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| Investment Operations Technician (7418-13) |

**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.

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

|  |  |
| --- | --- |
| **Entry Requirement** | **Achieved (Yes/No)** |
| Chartered Institute for Securities and Investment (CISI) – Investment Operations Certificate (IOC) |  |
| 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.**

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| **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 successfully.**

|  |  |  |  |
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| **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 – Investment Operations Technician  
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.

|  |  |  |  |
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| 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**

|  |  |  |  |
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| **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.**

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| **Training Provider** |  | **Assessment Date** |  |

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| **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 Industry and company understanding**  Broad understanding of the role and structure of the Financial Services industry, the role and purpose of markets and the principles of investing.; the role of the function in which they work and how this role relates to other support functions within the organisation and corresponding banks and firms. | | | | | | | | |
| **1.1.1** | Broad understanding of the role and structure of the Financial Services industry, the role and purpose of markets and the principles of investing. | Aware of developments and changes that impact in the financial services industry |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **1.1.2** | Understands the role of the function in which they work, how their team fits within the business, and how this role relates to other support functions within the organisation, corresponding banks and firms. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass |
| **1.2 Regulatory and Compliance**  Understands the Financial Services regulatory framework and how the relevant rules and principles apply to their own role and within their team. Has a good understanding of market and operational risks that may impact their role, departmental activities, the organisation, clients and industry counterparties. Understands what constitutes appropriate market, business and personal conduct. | | | | | | | | |
| **1.2.1** | Understands the Financial Services regulatory framework and how the relevant rules and principles apply to their own role and within their team. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass | |
| **1.2.2** | Has a good understanding of market and operational risks that may impact their role, departmental activities, the organisation, clients and industry counterparties. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass | |
| **1.2.3** | Understands what constitutes appropriate market, business and personal conduct. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass | |
| **1.3 Products**  Good understanding of the purpose & technical content of the financial instruments and/or products supported by the role, including the client need that is met by the product. | | | | | | | | |
| **1.3.1** | Good understanding of the purpose and technical content of the financial instruments and/or products supported by the role. | An understanding a range of financial products outside of own role. |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass  🞎 Distinction | |
| **1.3.2** | Understands the client need that is met by each product supported by the role. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass | |
| **1.4 Systems and processes**  Proficient in the IT skills, systems and processes required to deliver the role outcomes. Aware of how these support and fit within the corresponding markets and counterparty organisations. Able to conduct an entire process independently with reliable results. | | | | | | | | |
| **1.4.1** | Understands the systems and processes, including IT, required to deliver the role outcomes, knowing how they link together to deliver a complete process. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass | |
| **1.4.2** | Knows how these (1.4.1) support and fit within the corresponding markets and counterparty organisations. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass | |
| **1.5 Client Services and Relationships**  Knows the principles/tools of excellent client service and company standards required in their role. Understands the service requirements between markets, counterparties and different types of clients. | | | | | | | | |
| **1.5.1** | Knows the principles/tools of excellent client service and company standards required in their role. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass | |
| **1.5.2** | Understands the service requirements between markets, counterparties and different types of clients. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass | |
| **Skills**  **2.1 Service Delivery**  Capable of performing non- complex tasks to consistently high standards of client service, timeliness, accuracy and attention to detail. For example, ensures the timely preparation and accuracy of computerised cash position, valuation, and client reports; monitors and processes the timely allocation of investment income to client account; Ensures that client instructions relating to increasing or liquidating their investments are communicated and processed promptly. Manages own workload and adheres to agreed systems and processes. Meets required risk, regulatory and governance requirements. | | | | | | | | |
| **2.1.1** | perform tasks to the organisation’s standards, including client service, timeliness, accuracy and attention to detail. | Recognises and rectifies mistakes. |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass  🞎 Distinction | |
| **2.1.2** | manage their own workload, adhering to agreed systems and processes. | Is called upon to help new staff learn system and process. |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass  🞎 Distinction | |
| **2.1.3** | meet required risk, regulatory and governance requirements. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass | |
| **2.2 Communication**  Demonstrates high quality written and verbal communication skills with both clients and colleagues. Builds and maintains good relationships with clients and counterparties. Handles everyday situations and issues that arise within the context of their job role. Ensures transactions arising from corporate actions are correctly communicated and allocated to client accounts. | | | | | | | | |
| **2.2.1** | Demonstrates high quality jargon free written and verbal communication skills with both clients and colleagues. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass | |
| **2.2.2** | Builds and maintains good relationships with clients and counterparties. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass | |
| **2.2.3** | Handles everyday situations and issues that arise within the context of their job role, demonstrating good listening skills and the ability to adapt their communication style. | Shows initiative when faced with challenging situations. |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass  🞎 Distinction | |
| **2.3 Team working and collaboration**  Consistently supports colleagues and contributes towards making improvements and efficiencies. Aware of their role within the team, how their team fits within the business, and the impact of team decisions impacts on internal and external clients. | | | | | | | | |
| **2.3.1** | Consistently supports colleagues and collaborates to achieve results | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass | |
| **2.3.2** | Able to identify and implement agreed improvements within their area. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass | |
| **2.4 Ownership and Initiative**  Takes ownership for delivery in their area of responsibility. Finds ways to progress and resolve non-complex issues, adopting alternative approaches where appropriate. Escalates decisions and issues swiftly when necessary. | | | | | | | | |
| **2.4.1** | Takes ownership and commits to delivery in their area of responsibility | Is a go to person for customer queries and can deal with challenging/ complex situations within own area of responsibility |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass  🞎 Distinction | |
| **2.4.2** | Able to find ways to progress and resolve non-complex issues, adopting alternative approaches, within company policy, when necessary. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass | |
| **2.4.3** | Demonstrates the ability to identify and escalate decisions / issues swiftly when necessary | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass | |
| **2.5 Personal Development**  Participates proactively in planning and recording their development activities; responds positively to feedback from colleagues. Keeps up to date with changes in all areas of the role; shows commitment to the job and the industry. | | | | | | | | |
| **2.5.1** | Takes ownership for and seeks ways in which to develop their capability in the role, keeping up to date with changes and recording their development activity as required. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass | |
| **2.5.2** | Owns and progressively develops their own career plan. | Shows a willingness to develop skills and knowledge beyond their normal job role eg attending CPD events, online courses, internal training |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass  🞎 Distinction | |
| **Behaviours**  **3.1 Honesty and Integrity**  Truthful, sincere in their actions and does the right thing (even when not the easiest). Handles client information confidentially. | | | | | | | | |
| **3.1.1** | Demonstrates integrity and ethical behaviour in the way they do their job | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass | |
| **3.1.2** | Handles sensitive information according to internal standards of confidentiality and data protection | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass | |
| **3.2 Adaptability**  Willing to accept changing priorities and work patterns when new jobs need to be done or requirements change. | | | | | | | | |
| **3.2.1** | Able to adapt to changing business needs effectively, re-prioritising work as required. | Embraces changing business needs and looks for better ways of working to improve the quality and delivery. |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass  🞎 Distinction | |
| **3.2.2** | Supports others in adapting to changing business needs. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass | |
| **3.3 Enthusiasm**  Shows drive and energy in their work, when things are going well and when challenges arise. | | | | | | | | |
| **3.3.1** | Displays drive and energy in their work, staying positive when under pressure | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass | |
| **3.3.2** | Able to deal objectively with challenges when they occur | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass  🞎 Distinction | |

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**1 Giltspur Street, London EC1A 9DD. T +44 (0)20 7294 2468 F +44 (0)20 7294 2400 www.cityandguilds.com**