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| Level 3 Insurance Practitioner  (7414-13) |

**Version 1 September 2018**

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1. Introduction

### What is in this document

Recording forms to be used by End-point Assessment customers/Employers/Training providers

* Gateway declaration form
* Holistic assessment form

This document must be used alongside the Assessment Pack for Centres/ End-point Assessment customers.

### How to use forms

Centres / End-point assessment customers / Employers / Training providers must use the forms provided by City & Guilds in the format laid out in this document.

**Gateway form**

This must be completed with the Apprentice and submitted to City& Guilds as part of the end-point assessment booking process

**Holistic assessment form**

This must be completed and signed by both the tutor/employer and the apprentice

### End-point Assessment gateway declaration form

Please complete this form to confirm that all parties are satisfied that the apprentice has met the gateway requirements and can be put forward for end-point assessment (EPA) with City & Guilds.

|  |  |  |  |
| --- | --- | --- | --- |
| Apprenticeship Standard |  | Start date |  |
| **Apprentice**  **name** |  | **Enrolment**  **number** |  |

|  |  |
| --- | --- |
| **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 |  |

Providers must submit evidence of achievement to us for each gateway requirement. It is the provider’s responsibility to keep auditable evidence of these requirements. Without appropriate evidence, we will not be able to complete your booking or carry out the EPA. Customers may still be charged

|  |  |  |
| --- | --- | --- |
| **Previous EPA** | | |
| Has the apprentice taken any assessments as part of the EPA for this apprenticeship standard with any other EPA organisation? | |  |
| **If yes** | | |
| Which EPA organisation was this? |  | |
| What was the date(s) of the EPA? |  | |
| What grade(s) was issued, eg fail/pass/merit/distinction? |  | |

**Employer and provider declaration:**

**I confirm that the gateway meeting has been carried out to confirm that the apprentice:**

1. **Has achieved all EPA gateway requirements as listed above and has the knowledge, skills and behaviours required by the apprenticeship standard and is eligible for EPA.**
2. **Has been employed throughout their apprenticeship.**
3. **Will have completed a minimum of 12 months and 1 day on-programme before the first EPA assessment with City & Guilds.**

|  |  |  |  |
| --- | --- | --- | --- |
| **Employer** |  | **Date** |  |
| **Provider** |  | **Date** |  |

**Apprentice declaration:**

**I confirm that I have gone through a gateway process to check that I am eligible for EPA.**

**I give City & Guilds permission to apply to the ESFA and the Institute for Apprenticeships for the apprenticeship certificate on my behalf when I complete EPA**

|  |  |  |  |
| --- | --- | --- | --- |
| **Apprentice** |  | **Date** |  |

Providers should submit the completed form to us through the EPA portal. Please refer to the [Manual for the End-Point Assessment Service](https://www.cityandguilds.com/~/media/cityandguilds-site/documents/apprenticeships/manual-for-the-end-point-assessment-service%20pdf.ashx) for details, including timeframes

### Level 3 – Insurance Practitioner Assessment 703/753: Holistic Assessment form

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

|  |  |  |  |
| --- | --- | --- | --- |
| Apprentice  name |  | Enrolment  number |  |

**Apprentice declaration:**

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

|  |  |  |  |
| --- | --- | --- | --- |
| **Apprentice** |  | **Date** |  |

**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** |  | **Date** |  |

**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** |  | **Assessment Date** |  |

|  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- |
| **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 |
| **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 |
| **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 |
| **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 |
| **2.4.2** | Makes sure own work complies with relevant industry regulations. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Reflective discussion | 🞎 Fail  🞎 Pass |
| **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 policies 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 |
| **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 |

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