Annexe A: Gateway Declaration Form

Apprentice name:			
ULN:			
Gateway date:			
Prerequisite evidence	Y/N	Comments/description of evidence (if applicable)	
English and maths certificates (L1 or above)			
English and maths (L2) taken			
Evidence requirements for the apprentice's organisation			
Please list any other evidence reviewed as part of the gateway process.			
Employer declaration			
<ul style="list-style-type: none"> I confirm that the apprentice has achieved the occupational knowledge, skills and behaviours required to achieve the apprenticeship. The apprentice has achieved the prerequisites listed above and is ready for their end-point assessment. 			
Name: _____		Date: _____	
Signature: _____			
Apprentice declaration			
I confirm the gateway evidence is my own and agree to be put forward for the EPA.			
Signature: _____		Date: _____	

Sample

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