City & Guilds Level 2/3 Award/Certificate in Providing Financial Services (6774-02/03)

Version 1.4 (April 2025)

Qualification Handbook

Qualification at a glance

Subject area	15.1 Accounting and finance
City & Guilds number	6774
Age group approved	16-18, 19+
Entry requirements	No specific entry requirements.
Assessment	Portfolio of evidence
Grading	Pass/fail
Approvals	Automatic approval is available for centres already approved to offer the Level 2/3 NVQ in Retail Financial Services (6769)
Support materials	Qualification handbook Level 2 Units Levels 3, 4 & 5 Units
Registration and certification	Consult the City & Guilds website for information

Title and level	City & Guilds qualification number	Regulatory reference number	GLH	TQT
City & Guilds Level 2 Award in Providing Financial Services	6774-02	600/1752/1	5	10
City & Guilds Level 2 Certificate in Providing Financial Services	6774-02	600/1624/3	133	210
City & Guilds Level 3 Award in Providing Financial Services	6774-03	600/1753/3	5	10
City & Guilds Level 3 Certificate in Providing Financial Services	6774-03	600/1639/5	163	310

Version and date	Change detail	Section
1.1 September 2014	Amended Unit 350 title	Units
1.2 December 2015	Added units 264-268 to Level 2 Certificate in Providing Financial Services	Introduction
1.3 October 2017	Added GLH and TQT details	Qualification at a glance and Introduction
	Removed QCF	Appendix 3
1.4 March 2025	Migrated QHB to updated template	All

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1 Introduction

This document tells you what you need to do to deliver the qualifications:

Area	Description
Who are the qualifications for?	The qualifications are designed for learners who work or want to work within banks and building societies, business administration and customer service organisations where their role will involve providing financial services.
What do the qualifications cover?	The Awards at Levels 2 and 3 are designed to offer learners the flexibility to show their achievement in a specific area without taking the full Certificates in Providing Financial Services and may be suitable for Continuing Professional Development or supplemental learning. The Level 2 Certificate allows for a specific technical focus on an area the learner is working in or wishes to work in. The Level 3 Certificate provides candidates with the opportunity to have a specific technical focus on an area the learner is working in or wishes to work in and to achieve credit for learning in other areas of the financial services sector.
What opportunities for progression are there?	The Level 2 and 3 Awards can provide learners the opportunity to progress into employment or to the following City & Guilds qualifications: • Level 2 Certificate in Providing Financial Services • Level 3 Certificate in Providing Financial Services Learners can progress onto Level 3 or Level 4 in Customer Service, Sales, Management and professional qualifications in Providing Financial Services.
Who did we develop the qualifications with?	The qualifications were developed in collaboration with the Financial Skill Partnership, the Sector Skills Council for the Financial Services Sector and other Awarding Organisations.
Is it part of an apprenticeship framework or initiative?	The Certificates serve as competency element in the Providing Financial Services Apprenticeship framework.

Structure

To achieve the City & Guilds **Level 2 Award in Providing Financial Services**, learners must achieve:

Level 2 Award in Providing Financial Services
Total credits: Min 1, Max 11
Credits from mandatory units: n/a
Learners must achieve all **one** unit from Award Group A **Plus** Learners may choose **one** additional optional unit from Award Group A or Award Group B Learners cannot achieve more than 11 credits. **Group A** (min 1 credit) 201-248, 252, 258 **Group B** (optional additional units, min 2 credits) 253- 257, 259-263, 366

To achieve the City & Guilds **Level 2 Certificate in Providing Financial Services**, learners must achieve:

Level 2 Certificate in Providing Financial Services
Total credits: Min 21
Credits from mandatory units: 3 mandatory units (14 credits): 201-203
Learners must achieve • units from one Technical Group A-G or 4 units from two Sub-Groups H1-H6 • **plus** 1 unit from Group O Learners cannot use a unit which they have already used towards the qualification as an optional unit.

Group A: Banks & Building Society Accounts

204 -211 (min 7 credits)

Group B: Customer Payments for Financial Products and Services

210, 212-214, 309-310 (min 8 credits)

Group C: General Insurance

209-211, 215-226, 264-268 (min 7 credits)

Group D: Investment Operations

209-210, 227-228 (min 7 credits)

Group E: Life, Pensions and Investment

209-211, 229-232 (min 7 credits)

Group F: Financing and Credit

209-211, 233-234 (min 6 credits)

Group G: Administration for Financial Planning and/or Mortgage Intermediaries

209-211, 235-237 (min 7 credits)

Group H: Debt Collections

H1: Debt Repayment Monitoring

238+366 (min 7 credits)

H2: Payment Processing

239-240 (min 2 credits)

H3: Debt Collection Case Management (pre-legal)

241-242 (min 8 credits)

H4: Debtor Call Handling

243-244 (min 5 credits)

H5: Debt Collection Negotiation

245-246 (min 7 credits)

H6: Preparation for Debt Collection

247-248 (min 5 credits)

Group O Optional units (min 1 credit)

204-248, 252-268, 308-310, 366

To achieve the City & Guilds **Level 3 Award in Providing Financial Services**, learners must achieve:

Level 3 Award in Providing Financial Services
Total credits: Min 1, Max 11
Credits from mandatory units: n/a
Learners must achieve all **one** unit from Award Group C **Plus** Learners may choose **one** additional optional unit from Award Group C or Award Group D Note: 328 (D3) and 350 (F12) are a barred combination Learners cannot achieve more than 11 credits **Group C** (min 1 credit) 301-307, 311-379, 386-387 **Group D** (optional additional units, min 3 credits) 380-385, 388-390, 401-405, 501

To achieve the City & Guilds **Level 3 Certificate in Providing Financial Services**, learners must achieve:

Level 3 Certificate in Providing Financial Services
Total credits: Min 31
Credits from mandatory units: 3 mandatory units (16 credits): 201, 203, 301
Learners must achieve • units from one Technical Groups A-I or 3 units from two Sub-Groups H1-H7 • **plus** 2 units from Group J further options Learners cannot use a unit which they have already used towards the qualification as a further unit.

Group A: Banks & Building Society Accounts

210, 302-307 (min 8 credits)

Group B: Customer Payments for Financial Products and Services

210, 308-310 (min 8 credits)

Group C: General Insurance

210, 307, 311-324 (min 9 credits)

Group D: Investment Operations

210, 306-307, 325-334, 350 (min 8 credits)

Note: 210 (Z2), 328 (D3) and 350 (F12) are barred combinations

Group E: Life, Pensions and Investment

210, 306-307, 335-340 (min 8 credits)

Group F: Financing and Credit

210, 307, 341-350 (min 6 credits)

Note: 210 (Z2) and 350 (F12) are a barred combination

Group G: Administration for Financial Planning and/or Mortgage Intermediaries

210, 306-307, 351-354 (min 8 credits)

Group H: Debt Collections

H1: Preparation for Debt Collections
355-356 (min 5 credits)

H2: Debt Collection Negotiations
357-358 (min 7 credits)

H3: Debt Call Handling
359-360 (min 5 credits)

H4: Debtor Collection Case Management (pre-legal)
361-362 (min 8 credits)

H5: Payment Processing
363 (min 1 credit)

H6: Debt Repayment Monitoring
365-366 (min 7 credits)

H7: Debt Collection Operations Management
367-368 (min 10 credits)

Group I: Pension Scheme Administration

369-378, 401 (min 10 credits)

Group J: Further options (min 9 credits)

210, 249-251, 302-307, 311-390, 401-405, 501

Note: barred combinations

- 210 (Z2), 328 (D3), 350 (F12)
- 210 (Z2), 249 (I1), 250 (I12), 251 (I3)

Total Qualification Time (TQT)

TQT is the number of notional hours which represents an estimate of the total amount of time that could reasonably be expected for a learner to demonstrate the achievement of the level of attainment necessary for the award of a qualification.

TQT consists of the following two elements:

- the number of hours that an awarding organisation has assigned to a qualification for guided learning
- an estimate of the number of hours a learner will reasonably be likely to spend in preparation, study or any other form of participation in education or training, including assessment, which takes place as directed by – but, unlike guided learning, not under the immediate guidance or supervision of – a lecturer, supervisor, tutor or other appropriate provider of education or training.

Title and level	GLH	TQT
City & Guilds Level 2 Certificate in Providing Financial Services	133	210
City & Guilds Level 3 Certificate in Providing Financial Services	163	310
City & Guilds Level 2 Award in Providing Financial Services	5	10
City & Guilds Level 3 Award in Providing Financial Services	5	10

2 Centre requirements

Approval

Automatic approval

Centres already approved to offer the:

- Level 2 NVQ in Retail Financial Services (6769) will be automatically approved to register and certificate candidates on the 6774 - 02
- Level 3 NVQ in Retail Financial Services (6769) will be automatically approved to register and certificate candidates on the 6774 - 03.

Please refer to the document **Centre Approval Process: Quality Assurance Standards** for further information.

Centre staff should familiarise themselves with the structure, content and assessment requirements of the qualification before designing a course programme.

Resource requirements

Centre staffing

Staff delivering these qualifications must be able to demonstrate that they meet the following occupational expertise requirements. They should:

- be occupationally competent or technically knowledgeable in the areas for which they are delivering training and/or have experience of providing training. This knowledge must be to the same level as the training being delivered
- have recent relevant experience in the specific area they will be assessing
- have credible experience of providing training.

Centre staff may undertake more than one role, e.g. tutor and assessor or internal verifier, but cannot internally verify their own assessments.

There may be occasions when there are limited opportunities for workplace assessment due to logistical difficulties and availability of an external assessor to carry out assessment in the day-to-day working environment. This is sometimes compounded by issues to do with both confidentiality and the security arrangements which are essential in many commercial situations. Alternative models are therefore available to enable centres to carry out the process of assessment and internal verification.

The Standard Model

Assessors and internal verifiers

Centre staff should hold, or be working towards, the relevant Assessor/Verifier (A/V) units for their role in delivering, assessing and verifying these qualifications.

Assessors and internal verifiers will have verifiable, relevant, current industry experience and knowledge of the occupational working area at or above the level being assessed. This experience and knowledge must be of sufficient depths to be effective and reliable when judging candidates' competence. This could be verified by:

- records of continuing professional development achievements
- Curriculum vitae and references
- possession of a relevant NVQ or equivalent
- individual and or corporate membership of a relevant professional institute.

Employer Direct Model

The Employer Direct Model of in-house assessment has been developed to meet the needs of specific employers based on their knowledge of the qualifications and their history of internal assessor/internal verifier expertise.

Employers may have highly trained and experienced assessors, managers and trainers already in situ who meet or exceed the requirements of the A1 and V1 qualifications. The organisation must:

- liaise with City & Guilds to attain approval to offer this model prior to beginning the process
- prepare, validate and review the assessment/verification roles
- carry out 100% mapping of the employers training to the National Occupational Standards for the A and V units which the qualifications are based on
- agree the mapping process with City & Guilds
- demonstrate an equivalent level of rigour and robustness as the achievement of the unit qualification.

This employer model could if required be combined with the standard model; for example, assessors and internal verifiers under the employer equivalent training model could work alongside external verifiers under regulatory requirements and assessors can work with internal verifiers and external verifiers under the standard model.

Continuing Professional Development (CPD)

Centres are expected to support their staff in ensuring that their knowledge of the occupational area remains current and of best practice in delivery, mentoring, training, assessment and quality assurance, and that it takes account of any national or legislative developments.

Quality assurance

Approved centres must have effective quality assurance systems to ensure optimum delivery and assessment of qualifications. Quality assurance includes initial centre approval, qualification approval and the centre's own internal procedures for monitoring quality. Centres are responsible for internal quality assurance and City & Guilds is responsible for external quality assurance. All external quality assurance processes reflect the minimum requirements for verified and moderated assessments, as detailed in the Centre Assessment Standards Scrutiny (CASS), section H2 of Ofqual's General Conditions. For more information on both CASS and City & Guilds quality assurance processes visit the **What is CASS?** and **Quality Assurance Standards** documents on the City & Guilds website.

Standards and rigorous quality assurance are maintained by the use of:
- internal quality assurance
- City & Guilds external quality assurance.

In order to carry out the quality assurance role, Internal Quality Assurers (IQAs) must:
- have appropriate teaching and vocational knowledge and expertise
- have experience in quality management/internal quality assurance
- hold or be working towards an appropriate teaching/training/assessing qualification
- be familiar with the occupation and technical content covered within the qualification.

External quality assurance for the qualification will be provided by City & Guilds. External Quality Assurers (EQAs) are appointed by City & Guilds to approve centres, and to monitor the assessment and internal quality assurance carried out by centres. External quality assurance is carried out to ensure that assessment is valid and reliable, and that there is good assessment practice in centres.

The role of the EQA is to:
- provide advice and support to centre staff

- ensure the quality and consistency of assessments and marking/grading within and between centres by the use of systematic sampling
- provide feedback to centres and to City & Guilds.

Learner entry requirements

City & Guilds does not set entry requirements for these qualifications. However, centres must ensure that candidates have the potential and opportunity to gain the qualifications successfully.

Age restrictions

These qualifications are approved for learners aged 16 or above.

Access arrangements, reasonable adjustments and special consideration

City & Guilds has considered the design of these qualifications and their assessments in order to best support accessibility and inclusion for all learners. order to best support accessibility and inclusion for all learners. City & Guilds understands however that individuals have diverse learning needs and may require reasonable adjustments to fully participate. Reasonable adjustments, such as additional time or alternative formats, may be provided to accommodate learners with disabilities and support fair access to assessment.

Access arrangements are adjustments that allow candidates with disabilities, special educational needs, and temporary injuries to access the assessment and demonstrate their skills and knowledge without changing the demands of the assessment. These arrangements must be made before assessment takes place.

The Equality Act 2010 requires City & Guilds to make reasonable adjustments where a disabled person would be at a substantial disadvantage in undertaking an assessment.

It is the responsibility of the centre to ensure at the start of a programme of learning that candidates will be able to access the requirements of the qualification.

Special consideration is a post examination adjustment to a candidate's mark or grade to reflect temporary injury, illness or other indisposition at the time of the examination/assessment.

Please refer to the documents 'Joint Council for Qualifications (JCQ) Access Arrangements and Reasonable Adjustments', 'JCQ – A Guide to the special consideration process' and 'Access arrangements – When and how applications need to be made to City & Guilds' for more information. All of these are available on the **City & Guilds website**

3 Delivering the qualification

Initial assessment and induction

An initial assessment of each learner should be made before the start of their programme to identify:

- if the learner has any specific training needs
- any support and guidance they may need when working towards their qualification
- any units they have already completed or credit they have accumulated which is relevant to the qualification
- the appropriate type and level of qualification.

We recommend that centres provide an induction programme, so the learner fully understands the requirements of the qualification, their responsibilities as a learner and the responsibilities of the centre. This information can be recorded on a learning contract.

Inclusion and diversity

City & Guilds is committed to improving inclusion and diversity within the way we work and how we deliver our purpose which is to help people and organisations develop the skills they need for growth. More information and guidance to support centres in supporting inclusion and diversity through the delivery of City & Guilds qualifications can be found here:

Inclusion and diversity | City & Guilds (cityandguilds.com)

Sustainability

City & Guilds are committed to net zero. Our ambition is to reduce our carbon emissions by at least 50% before 2030 and develop environmentally responsible operations to achieve net zero by 2040 or sooner if we can. City & Guilds is committed to supporting qualifications that help our customers to consider sustainability and their environmental footprint.

More information and guidance to support centres in developing sustainable practices through the delivery of City & Guilds qualifications can be found here:

Our Pathway to Net Zero | City & Guilds (cityandguilds.com)

Centres should consider their own carbon footprint when delivering this qualification and consider reasonable and practical ways of delivering this qualification with sustainability in mind. This could include:

- reviewing purchasing and procurement processes (such as buying in bulk to reduce the amount of travel time and energy and considering and investing in the use of components that can be reused, instead of the use of disposable or single use consumables)
- reusing components wherever possible
- waste procedures (ensuring that waste is minimised and recycling of components is in place wherever possible)
- minimising water use and considering options for reuse/salvage as part of plumbing activities wherever possible.

Support materials

The following resources are available for these qualifications:

Description	How to access
Providing Financial Services updates	Included in Focus mailing.
Fast track approval forms/generic fast track approval form	www.cityandguilds.com

4 Assessment

Assessment of the qualification

Candidates must:

- have a completed portfolio of evidence for each unit

Candidates must demonstrate that they meet all learning outcomes and assessment criteria. They must also demonstrate that they meet the requirements of the relevant regulatory bodies operating within the sector, in particular, the Financial Services Authority, as they apply to qualifications comprising National Occupational Standards (NOS).

Evidence must be authentic, current, sufficient for purpose and valid – and should come from real work produced in the workplace. Real work is defined as the provision of a product or service which if not carried out by the candidate, would require someone else to do it. Workplace evidence should be used wherever possible. Where simulation is permitted this is identified in the relevant unit. Further guidance is available in Appendix 1.

It will be the assessor's responsibility to agree the best method of assessing a candidate in relation to their individual circumstances

Assessment strategy

Units are assessed through a portfolio of evidence. All evidence in the portfolio for the skills learning outcomes must be generated in the workplace or a realistic working environment.

Portfolio of evidence

Candidate and centres may decide to use a paper-based or electronic method of recording evidence.

City & Guilds endorses several ePortfolio systems, including our own, Learning Assistant, an easy-to-use and secure online tool to support and evidence candidates' progress towards achieving qualifications. Further details are available at **www.cityandguilds.com/eportfolios**.

City & Guilds has developed a set of **recording forms** including examples of completed forms for new and existing centres to use as appropriate. Recording forms are available on the City & Guilds website.

Although new centres are expected to use these forms, centres may devise or customise alternative forms, which must be approved for use by the EQA(s), before they are used by candidates and assessors at the centre. Amendable (MS Word) versions of the forms are available on the City & Guilds website.

Evidence sources

A portfolio of evidence will typically include several pieces of evidence – it must contain sufficient evidence to demonstrate the knowledge and skills required for each appropriate unit.

Evidence sources may include:

- training logbooks
- centre-produced worksheets and activities
- annotated photographs
- video clips (maximum duration in total = 10 minutes)
- workplace documentation/records, for example job cards/job sheets, equipment checks/maintenance/service records, parts order records.

This is not a definitive list; other evidence sources are permitted.

The evidence provided must be valid and attributable to the candidate; the portfolio of evidence must contain a statement from the centre confirming this.

Evidence **must not** include:

- any methods of self-assessment
- opinions – any employer contributions should instead focus on direct observation/evidence of competence, for example, witness statements.

Acceptable types of evidence

A range of different types of evidence is desirable to demonstrate achievement of these qualifications. Evidence could include:

- Observation: this should form a substantial part of the evidence.
- Product evidence: as would be contained within a portfolio or signposted to its location within in the workplace.
- Professional discussion: an in-depth discussion recorded electronically or in writing. Assessors must be able to authenticate what candidates have discussed. This may be through confirmation from a third party or sight of the documentation discussed.
- Witness testimony: in writing or verbally to the assessor. This could include existing in-house records such as internal audit records, call monitoring, observation and file review checklists. The name of the witness and their relationship to the candidate should be clearly documented.
- Candidate questioning: using open questions to elicit detailed and articulate replies. Assessor records should include sufficient detail to justify assessment decisions.
- Recognition of Prior Learning (RPL): this should be acknowledged where appropriate. In all instances where recognition of prior learning is used as a form of evidence, assessors must ensure the learner's knowledge or competence remains current and that all assessment criteria have been met through valid assessment tools.

Assessors should discuss decisions to be made with candidates at an early stage as to the suitability of particular forms of evidence (e.g., candidate statements; photographic evidence; video recordings).

5 Units

Structure of the units

These units each have the following:

- City & Guilds reference number
- title
- unit accreditation number (UAN)
- level
- credit value
- guided learning hours (GLH)
- relationship to NOS, other qualifications and frameworks
- endorsement by a sector or other appropriate body
- unit aim
- learning outcomes which are comprised of a number of assessment criteria

.

Guidance for delivery of the units

These qualifications comprise a number of units. A unit describes what is expected of a competent person in particular aspects of their job.

Each unit is divided into learning outcomes which describe in further detail the skills and knowledge that a candidate should possess.

Each **l**earning outcome has a set of assessment criteria (performance and knowledge and understanding) which specify the desired criteria that must be satisfied before an individual can be said to have performed to the agreed standard.

Range statements define the breadth or scope of a learning outcome and its assessment criteria by setting out the various circumstances in which they are to be applied.

Supporting information provides guidance of the evidence requirement for the unit and specific guidance on delivery and range statements. Centres are advised to review this information carefully before delivering the unit.

Glossary of words used in the units

The following acronyms are used in the handbook.

Term	Definition
CS	Customer Service
FSP	Financial Skills Partnership - previously Financial Services Skills Council (FSSC)

Key to table

GA = Award Group A	GB = Award Group B
GC = Award Group C	GD = Award Group D
M2 = Mandatory at Level 2	T2 = Technical Group at Level 2
M2/3 = Mandatory at Level 2 and 3	T2/3 = Technical Group at Level 2 and 3
M3 = Mandatory at Level 3	T3 = Technical Group at Level 3
O2 = Options at Level 2	* Barred Units
FO3 = Further Options at Level 3	CS = Customer Service

Technical and Optional Groups

A: Banks and building societies
B: Customer payments for financial products and services
C: General insurance
D: Investment operations
E: Life, pensions and investments
F: Financing and credit
G: Administration for financial planning and/or mortgage administration
H: Debt Collection:

Sub groups

- H1: Preparation for Debt Collections
- H2: Debt Collection Negotiations
- H3: Debt Call Handling
- H4: Debtor Collection Case Management (pre-legal)
- H5: Payment Processing
- H6: Debt Repayment Monitoring
- H7: Debt Collection Operations Management

O: Optional Units (Level 2)
I: Pension Scheme Administration
J: Further Options (Level 3)

C&G unit	FSP ref/UAN	Unit title	Credit value	Award groups	Technical and optional groups										
					A	B	C	D	E	F	G	H	O	I	J
201	M1 K/602/5472	Improving and maintaining workplace competence in a financial services environment	4	GA	M2/3	M2/3	M2/3	M2/3	M2/3	M2/3	M2/3	M2/3	-	-	-
202	M2 A/602/5475	Planning and organising work in a financial services environment	4	GA	M2	M2	M2	M2	M2	M2	M2	M2	-	-	-
203	M3 J/602/5477	Complying with regulations within the financial services environment	6	GA	M2/3	M2/3	M2/3	M2/3	M2/3	M2/3	M2/3	M2/3	-	-	-
204	A1 T/601/8251	Setting up bank or building society accounts for customers	4	GA	T2	-	-	-	-	-	-	-	O2	-	-
205	A2 J/601/8254	Authorising financial transactions using telecommunications	4	GA	T2	-	-	-	-	-	-	-	O2	-	-
206	A3 H/601/8259	Operating a sterling counter till	4	GA	T2	-	-	-	-	-	-	-	O2	-	-
207	A4 D/601/8261	Operating a multi-currency till	5	GA	T2	-	-	-	-	-	-	-	O2	-	-

C&G unit	FSP ref/UAN	Unit title	Credit value	Award groups	Technical and optional groups										
					A	B	C	D	E	F	G	H	O	I	J
208	A5 K/601/8277	Processing documentation for bank or building society accounts	4	GA	T2	-	-	-	-	-	-	-	O2	-	-
209	Z1 Y/601/8288	Building effective relationships with clients in a financial environment	3	GA	T2	-	T2	T2	T2	T2	T2		O2	-	-
210 ** ***	Z2 L/601/8319	Providing information to customers in a financial services environment	4	GA	T2/3	T2/3	T2/3	T2/3	T2/3	T2/3	T2/3	-	O2	-	FO3
211	C34 L/602/5500	Dealing with requests to cancel financial services products or services	4	GA	T2	-	T2	-	T2	T2	T2	-	O2	-	-
212	B1 F/601/8320	Processing customers' financial transactions	4	GA	-	T2	-	-	-	-	-	-	O2	-	-
213	B2 J/601/8321	Assessing and using straightforward financial information to reconcile accounts	4	GA	-	T2	-	-	-	-	-	-	O2	-	-

C&G unit	FSP ref/UAN	Unit title	Credit value	Award groups	Technical and optional groups										
					A	B	C	D	E	F	G	H	O	I	J
214	B4 M/601/8328	Preparing and pursuing statements of account for financial products and services	4	GA	-	T2	-	-	-	-	-	-	O2	-	-
215	C4 A/601/8445	Processing straightforward new insurance claims notifications	5	GA	-	-	T2	-	-	-	-	-	O2	-	-
216	C5 R/601/8452	Settling straightforward insurance claims	5	GA	-	-	T2	-	-	-	-	-	O2	-	-
217	C6 K/601/8456	Dealing with straightforward claims for insured losses	5	GA	-	-	T2	-	-	-	-	-	O2	-	-
218	C35 Y/601/8467	Processing straightforward claims for uninsured losses	5	GA	-	-	T2	-	-	-	-	-	O2	-	-
219	C11 T/601/8475	Agreeing the settlement of straightforward claims for uninsured losses	5	GA	-	-	T2	-	-	-	-	-	O2	-	-
220	C24 K/601/8554	Processing straightforward insurance business as an intermediary	5	GA	-	-	T2	-	-	-	-	-	O2	-	-

C&G unit	FSP ref/UAN	Unit title	Credit value	Award groups	Technical and optional groups										
					A	B	C	D	E	F	G	H	O	I	J
221	C23 Y/601/8503	Processing straightforward insurance renewals as an intermediary	5	GA	-	-	T2	-	-	-	-	-	O2	-	-
222	C25 L/601/8546	Processing straightforward mid-term amendments	5	GA	-	-	T2	-	-	-	-	-	O2	-	-
223	C12 F/601/8334	Underwriting straightforward new risks	5	GA	-	-	T2	-	-	-	-	-	O2	-	-
224	C13 L/601/8336	Processing straightforward insurance policy documentation	5	GA	-	-	T2	-	-	-	-	-	O2	-	-
225	C14 Y/601/8341	Processing straightforward insurance renewals	5	GA	-	-	T2	-	-	-	-	-	O2	-	-
226	C15 R/601/8371	Underwriting straightforward policy alterations	5	GA	-	-	T2	-	-	-	-	-	O2	-	-
227	D1 Y/601/8713	Assessing and using financial information to reconcile stakeholder investment accounts	6	GA	-	-	-	T2	-	-	-	-	O2	-	-

C&G unit	FSP ref/UAN	Unit title	Credit value	Award groups	Technical and optional groups										
					A	B	C	D	E	F	G	H	O	I	J
228	D2 M/601/8717	Processing payments relating to stakeholder investment transactions or accounts	6	GA	-	-	-	T2	-	-	-	-	O2	-	-
229	E1 A/601/8719	Processing life, pensions and investment business applications	5	GA	-	-	-	-	T2	-	-	-	O2	-	-
230	E2 M/601/8720	Underwriting straightforward alterations to life, pensions and investment contracts	5	GA	-	-	-	-	T2	-	-	-	O2	-	-
231	E3 A/601/8722	Processing straightforward requests for payment against life, pensions and investment contracts	5	GA	-	-	-	-	T2	-	-	-	O2	-	-
232	E9 R/601/8743	Processing documentation for straightforward life, pensions and investment contracts	5	GA	-	-	-	-	T2	-	-	-	O2	-	-
233	F1 F/602/5431	Processing applications for financing and credit facilities	3	GA	-	-	-	-	-	T2	-	-	O2	-	-

C&G unit	FSP ref/UAN	Unit title	Credit value	Award groups	Technical and optional groups										
					A	B	C	D	E	F	G	H	O	I	J
234	F2 L/602/5433	Processing documentation for financing and credit facilities	3	GA	-	-	-	-	-	T2	-	-	O2	-	-
235	G1 Y/602/5404	Providing an administrative service for mortgage and/or financial planning clients	4	GA	-	-	-	-	-	-	T2	-	O2	-	-
236	G2 D/602/5405	Processing instructions for straightforward mortgage and/or financial planning business	4	GA	-	-	-	-	-	-	T2	-	O2	-	-
237	G3 M/602/5408	Contributing to reports for mortgage and/or financial planning clients	4	GA	-	-	-	-	-	-	T2	-	O2	-	-
238	H8K D/601/2718	Debt repayment monitoring principles	3	GA	-	-	-	-	-	-	-	T2	O2	-	-
239	H9K R/601/2716	Payment processing principles	1	GA	-	-	-	-	-	-	-	T2	O2	-	-
240	H9S K/601/2737	Payment processing practice	1	GA	-	-	-	-	-	-	-	T2	O2	-	-

C&G unit	FSP ref/UAN	Unit title	Credit value	Award groups	Technical and optional groups										
					A	B	C	D	E	F	G	H	O	I	J
241	H10K J/601/2714	Debt collection case management principles (pre legal)	4	GA	-	-	-	-	-	-	-	T2	O2	-	-
242	H10S D/601/2735	Debt collection case management practice (pre legal)	4	GA	-	-	-	-	-	-	-	T2	O2	-	-
243	H11K A/601/2712	Debtor call handling principles	2	GA	-	-	-	-	-	-	-	T2	O2	-	-
244	H11S L/601/2732	Debtor call handling practice	3	GA	-	-	-	-	-	-	-	T2	O2	-	-
245	H12K T/601/2708	Debt collection negotiations principles	3	GA	-	-	-	-	-	-	-	T2	O2	-	-
246	H12S L/601/2729	Debt collection negotiations practice	4	GA	-	-	-	-	-	-	-	T2	O2	-	-
247	H13K H/601/2705	Preparation for debt collection principles	2	GA	-	-	-	-	-	-	-	T2	O2	-	-
248	H13S T/601/2725	Preparation for debt collection practice	3	GA	-	-	-	-	-	-	-	T2	O2	-	-
249 ***	I1 D/503/0495	Creating and processing pension scheme new entrant records	5		-	-	-	-	-	-	-	-		-	FO3

C&G unit	FSP ref/UAN	Unit title	Credit value	Award groups	Technical and optional groups										
					A	B	C	D	E	F	G	H	O	I	J
250 ***	I12 T/503/0521	Providing information on pension schemes on enquiry	5		-	-	-	-	-	-	-	-		-	FO3
251 ***	I3 M/503/0503	Processing applications for securing additional pension scheme benefit	5		-	-	-	-	-	-	-	-		-	FO3
252	J3 H/602/5485	Dealing with customers by telephone in a financial services environment	4	GA	-	-	-	-	-	-	-	-	O2	-	-
253	J1 (CS B2) J/601/1210	Deliver reliable customer service	5	GB	-	-	-	-	-	-	-	-	O2	-	-
254	J11 (CS D4) H/601/1540	Support customers using on line customer services	5	GB	-	-	-	-	-	-	-	-	O2	-	-
255	J2 (CS C3) M/601/1511	Resolve customer service problems	6	GB	-	-	-	-	-	-	-	-	O2	-	-
256	J8 (CS B8) L/601/0933	Give customers a positive impression of yourself and your organisation	5	GB	-	-	-	-	-	-	-	-	O2	-	-
257	J9 (CS B7) L/601/1225	Deal with customers using bespoke software	5	GB	-	-	-	-	-	-	-	-	O2	-	-

C&G unit	FSP ref/UAN	Unit title	Credit value	Award groups	Technical and optional groups										
					A	B	C	D	E	F	G	H	O	I	J
258	K1 J/602/5494	Promoting the organisation's additional financial services products and services	4	GA	-	-	-	-	-	-	-	-	O2	-	-
259	K11 T/502/8588	Preparing and delivering a sales demonstration	3	GB	-	-	-	-	-	-	-	-	O2	-	-
260	K12 J/502/8577	Selling by phone (in-bound)	4	GB	-	-	-	-	-	-	-	-	O2	-	-
261	K13 J/502/8580	Selling by phone (out-bound)	4	GB	-	-	-	-	-	-	-	-	O2	-	-
262	K3 H/502/8599	Generating and qualifying sales leads	2	GB	-	-	-	-	-	-	-	-	O2	-	-
263	K5 L/502/8564	Selling face-to-face	4	GB	-	-	-	-	-	-	-	-	O2	-	-
264	K/506/6058	Processing information and updating records in relation to contracts of insurance in a financial services environment	5												
265	H/506/6060	Providing information to others in a financial services environment	5												

C&G unit	FSP ref/UAN	Unit title	Credit value	Award groups	Technical and optional groups										
					A	B	C	D	E	F	G	H	O	I	J
266	K/506/6061	Contributing to the delivery and achievement of team and business objectives in a financial services environment	5												
267	M/506/6062	Collating, preparing and monitoring information and data from a variety of sources	5												
268	T/506/6063	Providing documentation in support of contracts of insurance	5												
301	M4 F/602/5476	Developing productive working relationships with colleagues	6	GC	M3	M3	M3	M3	M3	M3	M3	M3	-	M3	-
302	A6 M/601/8264	Establishing, monitoring and maintaining bank or building society accounts for customers	5	GC	T3	-	--	-	-	-	-	-	-	-	FO3
303	A7 Y/601/8257	Managing branch counter services	5	GC	T3	-	--	-	-	-	-	-		-	FO3

C&G unit	FSP ref/UAN	Unit title	Credit value	Award groups	Technical and optional groups										
					A	B	C	D	E	F	G	H	O	I	J
304	A8 F/601/8284	Supervising the administration of retail financial products and services	5	GC	T3	-	--	-	-	-	-	-		-	FO3
305	A9 J/601/8318	Processing the transfer of foreign currency	5	GC	T3	-	--	-	-	-	-	-		-	FO3
306	Z4 R/601/8290	Manage the business relationship with clients in a financial services environment	4	GC	T3	-	-	T3	T3	-	T3	-	-	-	FO3
307	Z3 T/601/8718	Dealing with complaints relating to financial services products and /or services	8	GC	T3	-	T3	T3	T3	T3	T3	-	-	-	FO3
308	B6 R/601/8323	Assessing and using complex financial information to reconcile accounts	4		-	T3	-	-	-	-	-	-	O2	-	-
309	B3 Y/601/8324	Operating credit control procedures	4		-	T2/3	-	-	-	-	-	-	O2	-	-
310	B5 K/601/8330	Operating payment by instalments	4		-	T2/3	-	-	-	-	-	-	O2	-	

C&G unit	FSP ref/UAN	Unit title	Credit value	Award groups	Technical and optional groups										
					A	B	C	D	E	F	G	H	O	I	J
311	C10 K/601/8473	Settling complex insurance claims	5	GC	-	-	T3	-	-	-	-	-	-	-	FO3
312	C16 T/601/8346	Underwriting complex new risks	5	GC	-	-	T3	-	-	-	-	-	-	-	FO3
313	C17 K/601/8358	Processing complex policy documentation for new business	5	GC	-	-	T3	-	-	-	-	-	-	-	FO3
314	C18 M/601/8362	Underwriting complex policy alterations	5	GC	-	-	T3	-	-	-	-	-	-	-	FO3
315	C19 A/601/8364	Processing complex insurance renewals	5	GC	-	-	T3	-	-	-	-	-	-	-	FO3
316	C20 H/601/8374	Review underwriting decisions to accept risks	5	GC	-	-	T3	-	-	-	-	-	-	-	FO3
317	C26 A/601/8557	Evaluating insurance products and services	5	GC	-	-	T3	-	-	-	-	-	-	-	FO3
318	C27 M/601/8555	Processing complex insurance business as an intermediary	5	GC	-	-	T3	-	-	-	-	-	-	-	FO3
319	C28 Y/601/8517	Processing complex insurance renewals as an intermediary	5	GC	-	-	T3	-	-	-	-	-	-	-	FO3

C&G unit	FSP ref/UAN	Unit title	Credit value	Award groups	Technical and optional groups										
					A	B	C	D	E	F	G	H	O	I	J
320	C29 J/601/8528	Processing complex mid-term insurance amendments	5	GC	-	-	T3	-	-	-	-	-	-	-	FO3
321	C30 M/601/8488	Evaluating risk as an insurance intermediary and advise other intermediaries	5	GC	-	-	T3	-	-	-	-	-	-	-	FO3
322	C7 T/601/8461	Dealing with complex claims for uninsured losses	5	GC	-	-	T3	-	-	-	-	-	-	-	FO3
323	C8 Y/601/8470	Dealing with complex claims for insured losses	5	GC	-	-	T3	-	-	-	-	-	-	-	FO3
324	C9 H/601/8472	Carrying out initial assessment and investigating complex insurance claims	5	GC	-	-	T3	-	-	-	-	-	-	-	FO3
325	D10 L/601/8708	Overseeing investment operation systems and processes	8	GC	-	-	-	T3	-	-	-	-	-	-	FO3
326	D11 R/601/8709	Processing trades	8	GC	-	-	-	T3	-	-	-	-	-	-	FO3

C&G unit	FSP ref/UAN	Unit title	Credit value	Award groups	Technical and optional groups										
					A	B	C	D	E	F	G	H	O	I	J
327	D12 K/601/8716	Processing corporate actions on behalf of investors	8	GC	-	-	-	T3	-	-	-	-	-	-	FO3
328 ***	D3 H/601/8701	Preparing and presenting investment market information to stakeholders	8	GC	-	-	-	T3	-	-	-	-	-	-	FO3
329	D4 K/601/8702	Establishing and maintaining investor details and records	8	GC	-	-	-	T3	-	-	-	-	-	-	FO3
330	D5 M/601/8703	Reconciling investment market transactions	8	GC	-	-	-	T3	-	-	-	-	-	-	FO3
331	D6 T/601/8704	Maintaining the custody of assets on behalf of the investor	8	GC	-	-	-	T3	-	-	-	-	-	-	FO3
332	D7 A/601/8705	Arranging the settlement of investment transactions	8	GC	-	-	-	T3	-	-	-	-	-	-	FO3
333	D8 F/601/8706	Measuring the performance of investments	8	GC	-	-	-	T3	-	-	-	-	-	-	FO3
334	D9 J/601/8707	Establishing the price of assets and/or investments	8	GC	-	-	-	T3	-	-	-	-	-	-	FO3

C&G unit	FSP ref/UAN	Unit title	Credit value	Award groups	Technical and optional groups										
					A	B	C	D	E	F	G	H	O	I	J
335	E10 A/601/8736	Authorising requests for payment against life, pensions and investment contracts	5	GC	-	-	-	-	T3	-	-	-	-	-	FO3
336	E11 F/601/8740	Authorising the underwriting of life, pensions and investment contracts	5	GC	-	-	-	-	T3	-	-	-	-	-	FO3
337	E12 R/601/8791	Processing complex requests for payment against life, pensions and investment contracts	5	GC	-	-	-	-	T3	-	-	-	-	-	FO3
338	E13 H/601/8746	Underwriting complex new life, pensions and investment business quotations	5	GC	-	-	-	-	T3	-	-	-	-	-	FO3
339	E14 L/601/8790	Underwriting complex alterations to life, pensions and investment contracts	5	GC	-	-	-	-	T3	-	-	-	-	-	FO3
340	E15 Y/601/8744	Processing documentation for complex life, pensions and investment contracts	5	GC	-	-	-	-	T3	-	-	-	-	-	FO3

C&G unit	FSP ref/UAN	Unit title	Credit value	Award groups	Technical and optional groups										
					A	B	C	D	E	F	G	H	O	I	J
341	F3 Y/602/5418	Appraising and authorising applications for personal financing and credit facilities	4	GC	-	-	-	-	-	T3	-	-	-	-	FO3
342	F4 D/602/5419	Progressing personal property financing applications	3	GC	-	-	-	-	-	T3	-	-		-	FO3
343	F5 R/602/5420	Charging and controlling securities for financing	3	GC	-	-	-	-	-	T3	-	-	-	-	FO3
344	F6 Y/602/5421	Appraising applications for business financing and credit facilities	4	GC	-	-	-	-	-	T3	-	-	-	-	FO3
345	F7 H/602/5423	Progressing and finalising applications for business financing and credit facilities	4	GC	-	-	-	-	-	T3	-	-	-	-	FO3
346	F8 M/602/5425	Monitoring and reviewing financing and credit facilities	4	GC	-	-	-	-	-	T3	-	-	-	-	FO3
347	F9 A/602/5427	Managing the quality of decisions to offer financing and credit facilities	4	GC	-	-	-	-	-	T3	-	-	-	-	FO3

C&G unit	FSP ref/UAN	Unit title	Credit value	Award groups	Technical and optional groups										
					A	B	C	D	E	F	G	H	O	I	J
348	F10 A/602/5430	Investigating arrears and recovering debts	4	GC	-	-	-	-	-	T3	-	-	-	-	FO3
349	F11 R/503/1126	Processing and maintaining bilateral and/or syndicated loans	8	GC	-	-	-	-	-	T3	-	-	-	-	FO3
350 ***	F12 J/503/1124	Preparing and presenting information to stakeholders	8	GC	-	-	-	T3	-	T3	-	-	-	-	FO3
351	G4 K/602/5410	Facilitating an administrative service for mortgage and/or financial planning clients	5	GC	-	-	-	-	-	-	T3	-	-	-	FO3
352	G5 A/602/5413	Processing instructions for complex mortgage and/or financial planning business	4	GC	-	-	-	-	-	-	T3	-	-	-	FO3
353	G6 F/602/5414	Completing reports for mortgage and/or financial planning clients	4	GC	-	-	-	-	-	-	T3	-	-	-	FO3
354	G7 J/602/5415	Supervising mortgage and/or financial planning administrative systems and processes	6	GC	-	-	-	-	-	-	T3	-	-	-	FO3

C&G unit	FSP ref/UAN	Unit title	Credit value	Award groups	Technical and optional groups										
					A	B	C	D	E	F	G	H	O	I	J
355	H1K K/601/2706	Preparation for debt collection principles	2	GC	-	-	-	-	-	-	-	T3	-	-	FO3
356	H1S F/601/2727	Preparation for debt collection practice	3	GC	-	-	-	-	-	-	-	T3	-	-	FO3
357	H2K T/601/2711	Debt collection negotiations principles	3	GC	-	-	-	-	-	-	-	T3	-	-	FO3
358	H2S J/601/2731	Debt collection negotiations practice	4	GC	-	-	-	-	-	-	-	T3	-	-	FO3
359	H3K F/601/2713	Debtor call handling principles	2	GC	-	-	-	-	-	-	-	T3	-	-	FO3
360	H3S Y/601/2734	Debtor call handling practice	3	GC	-	-	-	-	-	-	-	T3	-	-	FO3
361	H4K L/601/2715	Debt collection case management principles (pre legal)	4	GC	-	-	-	-	-	-	-	T3	-	-	FO3
362	H4S H/601/2736	Debt collection case management practice (pre legal)	4	GC	-	-	-	-	-	-	-	T3	-	-	FO3
363	H5K Y/601/2717	Payment processing principles	1	GC	-	-	-	-	-	-	-	T3	-	-	FO3

C&G unit	FSP ref/UAN	Unit title	Credit value	Award groups	Technical and optional groups										
					A	B	C	D	E	F	G	H	O	I	J
365	H6K H/601/2719	Debt repayment monitoring principles	3	GC	-	-	-	-	-	-	-	T3	-	-	FO3
366	H6S M/601/2738	Debt repayment monitoring practice	4	GB GC	-	-	-	-	-	-	-	T2/3	O2	-	FO3
367	H7K K/601/2740	Debt collection operations management practice	6	GC	-	-	-	-	-	-	-	T3	-	-	FO3
368	H7S Y/601/2720	Debt collection operations management principles	4	GC	-	-	-	-	-	-	-	T3	-	-	FO3
369	I10 M/503/0517	Calculating and issuing Cash Equivalent Transfer Value (CETV)	5	GC	-	-	-	-	-	-	-	-	-	T3	FO3
370	I11 A/503/0519	Dealing with pension scheme complaints and disputes	5	GC	-	-	-	-	-	-	-	-	-	T3	FO3
371	I13 A/503/0522	Updating and generating pension scheme members annual benefit statement	5	GC	-	-	-	-	-	-	-	-	-	T3	FO3
372	I14 F/503/0523	Providing periodic pension scheme information	5	GC	-	-	-	-	-	-	-	-	-	T3	FO3

C&G unit	FSP ref/UAN	Unit title	Credit value	Award groups	Technical and optional groups										
					A	B	C	D	E	F	G	H	O	I	J
373	I4 T/503/0504	Processing pension scheme leavers benefits	5	GC	-	-	-	-	-	-	-	-	-	T3	FO3
374	I5 F/503/0506	Calculating and quoting pension scheme early leavers notifications	5	GC	-	-	-	-	-	-	-	-	-	T3	FO3
375	I6 L/503/0508	Calculating and quoting pension scheme retirement benefits	5	GC	-	-	-	-	-	-	-	-	-	T3	FO3
376	I7 J/503/0510	Processing pension scheme retirement benefits	5	GC	-	-	-	-	-	-	-	-	-	T3	FO3
377	I8 R/503/0512	Processing pension scheme death benefits	5	GC	-	-	-	-	-	-	-	-	-	T3	FO3
378	I9 H/503/0515	Calculating and quoting pension scheme death benefits	5	GC	-	-	-	-	-	-	-	-	-	T3	FO3
379	J7 R/602/5482	Providing callers with specialised assistance in a financial services environment	4	GC	-	-	-	-	-	-	-	-	-	-	FO3
380	J13 (CSC5) J/601/1515	Monitor and solve customer service problems	6	GD	-	-	-	-	-	-	-	-	-	-	FO3

C&G unit	FSP ref/UAN	Unit title	Credit value	Award groups	Technical and optional groups										
					A	B	C	D	E	F	G	H	O	I	J
381	J14 (CSC7) D/601/1522	Process customer service complaints	6	GD	-	-	-	-	-	-	-	-	-	-	FO3
382	J15 (CSD11) H/601/1568	Lead a team to improve customer service	7	GD	-	-	-	-	-	-	-	-	-	-	FO3
383	J16 (CSA14) D/601/1228	Use customer service as a competitive tool	8	GD	-	-	-	-	-	-	-	-	-	-	FO3
384	J4 (CSB10) Y/601/1230	Organise the delivery of reliable customer service	6	GD	-	-	-	-	-	-	-	-	-	-	FO3
385	J6 (CSB11) H/601/1232	Improve the customer relationship	7	GD	-	-	-	-	-	-	-	-	-	-	FO3
386	K7 D/602/5498	Developing and maintaining business relations with financial services' introducers	4	GC	-	-	-	-	-	-	-	-	-	-	FO3
387	K8 H/602/5499	Processing financial services sales support administration for agencies	4	GC	-	-	-	-	-	-	-	-	-	-	FO3
388	K6 D/502/8634	Developing and implementing sales call plans	3	GD	-	-	-	-	-	-	-	-	-	-	FO3

C&G unit	FSP ref/UAN	Unit title	Credit value	Award groups	Technical and optional groups										
					A	B	C	D	E	F	G	H	O	I	J
389	K9 A/502/8639	Contributing to the development and launch of new products and / or services	4	GD	-	-	-	-	-	-	-	-	-	-	FO3
390	L3 (MSC D6) H/600/9674	Plan, allocate and monitor work in own area of responsibility	5	GD	-	-	-	-	-	-	-	-	-	-	FO3
401	I2 Y/503/0513	Processing pension scheme transfers	5	GD	-	-	-	-	-	-	-	-	-	T3	FO3
402	J5 (CSB13) A/601/1236	Plan, organise and control customer service operations	10	GD	-	-	-	-	-	-	-	-	-	-	FO3
403	L1 (MSC D7) M/600/9676	Support learning and development within own area of responsibility	5	GD	-	-	-	-	-	-	-	-	-	-	FO3
404	L5 (MSC B6) T/600/9601	Provide leadership and direction for own area of responsibility	5	GD	-	-	-	-	-	-	-	-	-	-	FO3
405	L6 (MSC B8b) H/600/9609	Ensure compliance with legal, regulatory, ethical and social requirements	5	GD	-	-	-	-	-	-	-	-	-	-	FO3

C&G unit	FSP ref/UAN	Unit title	Credit value	Award groups	Technical and optional groups										
					A	B	C	D	E	F	G	H	O	I	J
501	L4 (MSC D3a) T/600/9663	Recruit staff in own area of responsibility	4	GD	-	-	-	-	-	-	-	-	-	-	FO3

Barred Combinations

* = Units 328 (D3) and 350 (F12) are a barred combination in the L3 Award

** = Units **210** (Z2), 328 (D3), **350** (F12) are barred combinations in the L3 Certificate (Group D, **Group F** and Group J)

*** = Units 210 (Z2), 249 (I1), 250 (I12), 251(I3) are barred combinations in the L3 Certificate

Unit 201 Improving and maintaining workplace competence in a financial services environment

UAN	K/602/5472
Level:	2
Credit value:	4
GLH:	33
Relationship to NOS:	This unit covers the performance and behaviour criteria from following unit in the National Occupational Standards: Develop yourself to improve and maintain workplace competence in a financial services environment.
Assessment method:	Portfolio of evidence
Aim:	This unit is designed for those working in a financial services environment. This unit shows that the candidate has a clear understanding of their responsibilities in the workplace and how to improve their competency.

Learning outcome

The learner will:
LO1 Understand the roles and responsibilities within a financial services organisation

Assessment criteria

The learner can:
AC1.1 Identify the agreed requirements of the job role including limitations of authority
AC1.2 Identify responsibility limits
AC1.3 Identify organisational reporting lines

Learning outcome

The learner will:
LO2 Be able to discuss and agree personal work objectives

Assessment criteria

The learner can:
AC2.1 Discuss work objectives with an appropriate person

AC2.2 Agree personal work objectives and tasks with an appropriate person

Learning outcome

The learner will:

LO3 Be able to identify areas for personal development

Assessment criteria

The learner can:

AC3.1 Identify personal work objectives and tasks

AC3.2 Reflect on current competence in the job role

AC3.3 Identify any gaps in current competence in the job role

AC3.4 Seek regular and useful feedback on performance

AC3.5 Find practical ways to overcome barriers to personal development

AC3.6 Identify available development opportunities and resources within an organisation and possible sources for these

Learning outcome

The learner will:

LO4 Be able to discuss and agree to a personal development plan (PDP) and work objectives

Assessment criteria

The learner can:

AC1.1 Identify ways of improving current competence in the job role

AC4.2 Identify how to set objectives which are specific, measurable, achievable, realistic and time-bound

AC4.3 Discuss personal development plan (PDP) with an appropriate person

AC4.4 Agree to a personal development plan (PDP) with an appropriate person

Learning outcome

The learner will:

LO5 Be able to implement a personal development plan (PDP) and work objectives

Assessment criteria

The learner can:

AC1.1 Undertake the activities identified in the personal development plan (PDP) in line with organisational policies and procedures

AC5.2 Make sure that performance consistently meets or goes beyond agreed requirements

AC5.3 Measure progress against work objectives

AC5.4 Demonstrate how plans can be changed to reflect changes in circumstances

Unit 202 Planning and organising work in a financial services environment

UAN	A/602/5475
Level:	2
Credit value:	4
GLH:	33
Relationship to NOS:	Skills unit linked to Unit CC2 – Plan and organise your work in a financial services environment - within the Financial Services Core Competencies NOS
Assessment method:	Portfolio of evidence
Aim:	This unit is designed for learners working in a financial services environment. Learners achieving this unit will be able to plan and organise their work, and work effectively with colleagues, in a financial services environment.

Learning outcome

The learner will:
LO1 Be able to develop a work plan

Assessment criteria

The learner can:
AC1.1 Identify work objectives which must be fulfilled
AC1.2 Make sure all the necessary resources to complete work objectives are available
AC1.3 Identify the organisational and regulatory timescales that may affect work planning
AC1.4 Use work planning tools to develop a work plan
AC1.5 Prioritise work objectives which must be fulfilled
AC1.6 Identify difficulties that may affect work planning

Learning outcome

The learner will:
LO2 Be able to meet work plan objectives

Assessment criteria

The learner can:
AC2.1 Seek any necessary assistance to meet work demands
AC2.2 Report and discuss any difficulties with work promptly to the appropriate person
AC2.3 Check that time is being used effectively
AC2.4 Identify where improvements could be made to use time more effectively
AC2.5 Update work plan as objectives are met

Learning outcome

The learner will:
LO3 Be able to work with others

Assessment criteria

The learner can:
AC3.1 Co-operate with, and offer assistance to, colleagues to help achieve common objectives
AC3.2 Fulfill commitments made to other colleagues wherever possible
AC3.3 Advise colleagues promptly of any difficulties or where it will be impossible to carry out commitments made

Unit 203 Complying with regulations within the financial services environment

UAN	J/602/5477
Level:	2
Credit value:	6
GLH:	52
Relationship to NOS:	Skills unit linked to Unit CC4 – Ensure you comply with regulations in your financial services environment - within the Financial Services Core Competences NOS
Assessment method:	Portfolio of evidence. Simulation is permitted for Assessment Criteria 3.3 and 3.4
Aim:	This unit is for learners working within a financial services environment. Learners achieving this unit will have demonstrated that they can comply with financial services regulation, find out what regulation affects their job role, and what to do when financial services regulations have not been complied to.

Learning outcome

The learner will:

LO1 Be able to find out and identify the regulatory requirements relevant to the job role

Assessment criteria

The learner can:

AC1.1 Find out about the regulatory requirements relevant to the job role

AC1.2 Identify correctly the regulations that apply to the job role

AC1.3 Identify the correct person to ask regarding regulatory requirements

AC1.4 Identify the organisation's policies and procedures for ensuring compliance with regulatory requirements

Learning outcome

The learner will:
LO2 Be able to comply with financial regulations

Assessment criteria

The learner can:

AC2.1 Identify the agreed requirements of the job role and agreed personal authority limits
AC2.2 Make sure work is done in compliance with regulatory requirements and organisational policies and procedures
AC2.3 Respond to changes in organisational policies and procedures resulting from regulatory requirements
AC2.4 Maintain competence within the job role in accordance with regulatory requirements
AC2.5 Use information ethically, effectively and efficiently

Learning outcome

The learner will:
LO3 Be able to identify and respond to failures to comply with financial regulations

Assessment criteria

The learner can:
AC3.1 Identify the consequences of non-compliance for the job holder, organisation and customer
AC3.2 Identify the procedures to follow in cases of non-compliance with regulatory requirements
AC3.3 Recognise non-compliance
AC3.4 Respond to actual or potential failures to comply with regulatory requirements

Unit 301 Developing productive working relationships with colleagues

UAN	F/602/5476
Level:	3
Credit value:	6
GLH:	48
Relationship to NOS:	PP08: Develop productive working relationships in a financial services environment. CC03 Unit FCC03 Develop productive working relationships in a financial services environment
Assessment method:	Portfolio of evidence.
Aim:	To support the development and management of productive relationships with work colleagues and communicate effectively with them.

Learning outcome

The learner will:

LO1 Understand how to develop productive working relationships with colleagues

Assessment criteria

The learner can:

AC1.1 Explain the benefits of developing productive working relationships with colleagues

AC1.2 Explain the importance of taking into consideration the priorities, expectations and authority of colleagues when making decisions and taking actions

AC1.3 Explain the processes within the organisation for making decisions

AC1.4 Explain the information and resources that different colleagues might need

Learning outcome

The learner will:

LO2 Be able to manage good working relationships with colleagues

Assessment criteria

The learner can:

AC2.1 Explain the roles and responsibilities of colleagues and their relevance to the work being carried out

AC2.2 Ensure that commitments made with colleagues are honoured and seek confirmation when they have been fulfilled

AC2.3 Advise colleagues promptly of any difficulties or where it will be impossible to carry out what has been agreed

Learning outcome

The learner will:

LO3 Be able to communicate effectively with colleagues

Assessment criteria

The learner can:

AC3.1 Outline the principles of effective communication and how to apply them to communicating effectively with colleagues

AC3.2 Produce information that is clear, concise and accurate

AC3.3 Exchange information and resources with colleagues to support the delivery of own work

AC3.4 Make time available to support others

Appendix 1 The use of simulation and realistic working environment

1. Where simulation is permitted, this is identified within the relevant unit.
2. Simulation is only allowed in the following units:

RoC	Unit	Ref	UAN	Title	Assess criteria
L2/ L3	203	M3	J/602/5477	Complying with regulations within the financial services environment	3.3 3.4
L2	205	A2	J/601/8254	Authorising financial transactions using telecommunications	3.3
L2	206	A3	H/601/8259	Operating a sterling counter till	4.4
L2	207	A4	D/601/8261	Operating a multi-currency till	4.3
L2	213	B2	J/601/8321	Assessing and using straightforward financial information to reconcile accounts	2.6
L2	221	C23	Y/601/8503	Processing straightforward insurance renewals as an intermediary	7.2
L2	222	C25	L/601/8546	Processing straightforward mid-term amendments	5.3
L2	228	D2	M/601/8717	Processing payments relating to stakeholder investment transactions or accounts	5.4
L2	236	G2	D/602/5405	Processing instructions for straightforward mortgage and/or financial planning business	2.5
L2	246	H12 S	L/601/2729	Debt collection negotiations practice	2.3
L3	302	A6	M/601/8264	Establishing, monitoring and maintaining bank or building society accounts for customers	4.2
L3	303	A7	Y/601/8257	Managing branch counter services	2.6

RoC	Unit	Ref	UAN	Title	Assess criteria
L3	329	D4	K/601/8702	Establishing and maintaining investor details and records	7.4 7.5
L3	330	D5	M/601/8703	Reconciling investment market transactions	6.4 6.5
L3	331	D6	T/601/8704	Maintaining the custody of assets on behalf of the investor	7.4 7.5
L3	332	D7	A/601/8705	Arranging the settlement of investment transactions	6.4 6.5
L3	333	D8	F/601/8706	Measuring the performance of investments	5.4
L3	325	D10	L/601/8708	Overseeing investment operation systems and processes	5.4 5.5
L3	326	D11	R/601/8709	Processing trades	6.4 6.5
L3	327	D12	K/601/8716	Processing corporate actions on behalf of investors	6.4 6.5

3. The following units allow the use of a realistic working environment (please refer to the CFA assessment strategy).

RoC	Unit	Ref	UAN	Title	Assess criteria
L2	253	J1	J/601/1210	Deliver reliable customer service	All
L2	255	J2	M/601/1511	Resolve customer service problems	All
L2	256	J8	L/601/0933	Give customers a positive impression of yourself and your organisation	All
L2	257	J9	L/601/1225	Deal with customers using bespoke software	All
L2	254	J11	H/601/1540	Support customers using on-line customer services	All

4. Where simulation is used, it must be designed to ensure that:

   - the learner is required to use materials and equipment found and used within the workplace environment
   - the learner is provided with information, advice and guidance in line with that which would be provided in the workplace environment in that context
   - the learner is required to carry out actions and responsibilities which would normally be delegated to someone competent in the occupational area within the workplace environment
   - the physical environment and situation replicates the workplace environment
   - other people with whom the learner interacts in performing the activity behave 'in character' for the given situation.

5. In all cases, the centre must agree its plans for simulation with the external verifier to ensure that it is satisfactory.

Appendix 2 Relationships to other qualifications

Literacy, language, numeracy and ICT skills development

These qualifications can develop skills that can be used in the following qualifications:

- Functional Skills (England) – see https://www.cityandguilds.com/functional-skills
- Essential Skills (Northern Ireland) – see www.cityandguilds.com/essentialskillsni
- Essential Skills Wales - see www.cityandguilds.com

Appendix 3 Sources of general information

The following documents contain essential information for centres delivering City & Guilds qualifications. They should be referred to in conjunction with this handbook. To download the documents and to find other useful documents, go to **www.cityandguilds.com** or click on the links below:

Centre handbook: quality assurance standards

This document is for all approved centres and provides guidance to support their delivery of our qualifications. It includes information on:

- centre quality assurance criteria and monitoring activities
- administration and assessment systems
- centre-facing support teams at City & Guilds/ILM
- centre quality assurance roles and responsibilities.

The centre handbook should be used to ensure compliance with the terms and conditions of the centre contract.

Centre assessment: quality assurance standards

This document sets out the minimum common quality assurance requirements for our regulated and non-regulated qualifications that feature centre-assessed components. Specific guidance will also be included in relevant qualification handbooks and/or assessment documentation.

It incorporates our expectations for centre internal quality assurance and the external quality assurance methods we use to ensure that assessment standards are met and upheld. It also details the range of sanctions that may be put in place when centres do not comply with our requirements or actions that will be taken to align centre marking/assessment to required standards. Additionally, it provides detailed guidance on the secure and valid administration of centre assessments.

Access arrangements: when and how applications need to be made to City & Guilds
This provides full details of the arrangements that may be made to facilitate access to assessments and qualifications for candidates who are eligible for adjustments in assessment.

The **centre document library** also contains useful information on such things as:

- conducting examinations
- registering learners
- appeals and malpractice.

Useful contacts

Please visit the **contact us** section of the City & Guilds website.

City & Guilds

For almost 150 years, we have worked with people, organisations and economies to help them identify and develop the skills they need to thrive. We understand the life-changing link between skills development, social mobility, prosperity and success. Everything we do is focused on developing and delivering high-quality training, qualifications, assessments and credentials that lead to jobs and meet the changing needs of industry.

We partner with our customers to deliver work-based learning programmes that build competency to support better prospects for people, organisations and wider society. We create flexible learning pathways that support lifelong employability because we believe that people deserve the opportunity to (re)train and (re)learn again and again – gaining new skills at every stage of life, regardless of where they start.

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City & Guilds
Giltspur House
5–6 Giltspur Street
London
EC1A 9DE

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