



Draft Preview

DRAFT APPRENTICESHIP ASSESSMENT PLAN FOR THE INVESTMENT OPERATIONS SPECIALIST APPRENTICESHIP

ST0180/V2

APPRENTICESHIP REFERENCE NUMBER	LEVEL OF THIS APPRENTICESHIP	INTEGRATION
ST0180	4	None

Assessment Plan

Assessment details

Introduction

This Apprenticeship Assessment Plan (AAP) sets out the requirements for the assessment of the Level 4 investment operations specialist apprenticeship. It should be read in conjunction with the General Requirements for Apprenticeship Assessment. Where there is conflict between this AAP and the General Requirements, this AAP takes precedence. Assessment organisations must also comply with the relevant regulatory framework for apprenticeship assessment.

It is important that the assessment of apprentices is proportionate, valid, and provides reliable evidence of an apprentice's attainment of the relevant knowledge and skills. As such, assessment organisations must design assessments to ensure:

- employers have confidence that the apprentice has reached the expected performance standard
- apprentices are sufficiently secure in their knowledge and skills, so that they could demonstrate their competence in different contexts (for example, a different workplace)

Assessment Outcomes

The assessment outcomes group and summarise the knowledge and skills that must be demonstrated in assessments. All assessment outcomes must be assessed.

The assessment outcomes have been created to summarise the content that is not fully assessed by the qualifications mandated in the occupational standard. The knowledge and skills statements that are not mapped here are assessed by the qualifications mandated in the occupational standard.

Knowledge and skills statements in **bold** are mandatory and must be assessed in every version of the assessment that is made available.

Assessment Outcome	Mapping
<p>AO1: Investment operations and workflow management</p> <p>Applies knowledge of investment operations, organisational objectives, and available products to investigate and resolve operational issues, provide administrative support, and manage workflows to meet service level agreements.</p>	<p>K2, K4, K8</p> <p>S1, S2, S3, S6</p>
<p>AO2: Compliance, risk, and data security</p> <p>Implements organisational policies and regulatory requirements to identify and escalate risks, maintain accurate records, and ensure secure handling of data in line with compliance and cybersecurity standards.</p>	<p>K6, K12</p> <p>S4, S5, S11</p>
<p>AO3: Data analysis and continuous improvement</p> <p>Uses data analysis techniques to review operational processes, identify trends or anomalies, and recommend improvements to enhance efficiency and quality.</p>	<p>K9</p> <p>S7</p>
<p>AO4: Stakeholder engagement and communication</p> <p>Builds and maintains collaborative relationships with internal and external stakeholders, adapting communication methods and strategies to convey information effectively across diverse audiences.</p>	<p>K10, K11</p> <p>S8, S9</p>
<p>AO5: Technology and digital tools in investment operations</p> <p>Uses investment operations systems and digital tools securely and effectively to support operational tasks and data management.</p>	<p>K13</p> <p>S12</p>
<p>AO6: Sustainability, EDI, and professional contribution</p> <p>Applies sustainability principles and equality, diversity, and inclusion policies in daily work, supports colleagues through mentoring or escalation, and contributes to organisational objectives and ethical practices.</p>	<p>K14, K15</p> <p>S10, S13, S14</p>

Assessment requirements

Assessment organisations must set apprenticeship assessments. Assessment organisations should consider how technology and digital tools can support innovation and efficiency.

Assessment organisations must design apprenticeship assessments to include at least one **professional discussion**.

Any additional assessment(s) must be selected from the following list of methods to ensure the assessment outcomes are met in full:

- **portfolio**
- **project**
- **report**
- **presentation**
- **question and answer**
- **case study**

Assessment organisations must have due regard to any relevant regulation and legislation guidelines that may be published by the Financial Conduct Authority and or the Prudential Regulation Authority. Apprentices may be assessed at any appropriate point during their apprenticeship programme.

Assessments may be designed to allow a centre or training provider to mark assessments. The assessment organisation is responsible for ensuring all assessments are sufficiently reliable and valid, and for the accuracy of any centre or training provider marking.

Performance descriptors

Performance descriptors describe the level of performance required to achieve a pass or distinction grade. Assessment organisations must design assessments that align with these descriptions.

Performance Category	Pass	Distinction
Applied Knowledge	Demonstrates sound application of investment operations knowledge to address well-defined but complex and non-routine problems, reaching appropriate and effective outcomes that align with organisational objectives.	Applies investment operations knowledge with confidence and precision, producing high-quality outputs for well-defined but complex and non-routine problems, often enhancing processes or outcomes.
Applied Skills	Identifies and applies suitable cognitive and practical skills in investment operations tasks, adapting as necessary to meet requirements. Methods chosen are appropriate, with results that meet organisational or sector expectations.	Adapts and applies cognitive and practical skills in investment operations with a high degree of flexibility and operational fluency, ensuring methods are effective and optimised for quality and efficiency of service outcomes.
Regulatory and Procedural Awareness	Applies relevant compliance, risk, and data security procedures with sound judgement, adapting appropriately to varied and occasionally complex situations within investment operations.	Interprets and applies compliance, risk, and data security requirements with insight and appropriate flexibility, identifying implications and making informed decisions in varied and occasionally complex investment operations contexts.
Communication and Collaboration	Communicates clearly and collaborates effectively with internal and external stakeholders in investment operations,	Communicates and collaborates with confidence and insight, tailoring approach to diverse stakeholder needs in investment

	contributing to service delivery and maintaining professional relationships.	operations, contributing to improved collaboration and service outcomes.
Information Use and Decision Making	Analyses and interprets relevant investment operations information to make informed decisions, showing clear awareness of the occupational context and broader scope of the role.	Analyses, interprets, and evaluates information from a range of sources within investment operations, providing insightful justification for decisions and demonstrating strong awareness of broader implications.
Responsibility and Autonomy	Takes responsibility for actions and decisions within set parameters. Manages own work and, where relevant, oversees others or allocates resources with adequate awareness of risks and priorities in investment operations.	Proactively takes responsibility for actions and decisions within set parameters. Manages own work independently and, where relevant, coordinates others, using sound judgment about risks and priorities to manage resources or actions in investment operations.

Professional recognition

This apprenticeship aligns with the professional body recognition detailed in the occupational standard.

Please contact the relevant professional body for further information.

Additional qualification

One of the qualifications detailed in the occupational standard must be completed before the end of the apprenticeship.

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