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| Investment Operations Specialist (7418-14) |

**Version 1 September 2018**

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1. Introduction

### What is in this document

Recording forms to be used by Centres/ 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 Centres/ End-point Assessment Customers 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)** |
| Level 2 qualification (or equivalent) in Maths and English and taken the Level 2 Maths and English |  |
| One of the below qualifications:  **Chartered Institute for Securities and Investment (CISI)** - Investment Operations Certificate (IOC) or Certificate in Investment Management or Investment Advice Diploma (IAD) or Managing Operational Risk in Financial Institutions  **or**  • **CFA UK** - Investment Management Certificate (IMC) |  |

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** |  |
| **Training Provider (if appropriate)** |  | **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 4 Investment Operations Specialist  
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 |  | Date |  |

**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** |  |

:

|  |  |  |  |  |  |  |
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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 Business Awareness**  Sound understanding of the structure of the Financial Services industry and in particular the role and purpose of markets and the process of investing; the role of the function in which they work; how this role relates to other functions within their department and to the wider business. Deeper knowledge of specific markets and supporting operational protocols as required by the employing organisation. | | | | | | |
| **1.1.1** | Demonstrates a sound understanding of the structure of the industry, and in particular the role and purpose of markets and the process of investing. | Is aware of developments and changes that impact in the financial services industry |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **1.1.2** | Demonstrates a sound understanding of the role of the function in which they work, and how this role relates to other functions within their department and to the wider business. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass |
| **1.1.3** | Has deep knowledge of specific markets and supporting operational protocols as required by the employing organisation | Has some knowledge of protocols beyond the employing organisation within financial services |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **1.2 Regulatory & compliance**  Sound understanding of the Financial Services regulatory framework and ethics, and the ability to apply relevant rules and principles to their own role and within their team. Able to identify and communicate risks to the relevant management or compliance personnel within the organisation. | | | | | | |
| **1.2.1** | Demonstrates a sound understanding of the Financial Services regulatory framework and ethics. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass |
| **1.2.2** | Applies knowledge of relevant rules and principles to their own role and within their team. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass |
| **1.2.3** | Identifies and communicates perceived compliance risks to the relevant management or compliance personnel within the organisation. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass |
| **1.3 Products**  Sound understanding of the technical, investment and settlement characteristics of the main investment products, instruments, currencies and markets, including derivative instruments and complex products. Understands how an investment instrument or product is typically used within the industry and how it may meet specified client objectives. | | | | | | |
| **1.3.1** | Demonstrates a sound understanding of the technical, investment and settlement characteristics of the main investment products, instruments, currencies and markets, derivative instruments and complex products. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass |
| **1.3.2** | Understands how an investment instrument or product is typically used within the industry and how it may meet specified client objectives. | Understands a range of financial products outside of own role and department. |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **1.4 Systems and processes**  Proficient in the IT skills, systems and processes required to deliver consistent outcomes. Aware of how these support and fit within the wider business and the sector. Understands the types of risks that may arise through operational activities and how these risks can be mitigated. Can utilise complex processes and multiple systems as required. | | | | | | |
| **1.4.1** | Understands all required IT, regulatory and market systems and processes, and how they support the wider business. | Is an expert to the point of being able to train new staff on required systems and processes |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **1.4.2** | Understands how various operational risks can arise, and how these risks can be mitigated. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass |
| **1.4.3** | Able to use complex processes and multiple systems, as and when required. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass |
| **1.5 Client Service and Relationships**  Communicates effectively and professionally with clients, external counterparties and internal staff. Adheres to internal standards, market protocol and regulatory rules and principles for reporting purposes. Understands the relationships and service requirements between markets, clients and their intermediaries. | | | | | | |
| **1.5.1** | Able to apply effective and professional communication skills with clients, external counterparties and internal staff. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass |
| **1.5.2** | Understands who their internal and external clients are, and how to meet their requirements. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass |
| **1.5.3** | Adheres to internal standards, market protocol, regulatory rules and principles. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass |
| **1.5.4** | Understands the relationships and service requirements between markets, clients and their intermediaries. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass |
| **Skills**  **2.1 Service delivery**  Maintains a consistently high standard of service internally, towards clients and with intermediaries. Adheres to well defined timeframes, systems and processes. Consistently attentive to accuracy, detail and timeliness; meets required risk, regulatory and governance requirements. Performs tasks which may be complex, specialised, or non-routine, such as bespoke (OTC) derivative settlement and margin calculations, monitoring and processing these complex transactions through to completion; Preparing management, investment performance or review reports for internal and external clients. | | | | | | |
| **2.1.1** | Maintains a high standard of service internally, towards clients and with intermediaries; adheres to well defined timeframes, systems and processes. | Proactivity develops their own skills in the delivery of their work e.g. taking on additional tasks, suggesting improvements to processes etc. |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **2.1.2** | Maintains excellent standards of accuracy, detail and timeliness and meets all risk, regulatory and governance requirements. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass |
| 2.1.3 | Capable of performing specialised tasks which may be complex and/ or non-routine, according to the specific needs of the business. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass |
| 2.1.4 | Demonstrates proficiency in all required IT skills, systems and processes, together with awareness of how these systems are supported, and how they fit within the wider business and the sector. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass |
| 2.1.5 | Able to perform all aspects of the role well, especially under time pressure. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **2.2 Communicating and influencing**  Adopts high quality written and verbal communication skills as appropriate for communicating with internal and external clients. . Builds positive relationships with clients and colleagues using sound interpersonal and influencing skills. Able to coach/train less experienced colleagues. Able to communicate and negotiate complex situations and issues that may arise. | | | | | | |
| 2.2.1 | Adopts high quality written and verbal communication skills, and builds positive relationships with clients and colleagues using sound interpersonal and influencing skills. | No distinction differentiator |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass |
| 2.2.2 | Able to coach and/or train less experienced colleagues. | No distinction differentiator |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass |
| 2.2.3 | Ensures that any complex situations and issues are communicated and negotiated effectively. | Shows initiative when faced with challenging situations |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **2.3 Team working and collaboration**  Consistently supports colleagues and the wider business, collaborating to achieve results. Aware of their role within team, how their team fits within the business and how the team’s decisions impacts on others. Takes a leadership role in the team when appropriate. Operates well under time pressure. | | | | | | |
| 2.3.1 | Applies their awareness of individual, team and business dynamics to foster a supportive and collaborative environment, taking a leadership role in the team when appropriate. | Suggests and implements improvements in team and understands the measurable return/efficiency they have generated. |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| 2.3.2 | Reliable in managing self and other team members when under time pressure. | No distinction differentiator |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass |
| **2.4 Ownership and Initiative**  Takes ownership for delivery in their area of responsibility, both for the core role and for developing and implementing changes. Able to exercise autonomy and judgement within fairly broad parameters. Finds effective ways to resolve issues. Escalates decisions and issues when necessary. Capable of resolving complex issues that may involve other business areas. | | | | | | |
| 2.4.1 | Owns responsibility for delivery outcomes within their area, both for the core role and for developing and implementing changes. | Takes on additional responsibility and tasks outside of own role. |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| 2.4.2 | Exercises autonomy and good judgement within fairly broad parameters. Escalates decisions and issues when necessary. | No distinction differentiator |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| 2.4.3 | Resolves issues effectively, including complex issues that may involve other business areas. | No distinction differentiator |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass |
| **2.5 Personal development**  Proactively plans and records their own development; seeks constructive feedback and incorporates within development plan.  Keeps up to date with changes in all areas of the role; shows commitment to the job and the industry. | | | | | | |
| **2.5.1** | Develops their capability in the role, seeking and applying constructive feedback and incorporating it within their development plan. | Shows a willingness to develop skills and knowledge beyond their normal job role e.g. attending CPD events, online courses, internal training. |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **2.5.2** | Takes responsibility for their own career development. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass |
| **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 when requirements change. | | | | | | |
| **3.2.1** | Capable and willing to plan, adapt and reprioritise their workload and/ or that of their team, in accordance with the changing needs of the business. Helps others to become more adaptable. | Proactively accepts changing priorities and work patterns when new jobs need to be done or requirements change. Has an established and evidenced track record of being able to adapt and help others to do so. |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass  🞎 Distinction |
| **3.3 Enthusiasm**  Shows drive and energy in their work, when things are going well and when challenges arise. | | | | | | |
| 3.3.1 | Display drive, energy and positivity. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass |
| **3.3.2** | Deals calmly and objectively with challenges when they occur. | No distinction differentiator. |  |  | 🞎 Portfolio  🞎 Professional discussion | 🞎 Fail  🞎 Pass |

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