QUALIFICATION HANDBOOK

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

Guidance notes and mandatory units

March 2018 Version 1.4

City & Guilds

Qualification at a glance

Subject area	Providing Financial Services
City & Guilds number	6774
Age group approved	16+
Entry requirements	No specific entry requirements.
Assessment	Portfolio of evidence
Approval	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	GLH	TQT	City & Guilds number	Accreditation number
Level 2 Award in Providing Financial Services	5	10	6774-02	600/1752/1
Level 2 Certificate in Providing Financial Services	133	210	6774-02	600/1624/3
Level 3 Award in Providing Financial Services	5	10	6774-03	600/1753/3
Level 3 Certificate in Providing Financial Services	163	310	6774-03	600/1639/5

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**
1.4 March 2018	Added GLH and TQT details	Qualification at a glance and Introduction

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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
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.
Are the qualifications part of a framework or initiative?	The Certificates serve as competency element in the Providing Financial Services Apprenticeship framework.
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.

Structure

Level 2 Award in Providing Financial Services

Total credits	**Min 1, Max 11**
Credits from mandatory units	n/a
	Learners must achieve **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

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 • 2 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

Level 3 Award in Providing Financial Services

Total credits	**Min 1, Max 11**
Credits from mandatory units	n/a
	Learners must achieve **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

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 • 2 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)

Summary of units

See Section 4

Total Qualification Time

Total Qualification Time (TQT) is the total amount of time, in hours, expected to be spent by a Learner to achieve a qualification. It includes both guided learning hours (which are listed separately) and hours spent in preparation, study and assessment.

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

2 Centre requirements

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

unless the centre is already subject to sanctions.

Centres NOT already offering City & Guilds qualifications

To offer these qualifications, new centres will need to gain both centre and qualification approval. Please refer to the *Centre Manual - Supporting Customer Excellence* for further information.

Centre staff should familiarise themselves with the structure, content and assessment requirements of the qualifications 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 must support their staff to ensure that they have current knowledge of the occupational area, that delivery, mentoring, training, assessment and verification is in line with best practice, and that it takes account of any national or legislative developments.

Candidate 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

City & Guilds cannot accept any registrations for candidates under 16 as these qualifications are not approved for under 16s.

3 Delivering the qualification

Initial assessment and induction

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

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

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

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**

Recording documents

Candidates 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 learners' 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. Amendable (MS Word) versions of the 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 external verifier, before they are used by candidates and assessors at the centre.

4 Assessment

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

Candidates will have a completed portfolio of evidence for each unit.

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

Availability of units

The following units can also be obtained from the centre resources section of the City & Guilds website. They are also on The Register of Regulated Qualifications: **http://register.ofqual.gov.uk/Unit**

The units are available in a series of Qualification Handbooks which contain units at each level.

Structure of units

These units each have the following:

- City & Guilds reference number
- unit accreditation number (UAN)
- title
- level
- credit value
- unit aim
- relationship to NOS, other qualifications and frameworks
- information on assessment
- learning outcomes which are comprised of a number of assessment criteria
- notes for guidance.

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	-	-
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	-	-

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
213	B2 J/601/8321	Assessing and using straightforward financial information to reconcile accounts	4	GA	-	T2	-	-	-	-	-	-	O2	-	-
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	-	-
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	-	-

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
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	-	-
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	-	-
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	-	-

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
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	-	-
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
250 ***	I12 T/503/0521	Providing information on pension schemes on enquiry	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
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	-	-
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	-	-

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
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												
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
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

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
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	-	
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
320	C29 J/601/8528	Processing complex mid-term insurance amendments	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
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
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

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
334	D9 J/601/8707	Establishing the price of assets and/or investments	8	GC	-	-	-	T3	-	-	-	-	-	-	FO3
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
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

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
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
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
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

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
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
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
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

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
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
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
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 requirements:	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: 1. Understand the roles and responsibilities within a financial services organisation
Assessment criteria
The learner can: 1.1 Identify the agreed requirements of the job role including limitations of authority 1.2 Identify responsibility limits 1.3 Identify organisational reporting lines

Learning outcome
The learner will: 2. Be able to discuss and agree personal work objectives
Assessment criteria
The learner can: 2.1 Discuss work objectives with an appropriate person 2.2 Agree personal work objectives and tasks with an appropriate person

Learning outcome
The learner will: 3. Be able to identify areas for personal development
Assessment criteria
The learner can: 3.1 Identify personal work objectives and tasks 3.2 Reflect on current competence in the job role 3.3 Identify any gaps in current competence in the job role 3.4 Seek regular and useful feedback on performance 3.5 Find practical ways to overcome barriers to personal development 3.6 Identify available development opportunities and resources within an organisation and possible sources for these

Learning outcome
The learner will: 4. Be able to discuss and agree to a personal development plan (PDP) and work objectives
Assessment criteria
The learner can: 4.1 Identify ways of improving current competence in the job role 4.2 Identify how to set objectives which are specific, measurable, achievable, realistic and time-bound 4.3 Discuss personal development plan (PDP) with an appropriate person 4.4 Agree to a personal development plan (PDP) with an appropriate person

Learning outcome
The learner will: 5. Be able to implement a personal development plan (PDP) and work objectives
Assessment criteria
The learner can: 5.1 Undertake the activities identified in the personal development plan (PDP) in line with organisational policies and procedures 5.2 Make sure that performance consistently meets or goes beyond agreed requirements 5.3 Measure progress against work objectives 5.4 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 requirements:	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: 1. Be able to develop a work plan
Assessment criteria
The learner can: 1.1 Identify work objectives which must be fulfilled 1.2 Make sure all the necessary resources to complete work objectives are available 1.3 Identify the organisational and regulatory timescales that may affect work planning 1.4 Use work planning tools to develop a work plan 1.5 Prioritise work objectives which must be fulfilled 1.6 Identify difficulties that may affect work planning

Learning outcome
The learner will: 2. Be able to meet work plan objectives
Assessment criteria
The learner can: 2.1 Seek any necessary assistance to meet work demands 2.2 Report and discuss any difficulties with work promptly to the appropriate person

2.3 Check that time is being used effectively 2.4 Identify where improvements could be made to use time more effectively 2.5 Update work plan as objectives are met

Learning outcome
The learner will: 3. Be able to work with others
Assessment criteria
The learner can: 3.1 Co-operate with, and offer assistance to, colleagues to help achieve common objectives 3.2 Fulfill commitments made to other colleagues wherever possible 3.3 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 requirements:	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: 1. Be able to find out and identify the regulatory requirements relevant to the job role
Assessment criteria
The learner can: 1.1 Find out about the regulatory requirements relevant to the job role 1.2 Identify correctly the regulations that apply to the job role 1.3 Identify the correct person to ask regarding regulatory requirements 1.4 Identify the organisation's policies and procedures for ensuring compliance with regulatory requirements

Learning outcome
The learner will: 2. Be able to comply with financial regulations
Assessment criteria
The learner can: 2.1 Identify the agreed requirements of the job role and agreed personal authority limits

2.2 Make sure work is done in compliance with regulatory requirements and organisational policies and procedures 2.3 Respond to changes in organisational policies and procedures resulting from regulatory requirements 2.4 Maintain competence within the job role in accordance with regulatory requirements 2.5 Use information ethically, effectively and efficiently

Learning outcome
The learner will: 3. Be able to identify and respond to failures to comply with financial regulations
Assessment criteria
The learner can: 3.1 Identify the consequences of non-compliance for the job holder, organisation and customer 3.2 Identify the procedures to follow in cases of non-compliance with regulatory requirements 3.3 Recognise non-compliance 3.4 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 requirements:	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: 1. Understand how to develop productive working relationships with colleagues
Assessment criteria
The learner can: 1.1 Explain the benefits of developing productive working relationships with colleagues 1.2 Explain the importance of taking into consideration the priorities, expectations and authority of colleagues when making decisions and taking actions 1.3 Explain the processes within the organisation for making decisions 1.4 Explain the information and resources that different colleagues might need

Learning outcome
The learner will: 2. Be able to manage good working relationships with colleagues
Assessment criteria
The learner can: 2.1 Explain the roles and responsibilities of colleagues and their relevance to the work being carried out

2.2 Ensure that commitments made with colleagues are honoured and seek confirmation when they have been fulfilled 2.3 Advise colleagues promptly of any difficulties or where it will be impossible to carry out what has been agreed

Learning outcome
The learner will: 3. Be able to communicate effectively with colleagues
Assessment criteria
The learner can: 3.1 Outline the principles of effective communication and how to apply them to communicating effectively with colleagues 3.2 Produce information that is clear, concise and accurate 3.3 Exchange information and resources with colleagues to support the delivery of own work 3.4 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
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

RoC	Unit	Ref	UAN	Title	Assess criteria
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 **www.cityandguilds.com/functionalskills**
- 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 the **Centres and Training Providers homepage** on **www.cityandguilds.com**.

Centre Manual - Supporting Customer Excellence contains detailed information about the processes which must be followed and requirements which must be met for a centre to achieve 'approved centre' status, or to offer a particular qualification, as well as updates and good practice exemplars for City & Guilds assessment and policy issues. Specifically, the document includes sections on:

- The centre and qualification approval process
- Assessment, internal quality assurance and examination roles at the centre
- Registration and certification of candidates
- Non-compliance
- Complaints and appeals
- Equal opportunities
- Data protection
- Management systems
- Maintaining records
- Assessment
- Internal quality assurance
- External quality assurance.

Our Quality Assurance Requirements encompasses all of the relevant requirements of key regulatory documents such as:

- SQA Awarding Body Criteria (2007)
- NVQ Code of Practice (2006)

and sets out the criteria that centres should adhere to pre and post centre and qualification approval.

Access to Assessment & Qualifications 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 homepage** section of the City & Guilds website also contains useful information such on such things as:

- **Walled Garden:** how to register and certificate candidates on line
- **Events**: dates and information on the latest Centre events
- **Online assessment**: how to register for e-assessments.

Useful contacts

UK learners **General qualification information**	**E: learnersupport@cityandguilds.com**
International learners General qualification information	F: +44 (0)20 7294 2413 E: **intcg@cityandguilds.com**
Centres Exam entries, Certificates, Registrations/enrolment, Invoices, Missing or late exam materials, Nominal roll reports, Results	F: +44 (0)20 7294 2413 E: **centresupport@cityandguilds.com**
Single subject qualifications Exam entries, Results, Certification, Missing or late exam materials, Incorrect exam papers, Forms request (BB, results entry), Exam date and time change	F: +44 (0)20 7294 2413 F: +44 (0)20 7294 2404 (BB forms) E: **singlesubjects@cityandguilds.com**
International awards Results, Entries, Enrolments, Invoices, Missing or late exam materials, Nominal roll reports	F: +44 (0)20 7294 2413 E: **intops@cityandguilds.com**
Walled Garden Re-issue of password or username, Technical problems, Entries, Results, e-assessment, Navigation, User/menu option, Problems	F: +44 (0)20 7294 2413 E: **walledgarden@cityandguilds.com**
Employer Employer solutions, Mapping, Accreditation, Development Skills, Consultancy	T: +44 (0)121 503 8993 E: **business@cityandguilds.com**
Publications Logbooks, Centre documents, Forms, Free literature	F: +44 (0)20 7294 2413

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If you have a complaint, or any suggestions for improvement about any of the services that we provide, email: **feedbackandcomplaints@cityandguilds.com**

About City & Guilds

As the UK's leading vocational education organisation, City & Guilds is leading the talent revolution by inspiring people to unlock their potential and develop their skills. We offer over 500 qualifications across 28 industries through 8500 centres worldwide and award around two million certificates every year. City & Guilds is recognised and respected by employers across the world as a sign of quality and exceptional training.

City & Guilds Group

The City & Guilds Group operates from three major hubs: London (servicing Europe, the Caribbean and Americas), Johannesburg (servicing Africa), and Singapore (servicing Asia, Australia and New Zealand). The Group also includes the Institute of Leadership & Management (management and leadership qualifications), City & Guilds Land Based Services (land-based qualifications), the Centre for Skills Development (CSD works to improve the policy and practice of vocational education and training worldwide) and Learning Assistant (an online e-portfolio).

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