|  |
| --- |
| *Insurance Apprenticeship* |

**July 2017 Version 1.0**

Contents

Level 3 - Gateway Declaration Form 1

Level 3 Insurance Practitioner Holistic Assessment – Front Sheet 3

Level 4- Gateway Declaration Form 15

Level 4 Insurance Professional Holistic Assessment – Front Sheet 17

Level 3 - Gateway Declaration Form

Completion of this Gateway Declaration Form confirms that the employer/training provider is satisfied the apprentice has fulfilled all requirements to request their consideration for end point assessment by City & Guilds.

|  |  |  |  |
| --- | --- | --- | --- |
| Apprenticeship Standard | Level 3 Insurance Practitioner | Start date | DD/MM/YY |
| Apprentice  name | Apprentice name | Enrolment  number | 1234567 |

|  |  |
| --- | --- |
| **Entry Requirement** | **Achieved (Yes/No)** |
| Certificate in Insurance(Cert CII)  **Or**  Certificate in Claims Handling (Cert CILA) |  |
| Level 2 qualification (or equivalent) in Maths and English |  |
|  |  |
|  |  |
|  |  |

City & Guilds could sample evidence of any of the above at any point either before or after the end point assessment. It is the Lead provider’s responsibility to retain auditable evidence. Any non-disclosure of information requested could subsequently result in the end point assessment record of achievement or externally issued Apprenticeship certificate being withdrawn.

|  |  |  |
| --- | --- | --- |
| **Any previous End-Point Assessments** | | |
| Has the Apprentice previously taken any assessments that form part of the EPA for this Apprenticeship Standard with any other Assessment Organisation? | | Yes/No |
| **If yes** | | |
| What Assessment Organisation was the End-Point Assessment carried out by? |  | |
| What date(s) was the End-Point Assessment taken? |  | |
| What grade(s) (eg fail/pass/merit/distinction) was issued? |  | |

**Employer/training provider declaration:**

**I confirm that the apprentice has achieved all end point assessment entry requirements as listed above and obtained the required teaching, workplace training and experience covering the full apprenticeship standard to be eligible for end-point assessment. A Gateway process has been carried out to confirm the following**

The apprentice has been employed throughout the duration of his/her apprenticeship.

The ILP and commitment statement has been signed by the apprentice, the employer and the Training Provider, and all three parties have retained a signed and dated version.

The apprentice has been given appropriate time to attend the on and off-the-job training required for the apprenticeship standard.

The apprentice has completed a minimum of 12 months of on-programme learning and all pre-requirements for eligibility for end point assessment.

|  |  |  |  |
| --- | --- | --- | --- |
| **Employer** | Name & Signature | **Date** | DD/MM/YY |
| **Training Provider (if appropriate)** | Name & Signature | **Date** | DD/MM/YY |

**Apprentice declaration:**

**I confirm that I have undergone a Gateway process to confirm that I am eligible for end point assessment.**

|  |  |  |  |
| --- | --- | --- | --- |
| **Apprentice** | Name & Signature | **Date** | DD/MM/YY |

Level 3 Insurance Practitioner Holistic Assessment – Front Sheet

The Holistic Assessment – Front Sheet must be completed as appropriate and submitted to City & Guilds with the Apprentice’s evidence for End-point Assessment.

|  |  |  |  |
| --- | --- | --- | --- |
| Apprentice  name | Apprentice Name | Enrolment  number | 1234567 |

**Apprentice declaration:**

**I confirm that all work submitted is my own, and that I have acknowledged any sources I have used.**

|  |  |  |  |
| --- | --- | --- | --- |
| **Apprentice** | Signature | **Date** | DD/MM/YY |

**Line manager declaration:**

**I confirm that all work was conducted under conditions designed to assure the authenticity of the Apprentice’s work, and am satisfied that, to the best of my knowledge, the work produced is solely that of the apprentice**

|  |  |  |  |
| --- | --- | --- | --- |
| **Line manager** | Signature | **Date** | DD/MM/YY |

**Training Provider declaration:**

**I confirm that the evidenced presented by the Apprentice is ready for End-Point Assessment. It is valid, authentic, reliable and current and sufficient to meet the requirements of the relevant standard.**

|  |  |  |  |
| --- | --- | --- | --- |
| **Training Provider** | Name & Signature | **Assessment Date** | DD/MM/YY |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Grading Criteria** | | | | | | |
|  | **Pass** | **Distinction** | **Evidence type**  **Centre /Training Provider only** | **Evidence reference**  **Centre /Training Provider only** | **Evidence provided in**  **IEPA only** | **Grade**  **IEPA only** |
| **Standard reference** | | |
| **Knowledge** | | | | | | |
| **1.1 Insurance market**  A broad understanding of the insurance market, products and services. A basic commercial awareness and understanding of how the general insurance technician role supports the business. | | | | | | |
|  | **The learner can:** |  | | | | |
| **1.1.1** | Describe the structure of the insurance market and explain the roles of the various parties involved. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass |
| **1.1.2** | briefly describe the main product and services which are commonly available in the insurance market | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass |
| **1.1.3** | Explain the policy cover, extensions, limitations and exclusions relevant to the role. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass |
| **1.1.4** | Describe how the role carried out contributes to the business achieving its' overall objectives. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass |
| **1.2 Risk and Regulatory**  A good understanding of general insurance and internal compliance activities required e.g. data protection. Understanding of the role of the Financial Conduct Authority and other appropriate regulatory bodies. | | | | | | |
|  | **The learner can:** |  | | | | |
| **1.2.1** | Summarise the legal and insurance principles which are relevant to the role. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass |
| **1.2.2** | Describe the role of the Financial Conduct Authority and other regulatory bodies which are relevant to the role. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass |
| **1.2.3** | Identify the legal and regulatory requirements which apply to the role and describe the organisational policies and procedures for complying with these. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass |
| **1.3 Clients and Colleagues**  An understanding of the importance of the relationships required to be successful in the role and to ensuring client needs are met. | | | | | | |
|  | **The learner can:** |  | | | | |
| **1.3.1** | Describe the roles and responsibilities of colleagues and their relevance to the role. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass |
| **1.3.2** | Explain the importance of understanding the needs of clients and of delivering good client experiences. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass |
| **1.3.3** | Explain the importance of developing good relationships with clients and colleagues. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass |
| **1.3.4** | Describe the impact of own actions on relationships with clients and colleagues. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass |
| **1.4 Processes and Procedures**  A clear understanding of processes and procedures relevant in their own technical area of delivery and a basic understanding of the impact on the wider organisation and industry. | | | | | | |
|  | **The learner can:** |  |  | | | |
| **1.4.1** | Describe the organisational policies and procedures that apply to the role. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass |
| **1.4.2** | Identify how the organisational policies and procedures that apply to the role have an impact on the wider organisation. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass |
| **1.4.3** | Identify how the organisational policies and procedures that apply to the role align to market agreements and procedures. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass |
| **1.5 Commercial awareness**  An understanding of business benefits and commercial realities. Understanding the wider environment in which an organisation operates; its customers, competitors and suppliers. Also an awareness of the need for efficient and cost effective practices in relation to the market place within which the company operates. | | | | | | |
|  | **The learner can:** |  |  | | | |
| **1.5.1** | Describe the organisation's key business objectives and identify how achievement of these can be affected by the wider environment in which the business operates. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass |
| **1.5.2** | Describe how change within the market place can impact the organisation. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass |
| **1.5.3** | Identify direct competitors in the market place and their potential impact on the organisation. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass |
| **1.5.4** | Explain the importance of the organisation operating in an efficient and cost effective manner and the potential consequences of not adopting efficient working practices. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass |
| **Skills** | | | | | | |
| **2.1 Technical ability**  Adherence to relevant processes and procedures using technical ability and proficient IT skills to deliver good outcomes for the business. | | | | | | |
|  | **The learner consistently:** | **The learner can:** |  | | | |
| **2.1.1** | Demonstrates an awareness of team objectives and works to contribute to these. | Demonstrates a clear understanding of both team and overall business objectives and drives own contribution to these. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **2.1.2** | Carries out work in accordance with organisational policies, procedures and service standards. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **2.1.3** | Works within own authority levels and limits of responsibility. | acts as a point of referral for others |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **2.1.4** | Makes sure knowledge of relevant insurance products and/or services is up to date. | is proactive in updating own knowledge of relevant insurance products and/or services and shares this information with others |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **2.1.5** | Uses knowledge of insurance products and/or services to meet client needs and expectations. | uses knowledge of insurance products and/or services to exceed customer needs and expectations |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **2.1.6** | Maintains accurate and complete records of all work carried out. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **2.1.7** | Uses IT skills proficiently when carrying out work. | demonstrates excellent IT skills and uses these to identify more efficient ways of working |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **2.2 Relationship development**  The development and management of positive working relationships, through a variety of mediums, handling & resolving client queries through effective verbal/written/IT skills. | | | | | | |
|  | **The learner consistently:** | **The learner:** |  | | | |
| **2.2.1** | Develops and maintains positive working relationships with all stakeholders. | Uses networking opportunities to enhance own contribution to the business. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **2.2.2** | Balances the needs of customers and the organisation. | Is innovative in approach to meeting customer needs which also benefits the organisation. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **2.2.3** | Identifies and uses the most appropriate methods of communication. | Communicates effectively with stakeholders at all levels. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **2.2.4** | Communicates effectively verbally, in writing in various mediums. | Prepares and structures non standard communications in a way that promotes understanding. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **2.2.5** | Identifies and resolves client queries. | Evaluates client queries to identify potential customer service trends. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **2.3 Effective working**  Ability to work in a variety ways to achieve results, e.g. collaboratively or independently. Demonstrating attention to detail, appropriate time management and a problem solving approach to all work undertaken. | | | | | | |
|  | **The learner consistently:** | **The learner:** |  | | | |
| **2.3.1** | Works both independently and collaboratively with other colleagues in own work area. | Works both independently and collaboratively with stakeholders both inside and outside the organisation to deliver positive outcomes. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **2.3.2** | Plans, prioritises and organises own time and work to meet business requirements, objectives and timescales. | Evaluates own use of time to suggest more efficient ways of working. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **2.3.3** | Monitors the progress of own work and revises plans where necessary. | Seeks out opportunities to support colleagues to ensure the delivery of work outputs for the team. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **2.3.4** | Identifies when work plans cannot be met and informs those who are affected. | Identifies when work plans will not be met and develops alternative solutions to ensure work outputs are delivered on time. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **2.3.5** | Demonstrates attention to detail. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **2.3.6** | Proactively identifies and resolves problems. | Pro-actively identifies and resolves problems before customers become aware of them. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **2.4 Governance**  Demonstration of an understanding of regulatory requirements, including data protection and treating customers fairly. Understanding of specific threats | | | | | | |
|  | **The learner consistently:** | **The learner:** |  | | | |
| **2.4.1** | Makes sure own work complies with relevant legal requirements. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **2.4.2** | Makes sure own work complies with relevant industry regulations. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **2.4.3** | Identifies any instances of actual or potential non compliance with relevant regulations and reports these to the relevant person. | Identifies any instances of actual or potential non compliance with relevant regulations and takes action to correct these in line with organisational procedures. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **2.4.4** | Responds to changes in organisational policies and procedures resulting from regulatory requirements | Proactively identifies changes to organisational polices and procedures which would help to meet regulatory requirements. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **2.4.5** | Keeps own work information confidential and secure. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **2.4.6** | Identifies potential threats and opportunities to the business and escalates these in line with company procedures. | Identifies potential threats before they have an impact and identifies potential solutions. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **Behaviour** | | | | | | |
| **3.1 Drive to excel**  Demonstration of motivation and enthusiasm in the role, remaining positive in challenging situations and constantly seeking both to learn and to bring out the best of themselves, e.g. uses initiative and drive to ensure a complex client query is followed through to completion. | | | | | | |
|  | **The learner consistently:** | **The learner:** |  | | | |
| **3.1.1** | Shows a pragmatic approach to finding solutions. | Is able to critically analyse options prior to offering solutions. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **3.1.2** | Demonstrates energy and drive in achievement of personal and business objectives. | Exceeds personal and business objectives. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **3.1.3** | Works independently on routine tasks and accepts more challenging work in order to develop. | Works independently on more complex tasks and identifies own development opportunities. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **3.2 Communication**  Strong verbal and written communication demonstrating active listening, positive questioning and enquiry to build effective relationships, e.g. gathering information from clients to understand their insurance needs. Ask appropriate and thoughtful questions | | | | | | |
|  | **The learner consistently:** | **The learner:** |  | | | |
| **3.2.1** | Has the courage to challenge/question when appropriate. | Challenges, questions and provides alternate solutions. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **3.2.2** | Has developed and sustains sound business relationships with managers, clients and peers. | proactively develops wider business relationships for the benefit of the business. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **3.2.3** | Adapts communication, style and approach to ensure they meet the needs of different people or audiences. | Shows an ability to use new communication styles and methodology to meet the needs of different people. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **3.3 Personal Accountability**  Proactive in personal development, taking initiative and ownership for learning. Demonstrating commitment to the role and the insurance industry, e.g. creating own development plan, identifying opportunities to develop in the role. An awareness of the importance of credibility and professionalism in the role | | | | | | |
|  | **The learner consistently:** | **The learner:** |  | | | |
| **3.3.1** | Demonstrates transparency in all areas of work. | Takes ownership in correcting the mistakes of self and others when necessary. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **3.3.2** | Demonstrates organisational, legal and regulatory competency. | Acts as a role model for organisational, legal and regulatory competency. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **3.3.3** | Works within agreed priorities. | Is able to manage multiple priorities effectively. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **3.3.4** | Knows where to find information and asks questions when unsure or wishes to develop a deeper understanding. | Knows where to find information and asks questions to develop a deeper understanding. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **3.4 Innovation**  A creative, imaginative, inquisitive, and challenging approach. Able to suggest improvements where appropriate. Proactively able to challenge the status quo. Aware of the types of decisions the role requires | | | | | | |
|  | **The learner consistently:** | **The learner:** |  | | | |
| **3.4.1** | Adapts as change happens. | Can suggest/instigate positive change. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **3.4.2** | Researches and analyses information and identifies solution based on facts | Researches and analyses information and makes innovative recommendations based on facts |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **3.4.3** | Contributes ideas and alternative ways of working. | Proactively contributes ideas & alternative ways of working |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **3.5 Professionalism**  Displays honesty and integrity in actions and approach to work and clients. Demonstrates the principle of utmost good faith, e.g. acts honestly when dealing with customer queries, ensuring that they are treated fairly. | | | | | | |
|  | **The learner consistently:** | **The learner:** |  | | | |
| **3.5.1** | Demonstrates client centricity. | Goes beyond client expectations. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **3.5.2** | Has a professional principled approach that embodies organisation’s values. | Is recognised as a role model of the organisation’s values. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **3.5.3** | Takes responsibility and is accountable for own actions. | Takes responsibility and is solution centred when faced with difficulties. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |

Level 4- Gateway Declaration Form

Completion of this Gateway Declaration Form confirms that the employer/training provider is satisfied the apprentice has fulfilled all requirements to request their consideration for end point assessment by City & Guilds.

|  |  |  |  |
| --- | --- | --- | --- |
| Apprenticeship Standard | Level 4 Insurance Professional | Start date | DD/MM/YY |
| Apprentice  name | Apprentice name | Enrolment  number | 1234567 |

|  |  |
| --- | --- |
| **Entry Requirement** | **Achieved (Yes/No)** |
| Chartered Insurance Institute (CII)  **Or**  Chartered Institute of Loss Adjusters (CILA) |  |
| Level 2 qualification (or equivalent) in Maths and English |  |
|  |  |
|  |  |
|  |  |

City & Guilds could sample evidence of any of the above at any point either before or after the end point assessment. It is the Lead provider’s responsibility to retain auditable evidence. Any non-disclosure of information requested could subsequently result in the end point assessment record of achievement or externally issued Apprenticeship certificate being withdrawn.

|  |  |  |
| --- | --- | --- |
| **Any previous End-Point Assessments** | | |
| Has the Apprentice previously taken any assessments that form part of the EPA for this Apprenticeship Standard with any other Assessment Organisation? | | Yes/No |
| **If yes** | | |
| What Assessment Organisation was the End-Point Assessment carried out by? |  | |
| What date(s) was the End-Point Assessment taken? |  | |
| What grade(s) (eg fail/pass/merit/distinction) was issued? |  | |

**Employer/training provider declaration:**

**I confirm that the apprentice has achieved all end point assessment entry requirements as listed above and obtained the required teaching, workplace training and experience covering the full apprenticeship standard to be eligible for end-point assessment. A Gateway process has been carried out to confirm the following**

The apprentice has been employed throughout the duration of his/her apprenticeship.

The ILP and commitment statement has been signed by the apprentice, the employer and the Training Provider, and all three parties have retained a signed and dated version.

The apprentice has been given appropriate time to attend the on and off-the-job training required for the apprenticeship standard.

The apprentice has completed a minimum of 12 months of on-programme learning and all pre-requirements for eligibility for end point assessment.

|  |  |  |  |
| --- | --- | --- | --- |
| **Employer** | Name & Signature | **Date** | DD/MM/YY |
| **Training Provider (if appropriate)** | Name & Signature | **Date** | DD/MM/YY |

**Apprentice declaration:**

**I confirm that I have undergone a Gateway process to confirm that I am eligible for end point assessment.**

|  |  |  |  |
| --- | --- | --- | --- |
| **Apprentice** | Name & Signature | **Date** | DD/MM/YY |

Level 4 Insurance Professional Holistic Assessment – Front Sheet

The Holistic Assessment – Front Sheet must be completed as appropriate and submitted to City & Guilds with the Apprentice’s evidence for End-point Assessment.

|  |  |  |  |
| --- | --- | --- | --- |
| Apprentice  name | Apprentice Name | Enrolment  number | 1234567 |

**Apprentice declaration:**

**I confirm that all work submitted is my own, and that I have acknowledged any sources I have used.**

|  |  |  |  |
| --- | --- | --- | --- |
| **Apprentice** | Signature | **Date** | DD/MM/YY |

**Line manager declaration:**

**I confirm that all work was conducted under conditions designed to assure the authenticity of the Apprentice’s work, and am satisfied that, to the best of my knowledge, the work produced is solely that of the apprentice**

|  |  |  |  |
| --- | --- | --- | --- |
| **Line manager** | Signature | **Date** | DD/MM/YY |

**Training Provider declaration:**

**I confirm that the evidenced presented by the Apprentice is ready for End-Point Assessment. It is valid, authentic, reliable and current and sufficient to meet the requirements of the relevant standard.**

|  |  |  |  |
| --- | --- | --- | --- |
| **Training Provider** | Name & Signature | **Assessment Date** | DD/MM/YY |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **Grading Criteria** | | | | | | |
|  | **Pass** | **Distinction** | **Evidence type**  **Centre /Training Provider only** | **Evidence reference**  **Centre /Training Provider only** | **Evidence provided in**  **IEPA only** | **Grade**  **IEPA only** |
| **Standard reference** | | |
| **Knowledge**  **1.1 Insurance market**  A comprehensive understanding of the insurance market and the available products and services. | | | | | | |
|  | **The apprentice can:** |  | | | | |
| **1.1.1** | Explain how the insurance market is structured and operates. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **1.1.2** | Describe the roles and key activities of the various parties involved and how they interact. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **1.1.3** | Describe the main products and services commonly available in the insurance market and explain how they are applied. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **1.2 Risk and Regulatory**  A comprehensive understanding of the Financial Services legal and regulatory framework and organisational policies and procedures to ensure compliance. Demonstrates an understanding of how a range of situations may be affected by legal and insurance principles. | | | | | | |
|  | **The apprentice can:** |  | | | | |
| **1.2.1** | Explain the key legal and insurance principles and how they apply in the role. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **1.2.2** | Explain how the insurance principles have been affected and modified by legislation. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **1.2.3** | Explain the roles and responsibilities of the regulators of the financial services industry. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **1.2.4** | Evaluate how the organisation ensures compliance through their policies and procedures. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **1.2.5** | Explain the consequences of non-compliance for yourself, the organisation and the customer. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **1.3 Clients and Colleagues**  An understanding of the importance of being proactive in developing the relationships and networks required to be successful in the role, whilst achieving business objectives and ensuring that client needs are met. | | | | | | |
|  | **The apprentice can:** |  | | | | |
| **1.3.1** | Describe the benefits of being proactive in developing relationships and networks. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **1.3.2** | Explain the importance of relationships and networks in supporting the achievement of business objectives. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **1.3.3** | Analyse the impact of own actions in ensuring that client needs are met. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **1.4 Processes and Procedures**  A clear understanding of the processes and procedures relevant to the technical requirements of the role and their impact on the wider organisation and industry. | | | | | | |
|  | **The apprentice can:** |  | | | | |
| **1.4.1** | Identify and explain the key processes and procedures relevant to the technical requirements of the role. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **1.4.2** | Analyse how organisational processes and procedures applicable to the role may impact the customer and the wider organisation. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **1.4.3** | Explain how your organisation’s processes and procedures align to market procedures and agreements. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **1.5 Commercial awareness**  An understanding of the impact of change within the insurance market and how it affects the role and the wider organisation. Understands and can differentiate between the organisation’s short, medium and long term business objectives. | | | | | | |
|  | **The apprentice can:** |  | | | | |
| **1.5.1** | Identify and evaluate on-going changes in the insurance market and how they impact the role, the customer and the wider organisation. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **1.5.2** | Identify the organisation’s short, medium and long term business objectives and explain the differences between them. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **1.5.3** | Evaluate how the organisation’s short, medium and long term business objectives are used to deliver successful business and customer. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **Skills**  **2.1 Technical ability**  Ability to apply technical knowledge and experience to deliver positive outcomes to all stakeholders utilising appropriate policies and procedures.  Ability to apply legal and insurance principles, knowledge of the market structure and its processes, procedures and documentation to a range of complex situations. | | | | | | |
|  | **The apprentice can:** | **The consistently apprentice:** |  | | | |
| **2.1.1** | Work in accordance with policies and procedures. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass |
| **2.1.2** | Apply technical knowledge and experience to deliver positive outcomes for stakeholders. | Applies technical knowledge and experience effectively to exceed. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **2.1.3** | Use technical knowledge and experience to proactively identify opportunities for improvement. | Uses technical knowledge and experience to make innovative recommendations for improvement which balance the needs of stakeholders, stating clearly the objectives and operational considerations. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **2.1.4** | Interpret legal and insurance principles to evaluate and resolve problems and queries. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass |
| **2.1.5** | Apply knowledge of the market structure and its processes, procedures and documentation to a range of complex situations. | Is proactive in expanding and sharing knowledge of the market structure and its processes, procedures and documentation. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **2.2 Relationship development**  Can proactively identify, generate and develop relationships and networks that support the role, including but not limited to internal/external/market led/professional and peer relationships. Can leverage relationships to improve the reliability of customer service based on customer feedback. Engages with and supports colleagues so that they are empowered to resolve customers’ issues within organisational guidelines. | | | | | | |
|  | **The apprentice can:** | **The consistently apprentice:** |  | | | |
| **2.2.1** | Proactively identify, generate and develop peer and professional relationships and networks both within and outside the organisation. | Takes responsibility for acting as a formal representative of the organisation within own organisation or the wider marketplace. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **2.2.2** | Take into account different needs, expectations and personal styles when interacting with stakeholders. | Confidently explores and uses a range of behavioural styles to communicate effectively with stakeholders at all levels within and/or outside the organisation. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **2.2.3** | Use relationships to deliver excellent customer service and business outcomes. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass |
| **2.2.4** | Take action to improve the reliability of customer service based on customer feedback, gaining the help and support of others. | Works collaboratively to evaluate customer service feedback in order to identify trends in the reliability of customer service. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **2.2.5** | Share knowledge and experience with colleagues to empower them to resolve customer issues in unfamiliar situations. | Actively seek opportunities to build own knowledge and experience of customer issues beyond the immediate requirements of the role and uses opportunity to share. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **2.2.6** | Work effectively as a team member and proactively collaborate with stakeholders. | Engages with opportunities to participate in work outside of their day-to-day role. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **2.3 Ownership and initiative**  Takes ownership for delivering in their area of responsibility. Finds ways to progress and meet commitments when issues arise, being creative where appropriate. Escalates issues and decisions where necessary. Identifies and proposes business process improvements. | | | | | | |
|  | **The apprentice can:** | **The consistently apprentice:** |  | | | |
| **2.3.1** | Take ownership for delivering own work to required standards. | Consistently delivers work outputs which exceed the required standards of the role. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **2.3.2** | Use professional judgment and experience to resolve issues where it is within authority to do so. | Acts as a referral point for others taking ownership of ensuring issues are resolved. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **2.3.3** | Identify and escalate issues and decisions where necessary, in accordance with organisational policies and procedures. | Proposes solutions which meet organisational policies and procedures when identifying and escalating issues and decisions. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **2.3.4** | Overcome barriers to progress and meet commitments. | Anticipates barriers and suggesting solutions to overcome them. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **2.3.5** | Identify and propose process improvements. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass |
| **2.4 Governance**  Applies legal and regulatory requirements to work compliantly, whilst promoting a culture of Treating Customers Fairly. Assesses whether organisational processes and procedures and those that follow them are compliant with legal and regulatory requirements. | | | | | | |
|  | **The apprentice can:** | **The consistently apprentice:** |  | | | |
| **2.4.1** | Apply legal and regulatory requirements to work compliantly. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass |
| **2.4.2** | Promote a culture of treating customers fairly in self and others. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass |
| **2.4.3** | Identify instances of potential non-compliance and takes appropriate action in accordance with organisational requirements. | Makes suggestions designed to prevent the repeat of instances of potential non-compliance. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass |
| **2.4.4** | Highlight changes in legal and regulatory requirements and their potential impact on organisational processes and procedures. | Makes suggestions for changes to processes and procedures for the organisation in response to changes in legal and regulatory requirements. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **2.5 Advice and support**  Provides technical advice and support to others on complex insurance matters. | | | | | | |
|  | **The apprentice can:** | **The consistently apprentice:** |  | | | |
| **2.5.1** | Use technical knowledge and experience to provide advice and support to others on complex insurance matters. | Is pro-active in developing and sharing technical knowledge and experience beyond the immediate requirements of the role. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **Behaviour**  **3.1 Drive to excel**  An understanding of own and company performance measures and the application of this knowledge to contribute positively to key business objectives. Shares own knowledge and experience to support others to achieve personal and business objectives. | | | | | | |
|  | **The apprentice can:** | **The consistently apprentice:** |  | | | |
| **3.1.1** | Evaluate self against own and company performance measures to contribute positively to key business objectives. | Setting and evaluating personal targets to exceed company performance measures in a drive to excel in role. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **3.1.2** | Use knowledge and experience of more challenging situations to advise and coach others in achieving personal and business objectives. | Pro-actively seeks to enhance own understanding of how to deal with new and more challenging situations and shares this information for the benefit of others. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **3.2 Communication**  Adapts communication and resources to take account of the target audience including less experienced colleagues. Presents information accurately and effectively using more complex communication methods such as reports and presentations. Communicates using the necessary technical language but articulates this in a way that others can understand. | | | | | | |
|  | **The apprentice can:** | **The consistently apprentice:** |  | | | |
| **3.2.1** | Adapt communication method, style and approach to take account of the needs and understanding of the target audience. | Embraces the use of a wide range of communication methods, styles and approaches to meet the needs of different people. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **3.2.2** | Present information accurately and effectively using a range of communication methods, including advanced methods such as reports and presentations. | Acts as a referral and guidance point for others in ensuring that communication is accurate and effective. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **3.2.3** | Convey technical information effectively and in a way that others can understand. | Looks for engaging ways to present technical information to target audience which enhances their understanding of the subject matter. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **3.3 Personal Accountability**  Acts using own initiative to accomplish objectives and seeks alternatives when barriers arise. Tenacious in finding the best solutions, demonstrating commitment to the role and the Insurance Industry. | | | | | | |
|  | **The apprentice can:** | **The consistently apprentice:** |  | | | |
| **3.3.1** | Use initiative to accomplish objectives, identifying and utilising alternative approaches to overcome barriers. | Pro-actively supports the delivery of tasks beyond own role. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **3.3.2** | Demonstrate tenacity in finding the best solutions for stakeholders. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass |
| **3.3.3** | Demonstrates enthusiasm and commitment to delivering the required outcomes of the role and showcases a positive image of the insurance industry. | Exceeds the required outcomes of the and proactively promotes the insurance industry. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **3.4 Innovation**  Proactively able to challenge the status quo by considering the feasibility of suggested ideas and improvement considering the impact they may have on business objectives. | | | | | | |
|  | **The apprentice can:** | **The consistently apprentice:** |  | | | |
| **3.4.1** | Constructively challenge and question the status quo in achieving business objectives. | Considers challenges and makes effective contributions to work concerning process improvements. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **3.4.2** | Demonstrate innovation in suggesting ideas and improvements, having evaluated their feasibility and impact on business objectives. | Demonstrating innovation in own team and the wider organisation. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **3.5 Professionalism**  Truthful, sincere in their actions (even when not the easiest) and demonstrates Utmost Good Faith. Demonstrates role model behaviour in approach to colleagues, clients and partners. | | | | | | |
|  | **The apprentice can:** | **The apprentice consistently:** |  | | | |
| **3.5.1** | Consistently act in a professional, principled and ethical manner, including when interacting with stakeholders. | Acts as a role model for professional, principled and ethical behaviour and promoting these values in others. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **3.5.2** | Take responsibility and is accountable for own actions. | Supports others by taking responsibility for resolving issues that arise whether or not caused by own actions. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |

**Training Provider Preparation Form**

This form is to record any areas for further exploration; questions to be asked; themes to be explored in further depth identified when reviewing other evidence/assessments in advance of the reflective discussion

|  |  |  |  |
| --- | --- | --- | --- |
| **Apprentice** | Name | **Enrolment number** | DD/MM/YY |
| **Training Provider** | Name & Signature | **Assessment Date** | DD/MM/YY |

|  |  |  |
| --- | --- | --- |
| **Standard reference** | **Themes to explore** | **Questions to ask** |
|  |  |  |

Useful contacts

|  |  |
| --- | --- |
| Centres  Exam entries, Certificates, Registrations/enrolment, Invoices, Missing or late exam materials, Nominal roll reports, Results | E: centresupport@cityandguilds.com |
| Learners  General qualification information | E: learnersupport@cityandguilds.com |
| Other contacts  For other contacts visit the Contact Us page of our website | W: www.cityandguilds.com/help/contact-us |

About City & Guilds

As the UK’s leading vocational education organisation, City & Guilds is leading the talent revolution by inspiring people to unlock their potential and develop their skills. We offer over 500 qualifications across 28 industries through 8500 centres worldwide and award around two million certificates every year. City & Guilds is recognised and respected by employers across the world as a sign of quality and exceptional training.

City & Guilds Group

The City & Guilds Group operates from three major hubs: London (servicing Europe, the Caribbean and Americas), Johannesburg (servicing Africa), and Singapore (servicing Asia, Australia and New Zealand). The Group also includes the Institute of Leadership & Management (management and leadership qualifications), City & Guilds Licence to Practice (land-based qualifications), the Centre for Skills Development (CSD works to improve the policy and practice of vocational education and training worldwide) and Learning Assistant (an online e-portfolio).

Copyright

The content of this document is, unless otherwise indicated, © The City and Guilds of London Institute and may not be copied, reproduced or distributed without prior written consent. However, approved City & Guilds centres and candidates studying for City & Guilds qualifications may photocopy this document free of charge and/or include a PDF version of it on centre intranets on the following conditions:

* centre staff may copy the material only for the purpose of teaching candidates working towards a City & Guilds qualification, or for internal administration purposes
* candidates may copy the material only for their own use when working towards a City & Guilds qualification

The Standard Copying Conditions (see the City & Guilds website) also apply.

Please note: National Occupational Standards are not © The City and Guilds of London Institute. Please check the conditions upon which they may be copied with the relevant Sector Skills Council.

Published by City & Guilds, a registered charity established to promote education and training

**City & Guilds**

**1 Giltspur Street**

**London EC1A 9DD**

**www.cityandguilds.com**