

# Workplace Pensions Apprenticeship Standard

## Consultant Option

### Assessment Criteria and Portfolio content

## Assessment Criteria

These Assessment Criteria specify in detail what is required for a Pass (column 4). All of these must be met and evidenced.

The Distinction is designed to recognise the small proportion of apprentices who are seen as outstanding employees, regularly going beyond what is required to be competent in the role and seen as having greatest potential for the future.

To achieve a Distinction the apprentice will need to have achieved a Distinction for all assessment criteria in 6 of the areas of Knowledge, Skill and Behaviour in the Standard, including at least one area in each of the Knowledge, Skill, Behaviour and additional competencies in the Option for the role. The areas are identified in the left hand column of the table below. The Distinction criteria are in addition to the Pass criteria. They will also need to achieve at least a Pass for all criteria in all other areas of the Standard.

Overall, to gain a Distinction the apprentice should:

- Consistently exceed the standards set for the role (both what is delivered and how it is delivered)
- Go beyond what is typically expected at this level
- Be able to perform well in difficult situations or when under pressure
- Be seen as a role model by others
- Be able to work upwards as well as with peers
- Show they understand the wider context of the work they are doing

Evidence for both Pass and Distinction criteria could come from a range of sources including documented results, feedback from customers, line manager, and colleagues. Some examples are given in the table below. These are intended to be indicative only as the exact behaviours will depend on the role that the apprentice is performing. **NB Professional examinations/qualifications may be used as evidence for "Pass Assessment Criteria" not "Distinction Assessment Criteria".**

Knowledge Assessment: The Professional Bodies have expressed views on which qualifications will cover generic knowledge and the reasons why this is important. These qualifications will not cover organisation specific knowledge contained in the standard.

KNOWLEDGE	What is required	LEARNING OUTCOME CODE	What Good Looks Like - THE LEARNING OUTCOME (The apprentice consistently...)	ASSESSMENT CRITERIA CODE	PASS Assessment Criteria (The apprentice can.....)	DISTINCTION Assessment Criteria (The apprentice can.....) - Extensions to the PASS criteria are highlighted	EXAMPLES of Evidence that might be included in an Apprentice's Portfolio to demonstrate competence
Workplace Pension Schemes	Broad understanding of the structure of workplace pensions schemes and the different roles involved in running a scheme.	K1	Understands the overall structure of workplace pensions schemes	K1A	<ul style="list-style-type: none"> <li>Explain the origins and overview of retirement provision</li> </ul>	<ul style="list-style-type: none"> <li>Explain the origins and overview of retirement provision <b>and the drivers for change</b></li> </ul>	Attainment of any of the following professional examinations/qualifications <ul style="list-style-type: none"> <li>PMI APE / RPC / CU1A</li> <li>CIPP CPA Module 1</li> </ul>
		K2	Understands the different roles involved in running a scheme	K2A	<ul style="list-style-type: none"> <li>List the parties involved in retirement provision and describe the nature of their interaction.</li> </ul>	<ul style="list-style-type: none"> <li>List the parties involved in retirement provision, describe the nature of their interaction <b>and any conflicts of interest.</b></li> <li><b>Describe the roles and functions of the bodies that regulate pension schemes and provide assistance or protection to members and employers.</b></li> </ul>	Attainment of any of the following professional examinations/qualifications <ul style="list-style-type: none"> <li>PMI APE / RPC / CU1A</li> <li>CIPP CPA Module 1</li> </ul>
Regulatory and Compliance	Understands the regulatory and legislative environment for workplace pensions and the impact of this on their role. Understands the difference between providing information, guidance and advice.	K3	Understands the regulatory and legislative environment for workplace pensions	K3A	<ul style="list-style-type: none"> <li>List the major regulatory and legal elements that are relevant for workplace pensions</li> </ul>	<ul style="list-style-type: none"> <li>List the major regulatory and legal elements that are relevant for workplace pensions <b>and explain the role of Government.</b></li> </ul>	Attainment of any of the following professional examinations/qualifications <ul style="list-style-type: none"> <li>PMI APE / RPC / CU2 / CPSMG</li> <li>CIPP CPA Modules 2 - 3 &amp; 5</li> </ul>
		K4	Understands the impact of this on their role	K4A	<ul style="list-style-type: none"> <li>Describe how these impact the way that they carry out their role</li> </ul>	<ul style="list-style-type: none"> <li>Describe how these impact the way that they carry out their role <b>and the whistle-blowing process.</b></li> </ul>	Evidenced based material i.e. prove on two occasions where a change impacted work they did e.g. how they dealt with a TVOUT >£30K  A statement from themselves/buddy/mentor re their understanding  Attainment of any of the following professional examinations/qualifications <ul style="list-style-type: none"> <li>PMI APE</li> <li>CIPP CPA Modules 2 - 3 &amp; 5</li> </ul>
		K5	Understands the difference between providing information, guidance and advice.	K5A	<ul style="list-style-type: none"> <li>Describe when they might provide information or guidance and who can provide advice.</li> </ul>	<ul style="list-style-type: none"> <li>Describe when they might provide information or guidance, who can provide advice <b>and the role of Pension Wise.</b></li> </ul>	Attainment of any of the following professional examinations/qualifications <ul style="list-style-type: none"> <li>PMI APE / RPC / CU2 / CPSMG</li> <li>CIPP CPA Modules 2 - 3 &amp; 5</li> </ul>
Business Awareness	Understands their organisation's business strategy, culture and role within the workplace pensions sector. Has an awareness of how their own role fits within the wider organisation and workplace pensions industry.	K6	Understands their organisation's business strategy/ culture and how their role fits within this	K6A	<ul style="list-style-type: none"> <li>List the values and relevant professional standards of their organisation and practice area and explain what they mean for their role.</li> </ul>	<b>No distinction available for this Learning Outcome</b>	
				K6B	<ul style="list-style-type: none"> <li>Describe their own role and how this supports the overall business</li> </ul>		
		K7	Understands how their organisation fits within the workplace pensions industry.	K7A	<ul style="list-style-type: none"> <li>List the major types of organisations that operate within the workplace pensions industry.</li> </ul>	<b>No distinction available for this Learning Outcome</b>	
				K7B	<ul style="list-style-type: none"> <li>Outline the services provided by their organisation to their clients.</li> </ul>		

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Systems and processes	Understands all systems and processes used in the role together with the standards to be met.	K8	Understands all systems and processes used in the role	K8A	<ul style="list-style-type: none"> <li>List the systems, tools and processes that they use as part of their role</li> </ul>	<p align="center"><b>No distinction applicable for this Assessment Criteria</b></p>	<p>Can perform complex calculations on systems. / Uses checklist effectively.</p> <p>Attainment of any of the following professional examinations/qualifications</p> <ul style="list-style-type: none"> <li>CIPP CPA Module 3 &amp; 5</li> </ul>	
				K8B	<ul style="list-style-type: none"> <li>Describe how the systems, tools and processes are used to perform their role</li> </ul>			<ul style="list-style-type: none"> <li>Explain the need for signatories and authorisations in relation to both internal and scheme policies and procedures</li> </ul>
		K9	Understands the standards to be met	K9A	<ul style="list-style-type: none"> <li>Explain the standards that need to be met for each of the relevant processes</li> </ul>	<ul style="list-style-type: none"> <li>Explain the significance of disclosure regulations and scheme standard timescales.</li> </ul>	<p>Demonstrates accuracy and attention to detail.</p> <p>Evidence based on Internal right first time report (available on individual basis), skills matrix (would expect them to start with requires training but at least know what they are aiming to be competent in); knowledge of what SLAs are and mean – all documented in Personal Development Review / Report / Folder</p> <p>Attainment of any of the following professional examinations/qualifications</p> <ul style="list-style-type: none"> <li>CIPP CPA Module 3 &amp; 5</li> </ul>	
		K10	Understands the consequences of not following processes and when to raise concerns if errors are made	K10A	<ul style="list-style-type: none"> <li>Describe the consequences of not using the systems and processes correctly for their role and wider impact this may have</li> </ul>	<p align="center"><b>No distinction applicable for this Assessment Criteria</b></p>	<p>Effectively flags up issues as they occur and are willing to take responsibility of own actions. Learns by their mistakes.</p> <p>Right First Time report &amp; training. Statement from buddy/mentor/mentor to evidence understanding a checklist will be produced for buddy/mentor/mentor against which apprentice can be monitored/signed off</p> <p>Attainment of any of the following professional examinations/qualifications</p> <ul style="list-style-type: none"> <li>CIPP CPA Module 3 &amp; 5</li> </ul>	
				K10B	<ul style="list-style-type: none"> <li>Explain what action to take when errors occur</li> </ul>			<ul style="list-style-type: none"> <li>Explain what action to take when errors occur and describe how they would ascertain whether the error is within the limits of their remit or whether it requires a more senior member of staff to intervene to resolve the error.</li> </ul>
				K10C	<ul style="list-style-type: none"> <li>Describe the relevant escalation procedures</li> </ul>			<p align="center"><b>No distinction applicable for this Assessment Criteria</b></p>

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Client Service and Delivering results	Delivers excellent service, meeting client needs e.g. producing quotations or advising trustees; meeting internal service standards; handles a range of situations including dealing with complaints appropriately. Delivers work that meets required quality, standards and targets, using the required systems and processes.	S1	Identifies and meets internal and external client needs, delivering excellent service	S1A	<ul style="list-style-type: none"> <li>Respond quickly and efficiently to clients immediate needs (including internal "clients")</li> </ul>	<p><b>No distinction applicable for this Assessment Criteria</b></p> <ul style="list-style-type: none"> <li>Provide examples of client needs being satisfied particularly in difficult circumstances or by suggesting an improvement to processes and procedures.</li> <li>Recognise when a task is out of scope/beyond remit/capability of apprenticeship</li> </ul>	<p>Copy of a compliment or positive feedback documented.</p> <p>Response from internal 360 feedback.</p> <p>Attainment of any of the following professional examinations/qualifications</p> <ul style="list-style-type: none"> <li>PMI CPSMG / relevant DPA unit</li> <li>CIPP CPA Module 2 &amp; 3</li> </ul>
				S1B	<ul style="list-style-type: none"> <li>Provide examples of client needs being satisfied.</li> </ul>		
		S2	Meets required quality standards and deadlines	S2A	<ul style="list-style-type: none"> <li>Show how they meet the service standards of the organisation when delivering to customers</li> </ul>	<ul style="list-style-type: none"> <li>Show how they consistently meet or exceed the service standards of the organisation when delivering to customers</li> </ul>	<p>Proof of performance against Right First Time statistics and Service Level Agreements applicable for team and entry level</p> <p>Attainment of any of the following professional examinations/qualifications</p> <ul style="list-style-type: none"> <li>CIPP CPA Module 2 &amp; 3</li> </ul>
				S2B	<ul style="list-style-type: none"> <li>Identify examples of standards not being met.</li> </ul>		
		S3	Identifies and deals appropriately with complaints following the organisation's processes	S3A	<ul style="list-style-type: none"> <li>Demonstrate how to follow the organisation's complaints handling processes</li> </ul>	<p><b>No distinction available for this Learning Outcome</b></p>	<p>Have a complaint assigned to them to deal with assisted by their buddy/mentor/mentor and used as evidence or documented course of action would take to resolve a complaint when given a case study/complaint scenario</p> <p>Attainment of any of the following professional examinations/qualifications</p> <ul style="list-style-type: none"> <li>PMI relevant DPA unit</li> <li>CIPP CPA Module 2 &amp; 3</li> </ul>
				S3B	<ul style="list-style-type: none"> <li>Demonstrate an understanding of the impact of complaints and mistakes on the business</li> </ul>		

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Communication	Demonstrates good interpersonal skills and communicates effectively with all stakeholders e.g. pension scheme members or sponsors.	S4	Builds rapport with clients and colleagues, demonstrates empathy and understanding when dealing with them	S4A	<ul style="list-style-type: none"> <li>Listen actively to clients and colleagues, ensuring a sound understanding of their circumstances, problems, expectations and needs.</li> </ul>	<b>No distinction applicable for this Assessment Criteria</b>	Evidenced by buddy/mentor listening to phone calls taken by apprentice and buddy/mentor's positive signed statement  Attainment of any of the following professional examinations/qualifications <ul style="list-style-type: none"> <li>- PMI CPSMG</li> <li>- CIPP CPA Module 7</li> </ul>	
				S4B	<ul style="list-style-type: none"> <li>Summarise the client's needs.</li> </ul>	<ul style="list-style-type: none"> <li>Summarise the client's needs <b>from the client's perspective and asks questions to check understanding</b></li> </ul>		
				S4C	<ul style="list-style-type: none"> <li>Responds to clients/colleagues in a timely manner</li> </ul>	<b>No distinction applicable for this Assessment Criteria</b>		
				S4D	<ul style="list-style-type: none"> <li>Communicate effectively with colleagues</li> </ul>	<b>No distinction applicable for this Assessment Criteria</b>		
		S5	Demonstrates consistent, accurate and appropriate communication through all relevant media	S5A	<ul style="list-style-type: none"> <li>Competently use all customer facing media</li> </ul>	<b>No distinction applicable for this Assessment Criteria</b>		Right First Time statistics – possibly provide evidence of three types of successful & clear communications  Attainment of any of the following professional examinations/qualifications <ul style="list-style-type: none"> <li>- PMI CPSMG</li> <li>- CIPP CPA Module 7</li> </ul>
				S5B	<ul style="list-style-type: none"> <li>Decide which is most appropriate media for communication.</li> </ul>	<ul style="list-style-type: none"> <li>Decide which is most appropriate media for communication and <b>adapt their communication to respond to individual client's needs</b></li> </ul>		
				S5C	<ul style="list-style-type: none"> <li>Impart information that is concise and at the right level of detail</li> </ul>	<b>No distinction applicable for this Assessment Criteria</b>		

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Team working and collaboration	Consistently supports colleagues and collaborates to achieve results. Builds and maintains strong working relationship with colleagues and clients e.g. sponsoring employers or trustees. Aware of own role within team and impact on others.	S6	Supports colleagues and collaborates to achieve results	S6A	<ul style="list-style-type: none"> <li>Work with colleagues within their team and in other teams to deliver for the customer</li> </ul>	<ul style="list-style-type: none"> <li>Proactively work with colleagues within their team and in other teams to deliver for the customer</li> </ul>	Meeting core behavioural competencies – evidenced by Personal Development Review / Report / Folder & one to ones  Attainment of any of the following professional examinations/qualifications - PMI CPA work-based unit - CIPP CPA Module 7
				S6B	<ul style="list-style-type: none"> <li>Support other colleagues when necessary</li> </ul>	<ul style="list-style-type: none"> <li>Support other colleagues when necessary, typically not needing to be asked.</li> </ul>	
		S7	Builds and maintains strong working relationships with colleagues and clients	S7A	<ul style="list-style-type: none"> <li>Establish rapport and progressively build strong relationships with colleagues</li> </ul>	<ul style="list-style-type: none"> <li>Establish rapport and progressively build strong relationships with colleagues, being recognised for this.</li> </ul>	Meeting core behavioural competencies – evidenced by Personal Development Review / Report / Folder & one to ones  Attainment of any of the following professional examinations/qualifications - PMI CPA work-based unit - CIPP CPA Module 7
				S7B	<ul style="list-style-type: none"> <li>Establish rapport and progressively build strong relationships with clients</li> </ul>	No distinction applicable for this Assessment Criteria	
				S7C	<ul style="list-style-type: none"> <li>Show how they can work effectively in more difficult relationships</li> </ul>	No distinction applicable for this Assessment Criteria	
				S7D	<ul style="list-style-type: none"> <li>Negotiate within their team and with other teams to meet their customer's needs</li> </ul>	<ul style="list-style-type: none"> <li>Negotiate within their team and with other teams to meet their customer's needs, often on their own initiative.</li> </ul>	
		S8	Demonstrates an awareness of own role and impact on team	S8A	<ul style="list-style-type: none"> <li>Describe their own role within the team</li> </ul>	No distinction available for this Learning Outcome	Case study – give an example of sharing best practices – Reflective discussion will prove their awareness  Attainment of any of the following professional examinations/qualifications - PMI CPA work-based unit - CIPP CPA Module 7
				S8B	<ul style="list-style-type: none"> <li>Show how their strengths fit with others in the team and how their development needs can be supported by others</li> </ul>		
		S9	Questions and challenges others appropriately	S9A	<ul style="list-style-type: none"> <li>Question others in a constructive and positive manner, seeking ways forward</li> </ul>	No distinction available for this Learning Outcome	Meeting core behavioural competencies – evidenced by Personal Development Review / Report / Folder & one to ones  Attainment of any of the following professional examinations/qualifications - PMI CPA work-based unit - CIPP CPA Module 7
				S9B	<ul style="list-style-type: none"> <li>Challenge when necessary, seeking resolution and positive outcomes</li> </ul>		
				S9C	<ul style="list-style-type: none"> <li>Show they are willing to challenge in potentially difficult circumstances</li> </ul>		

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Planning and organising	Plans and manages own workload effectively, responding to changes when necessary.	S10	Prioritises time and activities, managing resources as appropriate	S10A	<ul style="list-style-type: none"> <li>Proactively plan and organise their work to ensure they meet commitments to customers/colleagues</li> </ul>	No distinction applicable for this Assessment Criteria	<p>Meeting Service Level Agreements within agreed limits and timekeeping – evidenced by Personal Development Review / Report / Folder &amp; one to ones</p> <p>Attainment of any of the following professional examinations/qualifications</p> <ul style="list-style-type: none"> <li>PMI CPA work-based unit</li> <li>CIPP CPA Modules 2 to 6</li> </ul>			
				S10B	<ul style="list-style-type: none"> <li>Reorganise their work to respond to unexpected additional workloads or changing priorities</li> </ul>			<ul style="list-style-type: none"> <li>Manage multiple priorities and reorganise their work to respond to unexpected additional workloads or changing priorities</li> </ul>		
		S11	Takes ownership and commits to delivery	S11A	<ul style="list-style-type: none"> <li>Consistently deliver to time &amp; quality requirements</li> </ul>	No distinction applicable for this Assessment Criteria		<p>Meeting core behavioural competencies – evidenced by Personal Development Review / Report / Folder &amp; one to ones</p> <p>Attainment of any of the following professional examinations/qualifications</p> <ul style="list-style-type: none"> <li>PMI CPA work-based unit</li> <li>CIPP CPA Modules 2 to 6</li> </ul>		
				S11B	<ul style="list-style-type: none"> <li>Demonstrate an awareness of deadlines and service standards and achieve these.</li> </ul>				<ul style="list-style-type: none"> <li>Demonstrate an awareness of deadlines and service standards and identify &amp; utilise all resources available to consistently achieve these</li> </ul>	
				S11C	<ul style="list-style-type: none"> <li>Recognise when and with whom to raise concerns in a timely manner &amp; escalate appropriately</li> </ul>				No distinction applicable for this Assessment Criteria	
		S12	Raises concerns relating to workloads or timescales	S12A	<ul style="list-style-type: none"> <li>Demonstrate an understanding of impact of non-completion &amp; risks to business</li> </ul>	<ul style="list-style-type: none"> <li>Demonstrate a clear understanding of impact of non-completion &amp; risks to business</li> </ul>			No distinction applicable for this Assessment Criteria	<p>Statement from buddy/mentor about how apprentice deals with day to day workloads</p> <p>Meeting core behavioural competencies – evidenced by Personal Development Review / Report / Folder &amp; one to ones</p> <p>Attainment of any of the following professional examinations/qualifications</p> <ul style="list-style-type: none"> <li>PMI CPA work-based unit</li> <li>CIPP CPA Modules 2 to 6</li> </ul>
				S12B	<ul style="list-style-type: none"> <li>Proactively monitor workloads &amp; deadlines</li> </ul>					

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Personal Development	Proactively plans and records their own development in both current role and career through a range of methods e.g. workplace learning, professional courses.	S13	Takes ownership and seeks ways in which to develop knowledge and skills within the role	S13A	<ul style="list-style-type: none"> <li>Complete all mandatory training as required</li> </ul>	<ul style="list-style-type: none"> <li>Complete all mandatory training as required <b>on time and to a high standard.</b></li> </ul>	<p>Completion of internal training including E-learning courses which can be monitored</p> <p>Statement from them as to what else they do CPD e.g. watch PMI news</p> <p>Personal Development Plan in place and progressing</p> <p>Attainment of any of the following professional examinations/qualifications</p> <ul style="list-style-type: none"> <li>- CIPP CPA Module 7</li> <li>-</li> </ul>
				S13B	<ul style="list-style-type: none"> <li>Take on board feedback from line manager and others to identify development needs</li> </ul>	<ul style="list-style-type: none"> <li><b>Seek out</b> and take on board feedback from line manager and others to identify development needs</li> </ul>	
				S13C	<ul style="list-style-type: none"> <li>Grow their capability in the role, based on this feedback</li> </ul>	<ul style="list-style-type: none"> <li><b>Proactively</b> grow their capability in the role, based on this feedback.</li> </ul>	
		S14	Progressively develops their own career as they learn more about the job and the business	S14A	<ul style="list-style-type: none"> <li>Identify how they can develop in their role and then beyond their current role</li> <li>.</li> </ul>	<ul style="list-style-type: none"> <li><b>Proactively</b> identify how they can develop in their role and then beyond their current role</li> </ul>	<p>Completion of non-mandatory training to improve their job performance and willingness to ask questions to expand their understanding.</p> <p>Identification of future job opportunities within the business / taking on challenging or unfamiliar assignments to stretch into new areas.</p> <p>Evidenced by skills matrix and documented in Personal Development Review / Report / Folder</p> <p>Personal Development Plan in place and progressing</p> <p>Attainment of any of the following professional examinations/qualifications</p> <ul style="list-style-type: none"> <li>- CIPP CPA Module 7</li> </ul>
				S14B	<ul style="list-style-type: none"> <li>Plan or take action to progressively develop their career</li> </ul>	<ul style="list-style-type: none"> <li>Plan or take action to progressively develop their career, <b>continually pushing forwards</b></li> </ul>	

BEHAVIOURS	What is required	LEARNING OUTCOME CODE	What Good Looks Like - THE LEARNING OUTCOME (The apprentice consistently...)	ASSESSMENT CRITERIA CODE	PASS Assessment Criteria (The apprentice can.....)	DISTINCTION Assessment Criteria (The apprentice can.....) - Extensions to the PASS criteria are highlighted	EXAMPLES of Evidence that might be included in an Apprentice's Portfolio to demonstrate competence
Honesty and Integrity	Truthful, sincere and trustworthy in their actions. Shows integrity by doing the right thing. Maintains confidentiality at all times.	B1	Demonstrates integrity and ethical behaviour in the way they do their job	B1A	<ul style="list-style-type: none"> <li>Demonstrate integrity in dealings with customers and colleagues</li> </ul>	<p><b>No distinction applicable for this Assessment Criteria</b></p> <ul style="list-style-type: none"> <li>Openly support the ethical policies and practices of their organisation.</li> <li>Highlight unethical actions in others when necessary through the correct escalation procedure, even when there may be personal consequences.</li> </ul>	Meeting core behavioural competencies – evidenced by Personal Development Review / Report / Folder & one to ones  Attainment of any of the following professional examinations/qualifications - CIPP CPA Module 7
				B1B	<ul style="list-style-type: none"> <li>Support the ethical policies and practices of their organisation.</li> </ul>		
				B1C	<ul style="list-style-type: none"> <li>Highlight unethical actions in others when necessary</li> </ul>		
		B2	Treats sensitive information in a confidential way	B2A	<ul style="list-style-type: none"> <li>Apply the organisation's approach to confidentiality of information</li> </ul>	<ul style="list-style-type: none"> <li>Apply the organisation's approach to confidentiality of information</li> <li>Highlights and works to correct breaches outside their own role.</li> </ul>	<p>Meeting specific organisational standards such as "a clear desk policy".</p> <p>Completion of internal training such as Data Protection and Compliance E-learning courses which can be monitored</p> <p>Maintenance of Evidence Portfolio</p> <p>Evidenced by Personal Development Review / Report / Folder &amp; one to ones</p> <p>Attainment of any of the following professional examinations/qualifications - CIPP CPA Module 7</p>
				B2B	<ul style="list-style-type: none"> <li>Meet relevant regulatory / legal requirements e.g. Data Protection Act</li> </ul>	<p><b>No distinction applicable for this Assessment Criteria</b></p>	
Accountability	Meets personal commitments and expectations, e.g. completing work, timekeeping. Takes ownership of tasks.	B3	Meets personal commitments and expectations	B3A	<ul style="list-style-type: none"> <li>Turn up on time.</li> </ul>	<p><b>No distinction available for this Learning Outcome</b></p>	Meeting core behavioural competencies – evidenced by Personal Development Review / Report / Folder & one to ones  Feedback from colleagues  Attainment of any of the following professional examinations/qualifications - CIPP CPA Modules 2 to 6
				B3B	<ul style="list-style-type: none"> <li>Meet commitments that they have made to others</li> </ul>		
				B3C	<ul style="list-style-type: none"> <li>Is aware of the part played in a team by a team member and supports others in the team when business needs change, even at some personal cost.</li> </ul>		
		B4	Takes ownership of tasks	B4A	<ul style="list-style-type: none"> <li>Show personal flexibility when the needs of customers or the organisation change.</li> </ul>	<ul style="list-style-type: none"> <li>Proactively show personal flexibility when the needs of customers or the organisation change.</li> </ul>	Statement from peer  1:1s and meeting relevant behavioural competencies, feedback from colleagues  Attainment of any of the following professional examinations/qualifications - CIPP CPA Modules 2 to 6
				B4B	<ul style="list-style-type: none"> <li>Change their priorities when this is required</li> </ul>	<ul style="list-style-type: none"> <li>Change their priorities when this is required, using their own initiative</li> </ul>	

BEHAVIOURS	What is required	LEARNING OUTCOME CODE	What Good Looks Like - THE LEARNING OUTCOME (The apprentice consistently...)	ASSESSMENT CRITERIA CODE	PASS Assessment Criteria (The apprentice can.....)	DISTINCTION Assessment Criteria (The apprentice can.....) - Extensions to the PASS criteria are highlighted	EXAMPLES of Evidence that might be included in an Apprentice's Portfolio to demonstrate competence
Commitment and Enthusiasm	Demonstrates enthusiasm and dedication. Willing to suggest / share new ideas and opportunities for change.	B5	Shows willingness to suggest / share new ideas	B5A	<ul style="list-style-type: none"> <li>Identify improvement opportunities that will improve service or performance</li> </ul>	<ul style="list-style-type: none"> <li>Identify improvement opportunities that will <b>significantly</b> improve service or performance</li> </ul>	<p>Meeting core behavioural competencies – evidenced by Personal Development Review / Report / Folder &amp; one to ones</p> <p>Statement from person who received idea or copy of extract with apprentice's name</p> <p>Feedback from colleagues</p> <p>Attainment of any of the following professional examinations/qualifications - CIPP CPA Module 7</p>
				B5B	<ul style="list-style-type: none"> <li>Raise these through the organisation's processes or implement as appropriate.</li> </ul>	<b>No distinction applicable for this Assessment Criteria</b>	
		B6	Consistently demonstrates a positive can-do attitude	B6A	<ul style="list-style-type: none"> <li>Deal positively with situations that arise, particularly when the pressure on them increases.</li> </ul>	<b>No distinction applicable for this Assessment Criteria</b>	<p>Meeting core behavioural competencies – evidenced by Personal Development Review / Report / Folder &amp; one to ones</p> <p>Feedback from colleagues</p> <p>Attainment of any of the following professional examinations/qualifications - CIPP CPA Module 7</p>
				B6B	<ul style="list-style-type: none"> <li>Act with energy, showing a positive desire to deliver for the client.</li> </ul>	<b>No distinction applicable for this Assessment Criteria</b>	
				B6C	<ul style="list-style-type: none"> <li>Proactively seek work.</li> </ul>	<ul style="list-style-type: none"> <li><b>Help their colleagues see the positives and opportunities.</b></li> </ul>	

BEHAVIOURS	What is required	LEARNING OUTCOME CODE	What Good Looks Like - THE LEARNING OUTCOME (The apprentice consistently...)	ASSESSMENT CRITERIA CODE	PASS Assessment Criteria (The apprentice can.....)	DISTINCTION Assessment Criteria (The apprentice can.....) - Extensions to the PASS criteria are highlighted	EXAMPLES of Evidence that might be included in an Apprentice's Portfolio to demonstrate competence	
Personal Effectiveness and Adaptability	Accepts changing work priorities and patterns when new jobs need to be done and adapts to business change. Works well under pressure, deals with challenges and meets targets.	B7	Takes a flexible approach to changing work priorities	B7A	<ul style="list-style-type: none"> <li>Respond quickly to problems as they arise; look for solutions and a way forward.</li> </ul>	<p align="center"><b>No distinction applicable for this Assessment Criteria</b></p>	<p>Meeting core behavioural competencies – evidenced by Personal Development Review / Report / Folder &amp; one to ones</p> <p>Feedback from colleagues</p> <p>Attainment of any of the following professional examinations/qualifications</p> <ul style="list-style-type: none"> <li>- CIPP CPA Module 7</li> </ul>	
				B7B	<ul style="list-style-type: none"> <li>Seek assistance to reorganise their work to deal with the challenge</li> </ul>			<ul style="list-style-type: none"> <li><b>Proactively</b> reorganise their work to deal with the challenge</li> </ul>
				B7C	<ul style="list-style-type: none"> <li>Support others in the team when work priorities change, even at some personal cost</li> </ul>			<ul style="list-style-type: none"> <li><b>Actively</b> support others in the team when work priorities change, even at some personal cost</li> </ul>
		B8	Responds positively to business change/challenges	B8A	<ul style="list-style-type: none"> <li>See the opportunity in changes that are required and work their way through setbacks when they occur, stepping back when necessary and developing a way forwards</li> </ul>	<ul style="list-style-type: none"> <li>See the opportunity in changes that are required and work their way through setbacks when they occur, stepping back when necessary and developing a way forwards, <b>supporting others where necessary.</b></li> </ul>		<p>Meeting core behavioural competencies – evidenced by Personal Development Review / Report / Folder &amp; one to ones</p> <p>Feedback from colleagues</p> <p>Attainment of any of the following professional examinations/qualifications</p> <ul style="list-style-type: none"> <li>- CIPP CPA Module 7</li> </ul>
				B8B	<ul style="list-style-type: none"> <li>Identify learning from these events and builds this into their work practices</li> </ul>	<ul style="list-style-type: none"> <li>Identify learning from these events and builds this into their own <b>and their team's</b> work practices</li> </ul>		
				B8C	<ul style="list-style-type: none"> <li>Maintain constructive focus during periods of change</li> </ul>	<p align="center"><b>No distinction applicable for this Assessment Criteria</b></p>		
	B9	Works well under pressure	B9A	<ul style="list-style-type: none"> <li>Put in the extra work when required to resolve a problem / meet a deadline.</li> </ul>	<ul style="list-style-type: none"> <li><b>Consistently</b> puts in the extra work when required to resolve a problem / meet a deadline.</li> </ul>	<p>Meeting core behavioural competencies – evidenced by Personal Development Review / Report / Folder &amp; one to ones</p> <p>Feedback from colleagues</p> <p>Attainment of any of the following professional examinations/qualifications</p> <ul style="list-style-type: none"> <li>- CIPP CPA Module 7</li> </ul>		
			B9B	<ul style="list-style-type: none"> <li>Meet commitments even if personally inconvenienced</li> </ul>	<ul style="list-style-type: none"> <li><b>Actively</b> meet commitments even if personally inconvenienced</li> </ul>			
	B10	Makes productive and effective use of time	B10A	<ul style="list-style-type: none"> <li>Prioritise effectively.</li> </ul>	<p align="center"><b>No distinction applicable for this Assessment Criteria</b></p>	<p>Meeting core behavioural competencies – evidenced by Personal Development Review / Report / Folder &amp; one to ones</p> <p>Feedback from colleagues</p> <p>Attainment of any of the following professional examinations/qualifications</p> <ul style="list-style-type: none"> <li>- CIPP CPA Module 7</li> </ul>		
			B10B	<ul style="list-style-type: none"> <li>Ensure others are aware in a timely fashion when there is a danger of missing deadlines.</li> </ul>			<ul style="list-style-type: none"> <li><b>Actively</b> ensures others are aware in a timely fashion when there is a danger of missing deadlines.</li> </ul>	

Additional Consultant Competencies:

KNOWLEDGE	What is required	LEARNING OUTCOME CODE	What Good Looks Like - THE LEARNING OUTCOME (The apprentice consistently...)	ASSESSMENT CRITERIA CODE	PASS Assessment Criteria (The apprentice can.....)	DISTINCTION Assessment Criteria (The apprentice can.....) - Extensions to the PASS criteria are highlighted	EXAMPLES of Evidence that might be included in an Apprentice's Portfolio to demonstrate competence	
Trustee (or equivalent) Responsibilities	Understands how Trustee boards (or equivalent committees) are comprised and run; understands their Governance requirements, including risk management, complaints processes and business planning.	CAK1	Understands how Trustee boards (or equivalent committees) are comprised and run	CAK1A	<ul style="list-style-type: none"> <li>Explain the concept of trusteeship</li> </ul>	<ul style="list-style-type: none"> <li>Explain the concept of trusteeship and the roles and responsibilities of trustees.</li> </ul>	Attainment of any of the following professional examinations/qualifications - PMI RPC, CU2	
		CAK2	Understands the Governance requirements for Trustee boards (or equivalent committees), including risk management, complaints processes and business planning.	CAK2A	<ul style="list-style-type: none"> <li>Explain the features of scheme governance</li> </ul>	<ul style="list-style-type: none"> <li>Explain the features of scheme governance and outline the roles of the employer, trustees, governance committees and providers.</li> </ul>	Attainment of any of the following professional examinations/qualifications - PMI RPC, CU2 - CIPP CPA Module 1	
				CAK2B	<ul style="list-style-type: none"> <li>Outline the importance of risk management, member communication and engagement, investment and manager selection.</li> </ul>	<b>No distinction applicable for this Assessment Criteria</b>		
Scheme Benefits	Understands relevant pension scheme information and benefits payable. Understands the different types of calculations and benefit structures.	CAK3	Understands relevant pension scheme information and benefits payable.	CAK3A	<ul style="list-style-type: none"> <li>Outline benefits from a variety of schemes and understands the differences between them</li> </ul>	<ul style="list-style-type: none"> <li>Outline benefits from a variety of schemes and describe the differences between them</li> </ul>	Attainment of any of the following professional examinations/qualifications - PMI CU1A, CU3 - CIPP CPA Module 2 – 4 & 6	
		CAK4	Understands the different types of calculations and benefit structures.	CAK4A	<ul style="list-style-type: none"> <li>Demonstrate an understanding of the different types of benefit design found in pension schemes.</li> </ul>	<ul style="list-style-type: none"> <li>Demonstrate an understanding of the different types of benefit design found in pension schemes and describe the main benefit design features.</li> </ul>	Attainment of any of the following professional examinations/qualifications - PMI CU1A, CU3 - CIPP CPA Module 2 – 4 & 6	
Client Understanding	Broadly understands the nature of scheme sponsors and Trustees (or equivalent committees) as clients and the context of their business requirements, projects, circumstances, goals and cultures. Understands the options for, and importance of, communications with and to pension scheme members.	CAK5	Understands the nature of scheme sponsors and Trustees (or equivalent committees) as clients and the context of their business requirements, projects, circumstances, goals and cultures	CAK5A	<ul style="list-style-type: none"> <li>Demonstrate an understanding of what an employer might consider when selecting a trust, master trust or contract based arrangement.</li> </ul>	<b>No distinction applicable for this Learning Outcome</b>	Attainment of any of the following professional examinations/qualifications - PMI CU1A, CU3	
				CAK5B	<ul style="list-style-type: none"> <li>Demonstrate an understanding of the duties of trustees and their interaction with the employer as scheme sponsor.</li> </ul>			
		CAK6	Understands the options for, and importance of, communications with and to pension scheme members.	CAK6A	<ul style="list-style-type: none"> <li>Describe the possible ways to communicate effectively with scheme members.</li> </ul>	<b>No distinction applicable for this Assessment Criteria</b>	Attainment of any of the following professional examinations/qualifications - PMI CU1A, CU3 - CIPP CPA Module 2 – 3 – 5	
				CAK6B	<ul style="list-style-type: none"> <li>Discuss the various methods that they could use to provide a response to a question/query.</li> </ul>			<ul style="list-style-type: none"> <li>Discuss the various methods that they could use to provide a response to a question/query and give three clear examples of the methods they have used</li> </ul>
				CAK6C	<ul style="list-style-type: none"> <li>Demonstrate how they would communicate with someone to ensure they understand the message being relayed to them</li> </ul>			<ul style="list-style-type: none"> <li>Explain the importance of following the house style and tone of the pension scheme with all forms of written communication (including email and text messages)</li> </ul>

SKILLS	What is required	LEARNING OUTCOME CODE	What Good Looks Like - THE LEARNING OUTCOME (The apprentice consistently...)	ASSESSMENT CRITERIA CODE	PASS Assessment Criteria (The apprentice can.....)	DISTINCTION Assessment Criteria (The apprentice can.....) - Extensions to the PASS criteria are highlighted	EXAMPLES of Evidence that might be included in an Apprentice's Portfolio to demonstrate competence
Solution Development	Able to demonstrate analytical and investigative thinking, suggesting viable solutions to client issues that arise. Able to support implementation of solutions, including straightforward negotiations with clients when required.	CAS1	Demonstrates analytical and investigative thinking, suggesting viable solutions to client issues that arise.	CAS1A	<ul style="list-style-type: none"> <li>Demonstrate that client views have been fully understood and considered.</li> </ul>	No distinction available for this Learning Outcome	
				CAS1B	<ul style="list-style-type: none"> <li>Demonstrate that solutions have been constructed based on what has been learned from the client</li> </ul>		
		CAS2	Supports implementation of solutions, including straightforward negotiations with clients when required.	CAS2A	<ul style="list-style-type: none"> <li>Demonstrate solutions have been suggested and implemented</li> </ul>	<ul style="list-style-type: none"> <li>Demonstrate solutions have been suggested and implemented <b>successfully</b> where appropriate.</li> </ul>	
				CAS2B	<ul style="list-style-type: none"> <li>Show examples of negotiations with the client where appropriate</li> </ul>	No distinction applicable for this Assessment Criteria	

# Portfolio content

## Range of Evidence in Portfolio

This is an indication of a typical portfolio and is not prescriptive and the volume of evidence will relate to the type and quality of evidence produced, with the opportunity to cross reference evidence against Skills, Behaviours and Knowledge.

The knowledge focussed learning outcomes will be evidenced in part by the technical qualification. Indicative mapping for each qualification available under the three professional bodies the PMI, CIPP and CII is contained column 6 of the Assessment Criteria on pages 2-10 of this document. **Professional examinations/qualifications may be used as evidence for "Pass Assessment Criteria" not "Distinction Assessment Criteria"**. It is possible that qualification elements beyond the minimum could be selected to cover additional knowledge standards. This knowledge will be supplemented through observation of 'live work' and within discussions of case examples and projects. A discussion relating to compliance will be required, most suitably timed just after 'gateway' to discuss and evidence knowledge standards not covered within the technical qualification, usually due to being 'employer specific' information and processes.

## The portfolio will typically comprise of the following documents;

- **Appraisal or 1-1 review documents, key performance indicators and Personal Development Plan or equivalent.**

These should be detailed reviews of the apprentice's development within their role. There must be evidence of objectives being reviewed and a 'Personal Development Plan' being updated and added to over the period of the Apprenticeship.

- **Observations of Relevant Activity**

These should be fully documented, dated and countersigned. They should not contain commercially sensitive or third party personal data. must be verified by a Manager Statement/ or work product (documentation and notes) and be capable of independent verification.

- **Written Submissions.**

These can include statements and case study examples that should also be fully documented, dated and countersigned. . They should not contain commercially sensitive or third party personal data. Case examples must be verified by a Manager Statement/ or work product (documentation and notes) and be capable of independent verification.. Written submissions can also be projects or research written by the apprentice. These should be accompanied by Manager Statement (or equivalent)..

- **Witness Testimony**

Ideally from Manager looking at development over the Apprentice Journey. Focusing on Skills; Continuous Development, Personal Development, Team work, Customer Relationship Management, Delivering Results. Reference should also be made to opinions and feedback on Behaviours Honesty and Integrity, Commitment and Enthusiasm, Personal Effectiveness and Adaptability.

- **Knowledge(Professional) Discussion**

This discussion will ideally be recorded by digital medium such as DVR or Video. A prep sheet should be issued to apprentice to help prepare and make notes, but this needs to be a personal conversation about their own knowledge and understanding, and how it relates to their role. Typically such discussions would be no longer than 20 minutes. **A sheet summarising the discussion should be provided with this evidence.**

Evidence from Observations, discussions/written submissions or case examples can also be used to evidence these standards, but please be aware that where a standard asks to explain or describe then a more detailed explanation is required.

**The discussion should cover the knowledge focussed learning outcomes not covered within the chosen technical qualifications**

**For example, a discussion might cover:**

Explain how their organisation fits into the workplace pensions sector

- List the Values and relevant professional standards of their organisation and explain what they mean for their role
- Describe their own role and how this supports the overall business
- List the other parts of the organisation they need to work with to deliver for the customer and describe the nature of the interaction
- Explain how their organisation supports its customers (business or personal) in meeting their goals
- Explain what they need to do in their role to meet these requirements
- Explain how they keep up to date with any changes that impact their role
- List the systems, tools and processes that they use as part of their role
- Describe how the systems, tools and processes are used to perform their role
- Explain the standards that need to be met for each of the relevant processes
- Explain how the processes they use support the customer journey
- Describe the consequences of not using their systems and processes correctly for their role and wider impact this may have
- Explain what action to take when errors occur
- Describe the relevant escalation procedures
- Describe benefits under a variety of schemes and explain the differences between them
- Describe the different types of benefit design found in pension schemes
- Describe different types of pension scheme documentation
- Explain the concept of trusteeship and describe how trustee boards (or equivalent committees) are comprised and run
- Explain what an employer may consider when selecting a trust, master trust or contract based arrangement
- Describe the duties of trustees and their interaction with the employer as scheme sponsor
- Describe the possible ways to communicate effectively with scheme members
- Describe how they would communicate with someone to ensure they understand the message being relayed to them.