ROC HANDBOOK

Rules of Combination Handbook

Providing Financial Services

February 2012 Version 1.0

Level 2 Award in Providing Financial Services
6774-02 : 600/1752/1

Level 2 Certificate in Providing Financial Services
6774-02 : 600/1624/3

Group A: Banks & Building Society Accounts
Group B: Customer Payments for Financial Products and Services
Group C: General Insurance
Group D: Investment Operations
Group E: Life, Pensions and Investment
Group F: Financing and Credit
Group G: Administration for Financial Planning and/or Mortgage Intermediaries
Group H: Debt Collections

Level 3 Award in Providing Financial Services
6774-03 : 600/1753/3

Level 3 Certificate in Providing Financial Services
6774-03 : 600/1639/5

Group A: Banks & Building Society Accounts
Group B: Customer Payments for Financial Products and Services
Group C: General Insurance
Group D: Investment Operations
Group E: Life, Pensions and Investment
Group F: Financing and Credit
Group G: Administration for Financial Planning and/or Mortgage Intermediaries
Group H: Debt Collections
Group I: Pension Scheme Administration
Group J: Further options

City & Guilds

This page is intentionally blank

Contents

6774-02	**Level 2 Award/Certificate in Providing Financial Services**	**5**
	Structure: Level 2 Award in Providing Financial Services	6
	Structure: Level 2 Certificate in Providing Financial Services	10
6774-03	**Level 3 Award/Certificate in Providing Financial Services**	**15**
	Structure: Level 3 Award in Providing Financial Services	16
	Structure: Level 3 Certificate in Providing Financial Services	22
Centre and candidate requirements		**29**
	Centre staffing	29
	Continuing professional development (CPD)	29
	Candidate entry requirements	29
	Age restrictions	29

This page is intentionally blank

6774-02 Level 2 Award/Certificate in Providing Financial Services

Subject area	Level 2 Providing Financial Services
City & Guilds number	**6774-02**
Age group approved	All
Entry requirements	No specific entry requirements
Assessment and grading	Portfolio of evidence
Automatic approval	Available
Support materials	Qualification handbook Mandatory Unit Logbook

Title and level	City & Guilds number	Accreditation number
Level 2 Award in Providing Financial Services	6774-02	600/1752/1
Level 2 Certificate in Providing Financial Services	6774-02	600/1624/3

Title and level	Last Date Registration	Last Date Certification
Level 2 Award in Providing Financial Services	31/12/2014	31/12/2016
Level 2 Certificate in Providing Financial Services	31/12/2014	31/12/2016

Structure: Level 2 Award in Providing Financial Services

Qualification	Min. no of credits overall	Group A Mandatory (credits)	Group B Optional (credits)
Level 2 Award in Providing Financial Services	**1 (Max 11)**	1 (min)	2 (min)
	Learners must achieve **one** unit from **Group A** **plus** Learners may choose **one additional** optional unit from **Group A** or **Group B** (Learners **cannot** achieve more than 11 credits)		

Award Group Key:

A – Mandatory units:	**201-248, 252, 258**
B – Additional optional units:	**253-257, 259-263, 366**

City & Guilds unit number	Ofqual unit Accreditation number	Unit title	Level	Credit	GLH	Group	* Excluded combination
201	K/602/5472	Improving and maintaining workplace competence in a financial services environment	2	4	33	A	
202	A/602/5475	Planning and organising work in a financial services environment	2	4	33	A	
203	J/602/5477	Complying with regulations within the financial services environment	2	6	52	A	
204	T/601/8251	Setting up bank or building society accounts for customers	2	4	15	A	
205	J/601/8254	Authorising financial transactions using telecommunications	2	4	10	A	
206	H/601/8259	Operating a sterling counter till	2	4	11	A	
207	D/601/8261	Operating a multi-currency till	2	5	15	A	
208	K/601/8277	Processing documentation for bank or building society accounts	2	4	10	A	
209	Y/601/8288	Building effective relationships with clients in a financial environment	2	3	10	A	
210	L/601/8319	Providing information to customers in a financial services environment	2	4	9	A	
211	L/602/5500	Dealing with requests to cancel financial services products or services	2	4	15	A	
212	F/601/8320	Processing customers' financial transactions	2	4	8	A	

City & Guilds unit number	Ofqual unit Accreditation number	Unit title	Level	Credit	GLH	Group	* Excluded combination
213	J/601/8321	Assessing and using straightforward financial information to reconcile accounts	2	4	10	A	
214	M/601/8328	Preparing and pursuing statements of account for financial products and services	2	4	6	A	
215	A/601/8445	Processing straightforward new insurance claims notifications	2	5	30	A	
216	R/601/8452	Settling straightforward insurance claims	2	5	30	A	
217	K/601/8456	Dealing with straightforward claims for insured losses	2	5	30	A	
218	Y/601/8467	Processing straightforward claims for uninsured losses	2	5	30	A	
219	T/601/8475	Agreeing the settlement of straightforward claims for uninsured losses	2	5	30	A	
220	K/601/8554	Processing straightforward insurance business as an intermediary	2	5	27	A	
221	Y/601/8503	Processing straightforward insurance renewals as an intermediary	2	5	27	A	
222	L/601/8546	Processing straightforward mid-term amendments	2	5	27	A	
223	F/601/8334	Underwriting straightforward new risks	2	5	30	A	
224	L/601/8336	Processing straightforward insurance policy documentation	2	5	30	A	
225	Y/601/8341	Processing straightforward insurance renewals	2	5	30	A	
226	R/601/8371	Underwriting straightforward policy alterations	2	5	30	A	
227	Y/601/8713	Assessing and using financial information to reconcile stakeholder investment accounts	2	6	51	A	
228	M/601/8717	Processing payments relating to stakeholder investment transactions or accounts	2	6	51	A	
229	A/601/8719	Processing life, pensions and investment business applications	2	5	27	A	
230	M/601/8720	Underwriting straightforward alterations to life, pensions and investment contracts	2	5	27	A	

City & Guilds unit number	Ofqual unit Accreditation number	Unit title	Level	Credit	GLH	Group	* Excluded combination
231	A/601/8722	Processing straightforward requests for payment against life, pensions and investment contracts	2	5	27	A	
232	R/601/8743	Processing documentation for straightforward life, pensions and investment contracts	2	5	26	A	
233	F/602/5431	Processing applications for financing and credit facilities	2	3	5	A	
234	L/602/5433	Processing documentation for financing and credit facilities	2	3	5	A	
235	Y/602/5404	Providing an administrative service for mortgage and/or financial planning clients	2	4	7	A	
236	D/602/5405	Processing instructions for straightforward mortgage and/or financial planning business	2	4	10	A	
237	M/602/5408	Contributing to reports for mortgage and/or financial planning clients	2	4	8	A	
238	D/601/2718	Debt repayment monitoring principles	2	3	15	A	
239	R/601/2716	Payment processing principles	2	1	5	A	
240	K/601/2737	Payment processing practice	2	1	5	A	
241	J/601/2714	Debt collection case management principles (pre legal)	2	4	20	A	
242	D/601/2735	Debt collection case management practice (pre legal)	2	4	20	A	
243	A/601/2712	Debtor call handling principles	2	2	10	A	
244	L/601/2732	Debtor call handling practice	2	3	15	A	
245	T/601/2708	Debt collection negotiations principles	2	3	15	A	
246	L/601/2729	Debt collection negotiations practice	2	4	20	A	
247	H/601/2705	Preparation for debt collection principles	2	2	10	A	
248	T/601/2725	Preparation for debt collection practice	2	3	15	A	
252	H/602/5485	Dealing with customers by telephone in a financial services environment	2	4	15	A	

City & Guilds unit number	Ofqual unit Accreditation number	Unit title	Level	Credit	GLH	Group	* Excluded combination
258	J/602/5494	Promoting the organisation's additional financial services products and services	2	4	15	A	
253	J/601/1210	Deliver reliable customer service	2	5	33	B	
254	H/601/1540	Support customers using on line customer services	2	5	33	B	
255	M/601/1511	Resolve customer service problems	2	6	40	B	
256	L/601/0933	Give customers a positive impression of yourself and your organisation	2	5	33	B	
257	L/601/1225	Deal with customers using bespoke software	2	5	33	B	
259	T/502/8588	Preparing and delivering a sales demonstration	2	3	20	B	
260	J/502/8577	Selling by phone (in-bound)	2	4	27	B	
261	J/502/8580	Selling by phone (out-bound)	2	4	27	B	
262	H/502/8599	Generating and qualifying sales leads	2	2	15	B	
263	L/502/8564	Selling face-to-face	2	4	25	B	
366	M/601/2738	Debt repayment monitoring practice	3	4	20	B	

Structure: Level 2 Certificate in Providing Financial Services

Qualification	Min. no of credits overall	Mandatory (credits)	Optional (credits)
Level 2 Certificate in Providing Financial Services	**21**	14	7 (min)
	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.)		

Certificate Group Key:

Mandatory units:	201 - 203
Optional Group A:	Banks & Building Society Accounts **-** 204 – 211 (min 7 Credits)
Optional Group B:	Customer Payments for Financial Products and Services **-** 210, 212 – 214, 309 – 310 (min 8 Credits)
Optional Group C:	General Insurance **-** 209 – 211, 215 – 226 (min 7 Credits)
Optional Group D:	Investment Operations **-** 209-210, 227-228 (min 7 credits)
Optional Group E:	Life, Pensions and Investment **-** 209-211, 229-232 (min 7 credits)
Optional Group F:	Financing and Credit **-** 209-211, 233-234 (min 6 credits)
Optional Group G:	Administration for Financial Planning and/or Mortgage Intermediaries **-** 209-211, 235-237 (min 7 credits)
Optional 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 (min 1 credit): 204-248, 252-263, 308-310, 366

City & Guilds unit number	Ofqual unit Accreditation number	Unit title	Level	Credit	GLH	Group	* Excluded combination
201	K/602/5472	Improving and maintaining workplace competence in a financial services environment	2	4	33		
202	A/602/5475	Planning and organising work in a financial services environment	2	4	33		
203	J/602/5477	Complying with regulations within the financial services environment	2	6	52		
204	T/601/8251	Setting up bank or building society accounts for customers	2	4	15	A/O	
205	J/601/8254	Authorising financial transactions using telecommunications	2	4	10	A/O	
206	H/601/8259	Operating a sterling counter till	2	4	11	A/O	
207	D/601/8261	Operating a multi-currency till	2	5	15	A/O	
208	K/601/8277	Processing documentation for bank or building society accounts	2	4	10	A/O	
209	Y/601/8288	Building effective relationships with clients in a financial environment	2	3	10	A/C D/E F/G O	
210	L/601/8319	Providing information to customers in a financial services environment	2	4	9	A/B C/D E/F G/O	
211	L/602/5500	Dealing with requests to cancel financial services products or services	2	4	15	A/C D/E F/G O	
212	F/601/8320	Processing customers' financial transactions	2	4	8	B/O	
213	J/601/8321	Assessing and using straightforward financial information to reconcile accounts	2	4	10	B/O	
214	M/601/8328	Preparing and pursuing statements of account for financial products and services	2	4	6	B/O	
215	A/601/8445	Processing straightforward new insurance claims notifications	2	5	30	C/O	
216	R/601/8452	Settling straightforward insurance claims	2	5	30	C/O	

City & Guilds unit number	Ofqual unit Accreditation number	Unit title	Level	Credit	GLH	Group	* Excluded combination
217	K/601/8456	Dealing with straightforward claims for insured losses	2	5	30	C/O	
218	Y/601/8467	Processing straightforward claims for uninsured losses	2	5	30	C/O	
219	T/601/8475	Agreeing the settlement of straightforward claims for uninsured losses	2	5	30	C/O	
220	K/601/8554	Processing straightforward insurance business as an intermediary	2	5	27	C/O	
221	Y/601/8503	Processing straightforward insurance renewals as an intermediary	2	5	27	C/O	
222	L/601/8546	Processing straightforward mid-term amendments	2	5	27	C/O	
223	F/601/8334	Underwriting straightforward new risks	2	5	30	C/O	
224	L/601/8336	Processing straightforward insurance policy documentation	2	5	30	C/O	
225	Y/601/8341	Processing straightforward insurance renewals	2	5	30	C/O	
226	R/601/8371	Underwriting straightforward policy alterations	2	5	30	C/O	
227	Y/601/8713	Assessing and using financial information to reconcile stakeholder investment accounts	2	6	51	D/O	
228	M/601/8717	Processing payments relating to stakeholder investment transactions or accounts	2	6	51	D/O	
229	A/601/8719	Processing life, pensions and investment business applications	2	5	27	E/O	
230	M/601/8720	Underwriting straightforward alterations to life, pensions and investment contracts	2	5	27	E/O	
231	A/601/8722	Processing straightforward requests for payment against life, pensions and investment contracts	2	5	27	E/O	
232	R/601/8743	Processing documentation for straightforward life, pensions and investment contracts	2	5	26	E/O	
233	F/602/5431	Processing applications for financing and credit facilities	2	3	5	F/O	

City & Guilds unit number	Ofqual unit Accreditation number	Unit title	Level	Credit	GLH	Group	* Excluded combination
234	L/602/5433	Processing documentation for financing and credit facilities	2	3	5	F/O	
235	Y/602/5404	Providing an administrative service for mortgage and/or financial planning clients	2	4	7	G/O	
236	D/602/5405	Processing instructions for straightforward mortgage and/or financial planning business	2	4	10	G/O	
237	M/602/5408	Contributing to reports for mortgage and/or financial planning clients	2	4	8	G/O	
238	D/601/2718	Debt repayment monitoring principles	2	3	15	H1/O	
239	R/601/2716	Payment processing principles	2	1	5	H2/O	
240	K/601/2737	Payment processing practice	2	1	5	H2/O	
241	J/601/2714	Debt collection case management principles (pre legal)	2	4	20	H3/O	
242	D/601/2735	Debt collection case management practice (pre legal)	2	4	20	H3/O	
243	A/601/2712	Debtor call handling principles	2	2	10	H4/O	
244	L/601/2732	Debtor call handling practice	2	3	15	H4/O	
245	T/601/2708	Debt collection negotiations principles	2	3	15	H5/O	
246	L/601/2729	Debt collection negotiations practice	2	4	20	H5/O	
247	H/601/2705	Preparation for debt collection principles	2	2	10	H6/O	
248	T/601/2725	Preparation for debt collection practice	2	3	15	H6/O	
252	H/602/5485	Dealing with customers by telephone in a financial services environment	2	4	15	O	
258	J/602/5494	Promoting the organisation's additional financial services products and services	2	4	15	O	
253	J/601/1210	Deliver reliable customer service	2	5	33	O	
254	H/601/1540	Support customers using on line customer services	2	5	33	O	
255	M/601/1511	Resolve customer service problems	2	6	40	O	

City & Guilds unit number	Ofqual unit Accreditation number	Unit title	Level	Credit	GLH	Group	* Excluded combination
256	L/601/0933	Give customers a positive impression of yourself and your organisation	2	5	33	O	
257	L/601/1225	Deal with customers using bespoke software	2	5	33	O	
259	T/502/8588	Preparing and delivering a sales demonstration	2	3	20	O	
260	J/502/8577	Selling by phone (in-bound)	2	4	27	O	
261	J/502/8580	Selling by phone (out-bound)	2	4	27	O	
262	H/502/8599	Generating and qualifying sales leads	2	2	15	O	
263	L/502/8564	Selling face-to-face	2	4	25	O	
308	R/601/8323	Assessing and using complex financial information to reconcile accounts	3	4	9	O	
309	Y/601/8324	Operating credit control procedures	3	4	10	B/O	
310	K/601/8330	Operating payment by instalments	3	4	10	B/O	
366	M/601/2738	Debt repayment monitoring practice	3	4	20	H1/O	

6774-03 Level 3 Award/Certificate in Providing Financial Services

Subject area	Level 3 Providing Financial Services
City & Guilds number	**6774-03**
Age group approved	16+
Entry requirements	No specific entry requirements
Assessment and grading	Portfolio of evidence
Automatic approval	Available
Support materials	Qualification handbook

Title and level	City & Guilds number	Accreditation number
Level 3 Award in Providing Financial Services	6774-03	600/1753/3
Level 3 Certificate in Providing Financial Services	6774-03	600/1639/5

Title and level	Last Date Registration	Last Date Certification
Level 3 Award in Providing Financial Services	31/12/2014	31/12/2017
Level 3 Certificate in Providing Financial Services	31/12/2014	31/12/2017

Structure: Level 3 Award in Providing Financial Services

Qualification	Min. no of credits overall	Group C Mandatory (credits)	Group D Optional (credits)
Level 3 Award in Providing Financial Services	**1 (max 11)**	1 (min)	3 (min)
	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** and **350** are a **barred combination** (Learners cannot achieve more than 11 credits)		

Award Group Key:

C – Mandatory units

D – Additional optional units

City & Guilds unit number	Ofqual unit Accreditation number	Unit title	Level	Credit	GLH	Group	* Excluded combination
301	F/602/5476	Developing productive working relationships with colleagues	3	6	48	C	
302	M/601/8264	Establishing, monitoring and maintaining bank or building society accounts for customers	3	5	4	C	
303	Y/601/8257	Managing branch counter services	3	5	6	C	
304	F/601/8284	Supervising the administration of retail financial products and services	3	5	16	C	
305	J/601/8318	Processing the transfer of foreign currency	3	5	14	C	
306	R/601/8290	Manage the business relationship with clients in a financial services environment	3	4	18	C	
307	T/601/8718	Dealing with complaints relating to financial services products and /or services	3	8	68	C	
311	K/601/8473	Settling complex insurance claims	3	5	30	C	
312	T/601/8346	Underwriting complex new risks	3	5	30	C	
313	K/601/8358	Processing complex policy documentation for new business	3	5	30	C	
314	M/601/8362	Underwriting complex policy alterations	3	5	30	C	

City & Guilds unit number	Ofqual unit Accreditation number	Unit title	Level	Credit	GLH	Group	* Excluded combination
315	A/601/8364	Processing complex insurance renewals	3	5	30	C	
316	H/601/8374	Review underwriting decisions to accept risks	3	5	30	C	
317	A/601/8557	Evaluating insurance products and services	3	5	27	C	
318	M/601/8555	Processing complex insurance business as an intermediary	3	5	27	C	
319	Y/601/8517	Processing complex insurance renewals as an intermediary	3	5	27	C	
320	J/601/8528	Processing complex mid-term insurance amendments	3	5	27	C	
321	M/601/8488	Evaluating risk as an insurance intermediary and advise other intermediaries	3	5	26	C	
322	T/601/8461	Dealing with complex claims for uninsured losses	3	5	30	C	
323	Y/601/8470	Dealing with complex claims for insured losses	3	5	30	C	
324	H/601/8472	Carrying out initial assessment and investigating complex insurance claims	3	5	30	C	
325	L/601/8708	Overseeing investment operation systems and processes	3	8	68	C	
326	R/601/8709	Processing trades	3	8	68	C	
327	K/601/8716	Processing corporate actions on behalf of investors	3	8	68	C	
328	H/601/8701	Preparing and presenting investment market information to stakeholders	3	8	68	C	**350**
329	K/601/8702	Establishing and maintaining investor details and records	3	8	68	C	
330	M/601/8703	Reconciling investment market transactions	3	8	68	C	
331	T/601/8704	Maintaining the custody of assets on behalf of the investor	3	8	68	C	
332	A/601/8705	Arranging the settlement of investment transactions	3	8	68	C	
333	F/601/8706	Measuring the performance of investments	3	8	68	C	

City & Guilds unit number	Ofqual unit Accreditation number	Unit title	Level	Credit	GLH	Group	* Excluded combination
334	J/601/8707	Establishing the price of assets and/or investments	3	8	68	C	
335	A/601/8736	Authorising requests for payment against life, pensions and investment contracts	3	5	26	C	
336	F/601/8740	Authorising the underwriting of life, pensions and investment contracts	3	5	26	C	
337	R/601/8791	Processing complex requests for payment against life, pensions and investment contracts	3	5	28	C	
338	H/601/8746	Underwriting complex new life, pensions and investment business quotations	3	5	28	C	
339	L/601/8790	Underwriting complex alterations to life, pensions and investment contracts	3	5	28	C	
340	Y/601/8744	Processing documentation for complex life, pensions and investment contracts	3	5	26	C	
341	Y/602/5418	Appraising and authorising applications for personal financing and credit facilities	3	4	11	C	
342	D/602/5419	Progressing personal property financing applications	3	3	8	C	
343	R/602/5420	Charging and controlling securities for financing	3	3	9	C	
344	Y/602/5421	Appraising applications for business financing and credit facilities	3	4	9	C	
345	H/602/5423	Progressing and finalising applications for business financing and credit facilities	3	4	13	C	
346	M/602/5425	Monitoring and reviewing financing and credit facilities	3	4	13	C	
	A/602/5427	Managing the quality of decisions to offer financing and credit facilities	3	4	10	C	
348	A/602/5430	Investigating arrears and recovering debts	3	4	13	C	

City & Guilds unit number	Ofqual unit Accreditation number	Unit title	Level	Credit	GLH	Group	* Excluded combination
349	R/503/1126	Processing and maintaining bilateral and/or syndicated loans	3	8	68	C	
350	J/503/1124	Preparing and presenting investment market information to stakeholders	3	8	65	C	**328**
351	K/602/5410	Facilitating an administrative service for mortgage and/or financial planning clients	3	5	12	C	
352	A/602/5413	Processing instructions for complex mortgage and/or financial planning business	3	4	10	C	
353	F/602/5414	Completing reports for mortgage and/or financial planning clients	3	4	11	C	
354	J/602/5415	Supervising mortgage and/or financial planning administrative systems and processes	3	6	12	C	
355	K/601/2706	Preparation for debt collection principles	3	2	10	C	
356	F/601/2727	Preparation for debt collection practice	3	3	15	C	
357	T/601/2711	Debt collection negotiations principles	3	3	15	C	
358	J/601/2731	Debt collection negotiations practice	3	4	20	C	
359	F/601/2713	Debtor call handling principles	3	2	10	C	
360	Y/601/2734	Debtor call handling practice	3	3	15	C	
361	L/601/2715	Debt collection case management principles (pre legal)	3	4	20	C	
362	H/601/2736	Debt collection case management practice (pre legal)	3	4	20	C	
363	Y/601/2717	Payment processing principles	3	1	5	C	
365	H/601/2719	Debt repayment monitoring principles	3	3	15	C	
366	M/601/2738	Debt repayment monitoring practice	3	4	20	C	
367	K/601/2740	Debt collection operations management practice	3	6	30	C	
368	Y/601/2720	Debt collection operations management principles	3	4	20	C	

City & Guilds unit number	Ofqual unit Accreditation number	Unit title	Level	Credit	GLH	Group	* Excluded combination
369	M/503/0517	Calculating and issuing Cash Equivalent Transfer Value (CETV)	3	5	15	C	
370	A/503/0519	Dealing with pension scheme complaints and disputes	3	5	15	C	
371	A/503/0522	Updating and generating pension scheme members annual benefit statement	3	5	15	C	
372	F/503/0523	Providing periodic pension scheme information	3	5	15	C	
373	T/503/0504	Processing pension scheme leavers benefits	3	5	15	C	
374	F/503/0506	Calculating and quoting pension scheme early leavers notifications	3	5	20	C	
375	L/503/0508	Calculating and quoting pension scheme retirement benefits	3	5	20	C	
376	J/503/0510	Processing pension scheme retirement benefits	3	5	15	C	
377	R/503/0512	Processing pension scheme death benefits	3	5	20	C	
378	H/503/0515	Calculating and quoting pension scheme death benefits	3	5	20	C	
379	R/602/5482	Providing callers with specialised assistance in a financial services environment	3	4	15	C	
386	D/602/5498	Developing and maintaining business relations with financial services' introducers	3	4	15	C	
387	H/602/5499	Processing financial services sales support administration for agencies	3	4	15	C	
380	J/601/1515	Monitor and solve customer service problems	3	6	40	D	
381	D/601/1522	Process customer service complaints	3	6	40	D	
382	H/601/1568	Lead a team to improve customer service	3	7	47	D	
383	D/601/1228	Use customer service as a competitive tool	3	8	53	D	
384	Y/601/1230	Organise the delivery of reliable customer service	3	6	40	D	

City & Guilds unit number	Ofqual unit Accreditation number	Unit title	Level	Credit	GLH	Group	* Excluded combination
385	H/601/1232	Improve the customer relationship	3	7	47	D	
388	D/502/8634	Developing and implementing sales call plans	3	3	22	D	
389	A/502/8639	Contributing to the development and launch of new products and / or services	3	4	26	D	
390	H/600/9674	Plan, allocate and monitor work in own area of responsibility	3	5	25	D	
401	Y/503/0513	Processing pension scheme transfers	4	5	15	D	
402	A/601/1236	Plan, organise and control customer service operations	4	10	67	D	
403	M/600/9676	Support learning and development within own area of responsibility	4	5	25	D	
404	T/600/9601	Provide leadership and direction for own area of responsibility	4	5	30	D	
405	H/600/9609	Ensure compliance with legal, regulatory, ethical and social requirements	4	5	25	D	
501	T/600/9663	Recruit staff in own area of responsibility	5	4	25	D	

Structure: Level 3 Certificate in Providing Financial Services

Qualification	Min. no of credits overall	Mandatory (credits)	Optional (credits)
Level 3 Certificate in Providing Financial Services	**31**	16	15 (min)

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.)

Certificate Group Key:

Mandatory units:	201, 203, 301
Optional Group A:	Banks & Building Society Accounts **-** 210, 302-307 (min 8 credits)
Optional Group B:	Customer Payments for Financial Products and Services **-** 210, 308-310 (min 8 credits)
Optional Group C:	General Insurance **-** 210, 307, 311-324 (min 9 credits)
Optional Group D:	Investment Operations **-** 210, 306-307, 325-334, 350 (min 8 credits) **Note:** 210 , 328 and 350 are barred combinations
Optional Group E:	Life, Pensions and Investment **-** 210, 306-307, 335-340 (min 8 credits)
Optional Group F:	Financing and Credit **-**210, 307, 341-350 (min 6 credits) **Note:** 210 and 350 are a barred combination
Optional Group G:	Administration for Financial Planning and/or Mortgage Intermediaries **-** 210, 306-307, 351-354 (min 8 credits)
Optional 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)
Optional Group I:	Pension Scheme Administration **-** 369-378, 401 (min 10 credits)
Optional Group J (min 9 credit):	**-** 210, 249-251, 302-307, 311-390, 401-405, 501
Note: barred combinations	**-** 210, 328, 350 210, 249, 250, 251

City & Guilds unit number	Ofqual unit Accreditation number	Unit title	Level	Credit	GLH	Group	* Excluded combination
201	K/602/5472	Improving and maintaining workplace competence in a financial services environment	2	4	33	M	
203	J/602/5477	Complying with regulations within the financial services environment	2	6	52	M	
301	F/602/5476	Developing productive working relationships with colleagues	3	6	48	M	
210	L/601/8319	Providing information to customers in a financial services environment	2	4	9	A/B C/D E/F G/J	**249** **250** **251** **328** **350**
249	D/503/0495	Creating and processing pension scheme new entrant records	2	5	10	J	**210**
250	T/503/0521	Providing information on pension schemes on enquiry	2	5	10	J	**210**
251	M/503/0503	Processing applications for securing additional pension scheme benefit	2	5	15	J	**210**
302	M/601/8264	Establishing, monitoring and maintaining bank or building society accounts for customers	3	5	4	A/J	
303	Y/601/8257	Managing branch counter services	3	5	6	A/J	
304	F/601/8284	Supervising the administration of retail financial products and services	3	5	16	A/J	
305	J/601/8318	Processing the transfer of foreign currency	3	5	14	A/J	
306	R/601/8290	Manage the business relationship with clients in a financial services environment	3	4	18	A/D E/G J	
307	T/601/8718	Dealing with complaints relating to financial services products and /or services	3	8	68	A/C D/E F/G J	
308	R/601/8323	Assessing and using complex financial information to reconcile accounts	3	4	9	B	
309	Y/601/8324	Operating credit control procedures	3	4	10	B	

City & Guilds unit number	Ofqual unit Accreditation number	Unit title	Level	Credit	GLH	Group	* Excluded combination
310	K/601/8330	Operating payment by instalments	3	4	10	B	
311	K/601/8473	Settling complex insurance claims	3	5	30	C/J	
312	T/601/8346	Underwriting complex new risks	3	5	30	C/J	
313	K/601/8358	Processing complex policy documentation for new business	3	5	30	C/J	
314	M/601/8362	Underwriting complex policy alterations	3	5	30	C/J	
315	A/601/8364	Processing complex insurance renewals	3	5	30	C/J	
316	H/601/8374	Review underwriting decisions to accept risks	3	5	30	C/J	
317	A/601/8557	Evaluating insurance products and services	3	5	27	C/J	
318	M/601/8555	Processing complex insurance business as an intermediary	3	5	27	C/J	
319	Y/601/8517	Processing complex insurance renewals as an intermediary	3	5	27	C/J	
320	J/601/8528	Processing complex mid-term insurance amendments	3	5	27	C/J	
321	M/601/8488	Evaluating risk as an insurance intermediary and advise other intermediaries	3	5	26	C/J	
322	T/601/8461	Dealing with complex claims for uninsured losses	3	5	30	C/J	
323	Y/601/8470	Dealing with complex claims for insured losses	3	5	30	C/J	
324	H/601/8472	Carrying out initial assessment and investigating complex insurance claims	3	5	30	C/J	
325	L/601/8708	Overseeing investment operation systems and processes	3	8	68	D/J	
326	R/601/8709	Processing trades	3	8	68	D/J	
327	K/601/8716	Processing corporate actions on behalf of investors	3	8	68	D/J	
328	H/601/8701	Preparing and presenting investment market information to stakeholders	3	8	68	D/J	**210 350**

City & Guilds unit number	Ofqual unit Accreditation number	Unit title	Level	Credit	GLH	Group	* Excluded combination
329	K/601/8702	Establishing and maintaining investor details and records	3	8	68	D/J	
330	M/601/8703	Reconciling investment market transactions	3	8	68	D/J	
331	T/601/8704	Maintaining the custody of assets on behalf of the investor	3	8	68	D/J	
332	A/601/8705	Arranging the settlement of investment transactions	3	8	68	D/J	
333	F/601/8706	Measuring the performance of investments	3	8	68	D/J	
334	J/601/8707	Establishing the price of assets and/or investments	3	8	68	D/J	
335	A/601/8736	Authorising requests for payment against life, pensions and investment contracts	3	5	26	E/J	
336	F/601/8740	Authorising the underwriting of life, pensions and investment contracts	3	5	26	E/J	
337	R/601/8791	Processing complex requests for payment against life, pensions and investment contracts	3	5	28	E/J	
338	H/601/8746	Underwriting complex new life, pensions and investment business quotations	3	5	28	E/J	
339	L/601/8790	Underwriting complex alterations to life, pensions and investment contracts	3	5	28	E/J	
340	Y/601/8744	Processing documentation for complex life, pensions and investment contracts	3	5	26	E/J	
341	Y/602/5418	Appraising and authorising applications for personal financing and credit facilities	3	4	11	F/J	
342	D/602/5419	Progressing personal property financing applications	3	3	8	F/J	
343	R/602/5420	Charging and controlling securities for financing	3	3	9	F/J	
344	Y/602/5421	Appraising applications for business financing and credit facilities	3	4	9	F/J	

City & Guilds unit number	Ofqual unit Accreditation number	Unit title	Level	Credit	GLH	Group	* Excluded combination
345	H/602/5423	Progressing and finalising applications for business financing and credit facilities	3	4	13	F/J	
346	M/602/5425	Monitoring and reviewing financing and credit facilities	3	4	13	F/J	
347	A/602/5427	Managing the quality of decisions to offer financing and credit facilities	3	4	10	F/J	
348	A/602/5430	Investigating arrears and recovering debts	3	4	13	F/J	
349	R/503/1126	Processing and maintaining bilateral and/or syndicated loans	3	8	68	F/J	
350	J/503/1124	Preparing and presenting investment market information to stakeholders	3	8	65	F/J	**210 328**
351	K/602/5410	Facilitating an administrative service for mortgage and/or financial planning clients	3	5	12	G/J	
352	A/602/5413	Processing instructions for complex mortgage and/or financial planning business	3	4	10	G/J	
353	F/602/5414	Completing reports for mortgage and/or financial planning clients	3	4	11	G/J	
354	J/602/5415	Supervising mortgage and/or financial planning administrative systems and processes	3	6	12	G/J	
355	K/601/2706	Preparation for debt collection principles	3	2	10	H1/J	
356	F/601/2727	Preparation for debt collection practice	3	3	15	H1/J	
357	T/601/2711	Debt collection negotiations principles	3	3	15	H2/J	
358	J/601/2731	Debt collection negotiations practice	3	4	20	H2/J	
359	F/601/2713	Debtor call handling principles	3	2	10	H3/J	
360	Y/601/2734	Debtor call handling practice	3	3	15	H3/J	
361	L/601/2715	Debt collection case management principles (pre legal)	3	4	20	H4/J	
362	H/601/2736	Debt collection case management practice (pre legal)	3	4	20	H4/J	

City & Guilds unit number	Ofqual unit Accreditation number	Unit title	Level	Credit	GLH	Group	* Excluded combination
363	Y/601/2717	Payment processing principles	3	1	5	H5/J	
365	H/601/2719	Debt repayment monitoring principles	3	3	15	H6/J	
366	M/601/2738	Debt repayment monitoring practice	3	4	20	H6/J	
367	K/601/2740	Debt collection operations management practice	3	6	30	H7/J	
368	Y/601/2720	Debt collection operations management principles	3	4	20	H7/J	
369	M/503/0517	Calculating and issuing Cash Equivalent Transfer Value (CETV)	3	5	15	I/J	
370	A/503/0519	Dealing with pension scheme complaints and disputes	3	5	15	I/J	
371	A/503/0522	Updating and generating pension scheme members annual benefit statement	3	5	15	I/J	
372	F/503/0523	Providing periodic pension scheme information	3	5	15	I/J	
373	T/503/0504	Processing pension scheme leavers benefits	3	5	15	I/J	
374	F/503/0506	Calculating and quoting pension scheme early leavers notifications	3	5	20	I/J	
375	L/503/0508	Calculating and quoting pension scheme retirement benefits	3	5	20	I/J	
376	J/503/0510	Processing pension scheme retirement benefits	3	5	15	I/J	
377	R/503/0512	Processing pension scheme death benefits	3	5	20	I/J	
378	H/503/0515	Calculating and quoting pension scheme death benefits	3	5	20	I/J	
379	R/602/5482	Providing callers with specialised assistance in a financial services environment	3	4	15	J	
380	J/601/1515	Monitor and solve customer service problems	3	6	40	J	
381	D/601/1522	Process customer service complaints	3	6	40	J	
382	H/601/1568	Lead a team to improve customer service	3	7	47	J	
383	D/601/1228	Use customer service as a competitive tool	3	8	53	J	

City & Guilds unit number	Ofqual unit Accreditation number	Unit title	Level	Credit	GLH	Group	* Excluded combination
384	Y/601/1230	Organise the delivery of reliable customer service	3	6	40	J	
385	H/601/1232	Improve the customer relationship	3	7	47	J	
386	D/602/5498	Developing and maintaining business relations with financial services' introducers	3	4	15	J	
387	H/602/5499	Processing financial services sales support administration for agencies	3	4	15	J	
388	D/502/8634	Developing and implementing sales call plans	3	3	22	J	
389	A/502/8639	Contributing to the development and launch of new products and / or services	3	4	26	J	
390	H/600/9674	Plan, allocate and monitor work in own area of responsibility	3	5	25	J	
401	Y/503/0513	Processing pension scheme transfers	4	5	15	I/J	
402	A/601/1236	Plan, organise and control customer service operations	4	10	67	J	
403	M/600/9676	Support learning and development within own area of responsibility	4	5	25	J	
404	T/600/9601	Provide leadership and direction for own area of responsibility	4	5	30	J	
405	H/600/9609	Ensure compliance with legal, regulatory, ethical and social requirements	4	5	25	J	
501	T/600/9663	Recruit staff in own area of responsibility	5		25	J	

Centre and candidate 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.

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.

Useful contacts

UK learners General qualification information	**T:** +44 (0)844 543 0033 **E:** learnersupport@cityandguilds.com
International learners General qualification information	**T:** +44 (0)844 543 0033 **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	**T:** +44 (0)844 543 0000 **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	**T:** +44 (0)844 543 0000 **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	**T:** +44 (0)844 543 0000 **F:** +44 (0)20 7294 2413 **E:** intops@cityandguilds.com
Walled Garden Re-issue of password or username, Technical problems, Entries, Results, GOLA, Navigation, User/menu option, Problems	**T:** +44 (0)844 543 0000 **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_unit@cityandguilds.com
Publications Logbooks, Centre documents, Forms, Free literature	**T:** +44 (0)844 543 0000 **F:** +44 (0)20 7294 2413

Every effort has been made to ensure that the information contained in this publication is true and correct at time of publication. However, City & Guilds products and services are subject to continuous development and improvement, and the right is reserved to change products and services from time to time. City & Guilds cannot accept responsibility for any loss or damage arising from the use of information in this publication.

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

City & Guilds is the UK's leading provider of vocational qualifications, offering over 500 awards across a wide range of industries, and progressing from entry level to the highest levels of professional achievement. With over 8500 centres in 100 countries, City & Guilds is recognised by employers worldwide for providing qualifications that offer proof of the skills they need to get the job done.

City & Guilds Group

The City & Guilds Group includes City & Guilds, ILM (the Institute of Leadership & Management, which provides management qualifications, learning materials and membership services), City & Guilds NPTC (which offers land-based qualifications and membership services), City & Guilds HAB (the Hospitality Awarding Body), and City & Guilds Centre for Skills Development. City & Guilds also manages the Engineering Council Examinations on behalf of the Engineering Council.

Copyright

The content of this document is, unless otherwise indicated, © City & Guilds Limited and may not be copied, reproduced or distributed without prior written consent. However, approved City & Guilds centres and candidates studying for City & Guilds qualifications may photocopy this document free of charge and/or include a PDF version of it on centre intranets on the following conditions:

- centre staff may copy the material only for the purpose of teaching candidates working towards a City & Guilds qualification, or for internal administration purposes
- candidates may copy the material only for their own use when working towards a City & Guilds qualification

The *Standard Copying Conditions* (see the City & Guilds website) also apply.

Please note: National Occupational Standards are not © City & Guilds Limited. Please check the conditions upon which they may be copied with the relevant Sector Skills Council.

Published by City & Guilds, a company registered in England and Wales (company number 16513878)

City & Guilds
1 Giltspur Street
London EC1A 9DD
T +44 (0)844 543 0000
F +44 (0)20 7294 2413
www.cityandguilds.com