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| **Investment Operations FAQs** |
| These FAQs are for Independent End-point Assessors for the Level 2 Investment Operations Administrator, Level 3 Investment Operations Technician and Level 4 Investment Operations Specialist Standards.   1. Is voice recorded evidence acceptable as a method of presenting evidence in the portfolio? 2. What does synoptic mean? 3. If evidence in the portfolio has not fully met the required number of assessment criteria, can the IEPA ask questions within the professional discussion or does this mean that the portfolio is a fail? 4. [If a piece of evidence does not cover an assessment criteria that it has been mapped to, should I look at the other evidence in the portfolio to try to find a match?](#Heading4) 5. [If the apprentice states something that is incorrect in a piece of evidence, does this mean that they automatically fail the EPA?](#Heading5) 6. What documentation should be uploaded to the EPA portal where an apprentice fails an EPA? 7. Is it acceptable for an apprentice to provide one example of meeting each of the assessment criteria? 8. Should all product evidence be signed by the apprentice, the employer and the training provider? 9. [What types of signatures are acceptable when authenticating evidence?](#Heading9) 10. [If the apprentice fails one component of the EPA do they have to re-take both assessment methods?](#Heading10) |

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| 1. **Is voice recorded evidence acceptable as a method of presenting evidence in the portfolio?**   Yes. Voice recorded evidence is acceptable. This must be capable of being authenticated to the apprentice. If not accompanied by hard copy product evidence, it must be clear from the recording that the training provider has seen the product evidence being discussed. |

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| 1. **What does synoptic mean?**   This means that the evidence should be presented so that it demonstrates the apprentice’s competence in an integrated manner across the knowledge, skills and behaviours criteria, rather than evidencing knowledge, skills and behaviours separately. |

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| 1. **If evidence in the portfolio has not fully met the required number of assessment criteria, can the IEPA ask questions within the professional discussion or does this mean that the portfolio is a fail?**   If the required number of pass criteria have clearly not been evidenced, this would result in a fail. However if the IEPA is not sure whether some assessment criteria have been fully evidenced, these can be explored in more detail in the professional discussion. The apprentice must have made a genuine attempt to evidence the required assessment criteria in the portfolio. There should not be large gaps requiring extensive questioning. |

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| 1. [**If a piece of evidence does not cover an assessment criteria that it has been mapped to, should I look at the other evidence in the portfolio to try to find a match?**](#Heading4)   No, you should assess the evidence as mapped on the Holistic Assessment Front Sheet. It is not your role as an IEPA to re-map the evidence for the apprentice/training provider. |

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| 1. [**If the apprentice states something that is incorrect in a piece of evidence, does this mean that they automatically fail the EPA?**](#Heading5)   No, not necessarily. If what was stated was not relevant to the standard, this should not be taken into account in your assessment. If, however, the learner has stated something incorrectly in relation to evidencing a specific assessment criteria, they will fail the EPA, as all assessment criteria must be evidenced by the portfolio and reflective discussion collectively. |

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| 1. **What documentation should be uploaded to the EPA portal where an apprentice fails an EPA?**   Where an apprentice fails an EPA, the only document that should be uploaded to the EPA portal is the End-point Assessment Feedback Form. You must still complete the End-point Assessment Front Sheet. However, this should be e-mailed to your LIEPA, together with any rough notes, rather than being uploaded to the EPA portal. |

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| 1. **Is it acceptable for an apprentice to provide one example of meeting each of the assessment criteria?**   No, VACS requirements must be met. The IEPA should look for evidence that's not just a one off. The only exception is where an assessment criteria covers something which happens infrequently and it would, therefore, be unfair to expect the apprentice to provide more than one example eg annual training etc. |

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| 1. **Should all product evidence be signed by the apprentice, the employer and the training provider?**   In an ideal world this is what we would be looking for. However, the IEPA needs to use their judgement as to whether this is essential to authenticate and validate the evidence. If this can be done in other ways e.g., if there is robust product evidence accompanying a reflective statement - the absence of signatures is not an issue. |

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| 1. [**What types of signatures are acceptable when authenticating evidence?**](#Heading9)   Only hand-written and digital signatures are acceptable. Where the apprentice/training provider/employer has simply typed their name at the end of a document, this does not constitute a signature. |

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| 1. **If the apprentice fails one component of the EPA do they have to retake both assessment methods?**   Yes. As the grading is based on the collective assessment of the Portfolio of Evidence and the Professional Discussion, the apprentice must retake both assessment methods. In practice much of the portfolio evidence may be the same, but supplemented by additional evidence. Once this has been assessed a new Professional Discussion will take place. |