



Qualifications Structure

Providing Financial Services SVQ Levels 2 and 3

AT LEVEL 2

Candidates must complete a total of 6 units which must include the 3 Core Competence units from Mandatory Group A2, Financial Services Core Competences, **plus** at least two units from any of the Technical Options Groups B2, C2, D2, E2, F2, G2, and H2. One further unit must be selected from any Technical or Cross-sector Group from B2 to K2. Additional units may also be selected for completion from any of the Technical and Cross-sector groups at level 2, but this is not compulsory for the achievement of the Level 2 SVQ.

Mandatory Group A2: Financial Services Core Competences

FSPFCC01	Develop yourself to improve and maintain workplace competence in a financial services environment
FSPFCC02	Plan and organise your work in a financial services environment
FSPFCC04	Ensure you comply with regulations in the financial services environment

Technical Group B2: Bank and Building Society Accounts Options

FSPBA01	Set up bank accounts for customers
FSPBA03	Authorise financial transactions using telecommunications
FSPBA04	Operate a sterling counter till
FSPBA05	Operate a multi-currency till
FSPBA09	Process documentation for bank or building society accounts
FSPIO14	Build effective relationships with clients in a financial services environment
FINRFSGF1	Provide information to customers in a financial services environment
FINPFSGF02	Deal with requests to cancel financial services products or services

Technical Group C2: Customer Payments for Financial Products and Services Options

FSPCP01	Process customers' financial transactions
FSPCP02	Assess and use financial information to reconcile accounts
FSPCP03	Operate credit control procedures
FSPCP04	Prepare and pursue statements of account for financial products and services
FSPCP05	Operate payment by instalments
FINRFSGF1	Provide information to customers in a financial services environment

Technical Group D2: General Insurance Options

FSPGI01	Process straightforward new insurance claims notifications
FSPGI02	Settle straightforward insurance claims
FSPGI03	Deal with straightforward claims for insured losses
FSPGI05	Process straightforward claims for uninsured losses
FSPGI09	Agree settlement of straightforward claims for uninsured losses
FSPGI11	Process straightforward insurance business as an intermediary
FSPGI12	Process straightforward insurance renewals as an intermediary
FSPGI13	Process straightforward mid-term insurance amendments
FSPGI18	Underwrite straightforward new risks
FSPGI19	Process insurance policy documentation
FSPGI20	Process straightforward insurance renewals
FSPGI26	Underwrite straightforward policy alterations
FINRFSGF1	Provide information to customers in a financial services environment

Technical Group E2: Investment Operations Options

FSPIO10	Assess and use financial information to reconcile stakeholder investment accounts
FSPIO12	Process payments relating to stakeholder investment transactions or accounts
FSPIO14	Build effective relationships with clients in a financial services environment
FSPRFSGF01	Provide information to customers in a financial services environment

Technical Group F2: Life, Pensions and Investments Options

FSPLPI01	Process straightforward new life, pensions and investment business quotations
FSPLPI02	Underwrite straightforward alterations to life, pensions and investment contracts
FSPLPI03	Process straightforward requests for payment against life, pensions and investment contracts
FSPLPI07	Process documentation for straightforward life, pensions and investment contracts
FSPIO14	Build effective relationships with clients in a financial services environment
FINRFSGF1	Provide information to customers in a financial services environment

Technical Group G2: Financing and Credit Options

FSPFC09	Process applications for financing and credit facilities
FSPFC10	Process documentation for financing and credit facilities
FSPIO14	Build effective relationships with clients in a financial services environment
FINRFSGF1	Provide information to customers in a financial services environment

**Technical Group H2:
Administration for Mortgage and/or Financial
Planning Intermediaries Options**

FSPAMFPI01	Provide an administrative service for mortgage and/or financial planning clients
FSPAMFPI02	Process instructions for straightforward mortgage and financial planning business
FSPAMFPI03	Contribute to reports for mortgage and/or financial planning clients
FINRFSGF1	Provide information to customers in a financial services environment

**Cross-sector Group J2:
Financial Services Customer Care Options**

CFACSB2	Deliver reliable customer service
CFACSC3	Resolve customer service problems
FINPFSGF02	Deal with customers by telephone in a financial services environment

**Cross-sector Group K2:
Financial Services Sales Process Options**

FSPFSSP01	Promote the organisation's additional financial services products and/or services
CFAMLA3	Develop your personal networks
CFASLS71	Generate and follow-up sales leads
CFASLS73	Sell products or services over the telephone
CFASLS72	Sell products or services face-to-face
CFASLS28	Develop, implement and monitor sales call plans

AT LEVEL 3

Candidates must complete a total of 7 units which must include the **3** Core Competence units from Mandatory Group A3, Financial Services Core Competences, **plus** at least two units from any of the Technical Options Groups B3 – J3. Two further units must be selected from any Technical or Cross-sector Group B3 to M3. Additional units may also be selected for completion from any of the Technical and Cross-sector groups at levels 2 and 3, but this is not compulsory for the achievement of the Level 3 SVQ.

Mandatory Group A3: Financial Services Core Competences

FSPFCC01	Develop yourself to improve and maintain workplace competence in a financial services environment
FSPFCC03	Develop productive working relationships in a financial services environment
FSPFCC04	Ensure you comply with regulations in the financial services environment

Technical Group B3: Bank and Building Society Account Options

FSPBA02	Establish, monitor and maintain bank or building society accounts for customers
FSPBA06	Manage branch counter services
FSPBA07	Supervise the administration of retail financial products and services
FSPBA08	Process the transfer of foreign currency
FSPIO15	Manage the business relationship with clients in a financial services environment
FSPIFP01	Communicate the practice and principles of Islamic banking to customers and colleagues
FSPRFSGF01	Provide information to customers in a financial services environment
FSPIO13	Deal with complaints relating to financial services products and/or services

Technical Group C3: General Insurance Options

FSPGI04	Deal with complex claims for uninsured losses
FSPGI06	Deal with complex claims for insured losses
FSPGI07	Carry out initial assessment and investigate complex insurance claims
FSPGI08	Settle complex insurance claims
FSPGI10	Evaluate insurance products and services
FSPGI14	Process complex new insurance business as an intermediary
FSPGI15	Process complex insurance renewals as an intermediary
FSPGI16	Process complex mid-term insurance amendments
FSPGI17	Evaluate risk and advise other insurance intermediaries
FSPGI21	Underwrite complex new risks
FSPGI22	Prepare insurance policy documentation for complex new business
FSPGI23	Process complex insurance policy alterations
FSPGI24	Process complex insurance renewals
FSPGI25	Review underwriting decisions to accept risks
FSPRFSGF01	Provide information to customers in a financial services environment

Technical Group D3: Investment Operations Options

FSPIO01	Prepare and present investment market information to stakeholders
FSPIO02	Establish and maintain investor details and records
FSPIO03	Reconcile investment market transactions
FSPIO04	Maintain the custody of assets on behalf of the investor
FSPIO05	Arrange the settlement of investment transactions
FSPIO06	Measure the performance of investments
FSPIO07	Establish the price of assets and investments/units
FSPIO08	Supervise investment operations systems and processes
FSPIO09	Process Trades (Global Settlement)
FSPIO11	Process corporate actions on behalf of investors
FSPIO13	Deal with complaints relating to financial services products and/or services
FSPIO15	Manage the business relationship with clients in a financial services environment

Technical Group E3: Financing and Credit Options

FSPFC01	Appraise and authorise applications for personal financing and credit facilities
FSPFC02	Progress personal property financing applications
FSPFC03	Charge and control securities for financing
FSPFC04	Appraise applications for business financing and credit facilities
FSPFC05	Progress and finalise applications for business financing and credit facilities
FSPFC06	Monitor and review financing and credit facilities
FSPFC07	Manage the quality of decisions to offer financing and credit facilities
FSPFC08	Investigate arrears and recover debts
FSPRFSGF01	Provide information to customers in a financial services environment

Technical Group F3 Debt Collections Options

FSPDC01	Obtain and validate credit information to instigate debt collections
FSPDC02	Agree a way forward on repayments with the debtor
FSPDC03	Negotiate repayment solutions to outstanding debts
FSPDC04	Authorise financial transactions using telecommunications
FSPDC05	Handle telephone calls with debtors in an effective way
FSPDC06	Monitor and safeguard debt repayment arrangements
FSPDC07	Administer the debt collections process
FSPDC08	Oversee and maintain the effectiveness of the debt collections process

Technical Group G3: Life, Pensions and Investments Options

FSPLPI04	Authorise requests for payment against life, pensions and investment contracts
FSPLPI05	Authorise the underwriting of life, pensions and investment contracts
FSPLPI06	Manage and develop the customer relationship to enhance the flow of financial services business
FSPLPI08	Process documentation for complex life, pensions and investment contracts
FSPLPI09	Underwrite complex new life, pensions and investment business quotations
FSPLPI10	Underwrite complex alterations to life, pensions and investment contracts
FSPLPI11	Process complex requests for payment against life, pensions and investment contracts
FSPRFSGF01	Provide information to customers in a financial services environment

**Technical Group H3:
Administration for Mortgage and/or Financial
Planning Intermediaries Options**

FSPAMFPI04	Facilitate an administrative service for mortgage and/or financial planning clients
FSPAMFPI05	Process instructions for complex mortgage and/or financial planning business
FSPAMFPI06	Complete reports for mortgage and/or financial planning clients
FSPAMFPI07	Supervise mortgage and/or financial planning administrative systems and processes
FSPRFSGF01	Provide information to customers in a financial services environment

**Technical Group J3
Pension Scheme Administration Options**

PSA1	Receive and process new member records
PSA2	Process pension scheme individual transfers in
PSA3	Process pension scheme contributions and transactions
PSA4	Process applications for pension scheme additional contributions
PSA5	Process pension scheme early leavers notifications
PSA6	Process applications for pension scheme transfers out
PSA7	Quote on defined benefit and defined contribution pension scheme retirement benefits
PSA8	Process defined benefit and defined contribution pension scheme retirement benefits
PSA9	Process pension scheme death benefits
PSA10	Process pension assets on divorce
PSA11	Process pension scheme complaints and disputes
PSA12	Provide information on request from a pension scheme member or member's representative
PSA13	Maintain pension scheme records using updating processes
PSA14	Provide pension scheme information to relevant bodies
FSP P1	Create and Maintain Employee Records
FSP P4	Control Payroll

**Cross-sector Group K3:
Financial Services Customer Care Options**

CFACSB10	Organise the delivery of reliable customer service
CFACSB13	Plan, organise and control customer service operations
FSPFCS01	Provide callers with specialised assistance in a financial services environment
CFACSB11	Improve the customer relationship

**Cross-sector Group L3:
Leadership & Management Options**

CFAM&LDC2	Support individuals learning and development
CFAM&LBA3	Lead your team
CFAM&LEA3	Manage the use of financial resources
CFAM&LDB4	Manage people's performance at work
CFAM&LDA2	Recruit, select and retain people
CFAM&LBA2	Provide leadership in your area of responsibility
CFAM&LBB4	Ensure compliance with legal, regulatory, ethical & social requirements

**Cross-sector Group M3:
Financial Services Sales Process Options**

CFASLS29	Contribute to the development of new products and services
CFASLS24	Sales activity planning
CFASLS53	Develop and deliver a professional sales presentation
FSPFSSP02	Develop and maintain business relations with financial services' introducers
FSPFSSP03	Process financial services sales support administration for agencies