About us
The Chartered Insurance Institute (CII) is a professional body dedicated to building public trust in the insurance and personal finance profession. Over 125,000 members commit to high professional standards and continuing professional development.

We work with businesses to develop bespoke, company-wide solutions that ensure competitive advantage by enhancing employees’ technical and professional competence.

Success in CII qualifications is universally recognised as evidence of knowledge and technical expertise.

Our members are able to drive personal development and maintain their professional standing by adhering to our Code of Ethics and by accessing a range of learning services.

Find out more at: cii.co.uk

Our vision
Our vision is to build public trust across the insurance and personal finance profession by providing relevant learning, insightful leadership and an engaged membership. Driving professional standards is at the heart of everything we do. Ethical conduct and technical competence are supported by our Code of Ethics and qualifications, designed in conjunction with industry practitioners and registered with Ofqual in the Regulated Qualifications Framework.

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Your journey our commitment

We are here to support you and your career development, whether you’re new to the sector or a professional looking to keep ahead of the curve.

Tailor your qualification pathway
The flexibility of our qualifications framework allows you to select units that match the requirements of your current role or future career aspirations. We use a range of assessment methods, all carefully chosen and designed to promote the optimum type of learning for each level and qualification.
Find out more on pages 12-39 and 40-71.

Earn recognition for your prior learning
If you hold a degree or professional qualification in a relevant subject, such as accounting, business, maths or law; you could receive CII credits that count towards completion of a CII qualification. In doing so, you could avoid duplication of learning and achieve your qualification quicker.
Find out more on pages 10-11.

Become a member
Membership supports your professional development and enhances your career potential.
As a member, you can join a sector-specific Society, focusing on the issues that matter most in your sector.
Find out more on pages 8-9.

Earn the mark of professionalism
Once qualified, members are entitled to use the accompanying designation. In order to ensure your expertise remains current, use of designations is dependent on ongoing membership and CPD requirements.
To see the full list of designations available, head to pages 76-77.
Advanced Diploma holders can apply for Chartered status and progress to Fellowship.
Find out more on pages 78-81.
Dedicated to your development

Our members are committed to ongoing professional development and champion the sharing of good practice to improve consumer outcomes.

Standards
Be part of a professional body that’s recognised and respected by employers, regulators and your professional peers. We play a pivotal role within the profession, setting standards for competence and influencing future direction.

Professionalism
Our members are highly respected for their knowledge and expertise. Membership supports your professional development, enhances your career potential and integrates you into a network of like-minded professionals.

Trust
Public trust is at the heart of all that we do. Our Royal Charter ensures we never lose sight of our mission. We help to unite the profession, increasing its credibility with consumers. Together, we drive confidence in the power of professional standards.

Designations
Promote your expertise with pride using internationally recognised designations upon completion of qualifications. You’ll demonstrate your level of knowledge to employers, clients and professional peers, ensuring your commitment to professional development is clear for all to see.
Designations may only be used by members.

Ethical culture
Members commit to high professional standards and adherence to our Code of Ethics. Operating with integrity and fairness increases the credibility and trust in our profession with consumers, policymakers and the government.
cii.co.uk/code

Continuing Professional Development (CPD)
We believe that continued learning and professional development is important to you and your career. That’s why members commit to ongoing learning and development, helping to ensure their knowledge remains up-to-date and relevant. We have created a programme of events and a wealth of online resources to ensure that professional development is at the forefront of your membership.
cii.co.uk/cpd

Extensive member network
A core benefit of your membership is access to an unrivalled network of local hubs throughout the UK, Channel Islands and the Isle of Man. 56 Local Institutes in addition to 26 Personal Finance Society Regional Committees provide you with access to local events and activities that help fulfil your professional expectations and grow your professional network.
Join a community of like-minded professionals

Offering an enhanced member experience, our sector-specific Societies are dedicated to supporting you at every stage of your career, focusing on the issues that matter most in your sector.

Business relevant insights
Guided by an Advisory Board of leading market practitioners, each Society addresses developments salient to your sector through knowledge, insights and good practice guidance.

Societies work closely with market experts to help identify emerging trends, with research and thought leadership providing you with the confidence to make key decisions.

Supporting your career needs
Each Society is committed to supporting your ongoing professional development which means supporting you throughout every stage of your career.

Whilst professional qualifications demonstrate your technical competence, membership provides you with the assets to help you progress.

By providing focused CPD content along with a dedicated programme of events, your Society will offer access to the things that matter most to you, helping you build a strong professional network.

By becoming a member of a Society, you are joining a community of professionals committed to driving the profession forward through technical expertise, ethical behaviour, and a culture of learning and development.

Personal Finance Society
The leading professional body in the UK for the personal finance profession.
thefps.org

Society of Underwriting Professionals
Supporting those involved in evaluating and pricing risk.
socup.org.uk

Society of Insurance Broking
Bespoke to those working within the broking sector.
sib.org.uk

Society of Claims Professionals
Committed to insurance claims professionals.
socp.org.uk

Society of Mortgage Professionals
Dedicated to professionals working in the mortgage market.
smp.org.uk

How to join your Society
New members can select their Society when registering for membership. If you are an existing member, you can join your Society by contacting Customer Service or visiting the Society’s website.
Before studying with us, check whether your previous qualifications from other professional bodies, institutes or universities count towards a CII qualification. It could save repeated learning and reduce your qualification costs.

To find out if you’re eligible, details of the fee payable and to make an application, visit cii.co.uk/prior-learning
Quality assured learning
Formed in consultation with experienced market practitioners and registered with Ofqual in the Regulated Qualifications Framework (RQF)*, our qualifications are quality assured.

Choosing the qualification that’s right for you
Our qualifications range in difficulty to ensure we meet the needs of individuals at different stages in their career. We determine the difficulty of a qualification by its attributed RQF level, the higher the RQF level, the more the qualification demands from the learner.

The level of qualification you obtain can act as an indicator of your understanding of the subject for employers and your wider network to recognise.

RQF levels in context
We have summarised each RQF level descriptor below, along with how each of our qualifications’ content and objectives correspond to that level. This should help you identify those that match your skills and experience as well your career aspirations. For each RQF level, we have signposted qualification equivalents to help you further understand their difficulty. More information on qualification equivalents can be found on the Ofqual website.

The colours assigned to the RQF levels have been applied to their respective qualifications throughout this brochure. You’ll also notice our qualifications are labelled ‘Award’, ‘Certificate’, ‘Diploma’ and ‘Advanced Diploma’ to help you determine their size. The recommended study hours for an Award would be significantly less than that of an Advanced Diploma.

Your Learning Statement
To help you plan your study journey, your personalised Learning Statement will keep a record of your units and credits as you achieve them. It will also explain how they contribute towards further qualifications.

Request your learning statement online: cii.co.uk/learningstatement. Registration is simple and free.

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*RQF: Regulated Qualifications Framework
*CII qualifications are also regulated by Qualification Wales, using the Credit and Qualifications Framework Wales (CQFW). The CQFW level for each qualification mirrors the RQF level.

**RQF levels**

**RQF level 2**
- Level 2 qualifications build a basic understanding of the sector and its key topics that can be applied to common situations.
- Qualifications at this level typically provide an introduction to topics within insurance and personal finance, ideal for those in trainee or junior roles, those new to the sector, or those working in roles that support technical areas of an organisation, such as Human Resources or IT.

**Equivalent qualification level:** GCSE

**RQF level 3**
- Level 3 qualifications develop an understanding of the key principles, processes and products in greater detail that can be applied to practice.
- Qualifications at this level are ideal for those looking to appreciate the fundamental practices of key topics at junior to mid-level roles.
- Level 3 qualifications within personal finance provide licences to practice in areas such as mortgage and equity release advice, and in some oversight roles such as life and pensions office administration.

**Equivalent qualification level:** A-Level

**RQF level 4**
- Level 4 qualifications build a deeper technical and applied understanding of principles, processes and products, enabling analysis of options relevant to specialist areas.
- Qualifications at this level are suited to those who wish to have their technical or specialist applied knowledge and skills recognised through formal qualifications for technical roles.
- Level 4 qualifications within personal finance provide a licence to practice for retail investment advice and advanced professional recognition for mortgage advisers.

**Equivalent qualification level:** First year of undergraduate study

**RQF level 6**
- Level 6 qualifications develop the ability to apply advanced or specialised understanding to complex situations.
- Within the insurance profession, level 6 qualifications are suited to managers of technical functions such as claims, broking or underwriting.
- Within the personal finance profession, level 6 qualifications provide a licence to consolidate and enhance your technical knowledge to use in complex client scenarios where options must be carefully analysed and balanced.

**Equivalent qualification level:** Bachelor’s degree

**RQF level 7**
- Level 7 qualifications develop the ability to use specialised skills, research and analysis to evaluate and propose enhanced ways of working within the sector and in professional practice in situations where there are many interacting factors.
- Qualifications give recognition to professionals who are taking the sector forward through researching and proposing strategies and new ways of working that will bring benefits to the sector and its customers.

**Equivalent qualification level:** Master’s degree

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*Studying with us*

Registration is simple and free.

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12  2020 qualifications

13
Insurance qualifications

RQF level 2
- Award for the Foundation Insurance Test 20
- Award in Motor Insurance 21
- Award in Travel Insurance 22
- Award in Home Insurance 24
- Award in Pet Insurance 25

RQF level 3
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- Certificate in London Market Insurance 31
- Certificate in Insurance 32

RQF level 3 equivalent
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- Award in General Insurance (Hong Kong) 28
- Award in Customer Service in Insurance (non-UK only) 29
- Certificate in Insurance and Financial Services (non-UK only) 30

RQF level 4
- Diploma in Insurance 34

RQF level 6
- Advanced Diploma in Insurance 36

RQF level 7
- Certificate in London Market Insurance Specialisation 38
- Certificate in Insurance Market Specialisation 39
This is the framework for our insurance qualification units. They are grouped according to their difficulty, from level 2 through to level 7. Depending on the qualification you want to achieve, you’ll need to study a number of these units. Some of our qualifications require just one unit while others require several.

Study and assessment key
Assessment methods vary depending on the unit’s level and subject matter. Each unit within the framework has been assigned an icon, to identify the assessment method from the options below.

- Multiple choice question (MCQ) exam
  Study is based on a specified enrolment period, from 01 January–31 December for UK exams, and 01 May–30 April for non-UK exams. MCQ exams are available weekly at UK and selected international online exam centres, or twice-yearly in April and October at international paper-based exam centres. Head to your unit webpage to see if remote invigilation is available for your exam.

- Written exam
  Study is based on a 12-month enrolment period from the date of purchase. Written exams are held twice-yearly in April and October at UK and international exam centres.

- Mixed assessment
  Study is based on an 18-month enrolment period from the date of purchase. Candidates must pass a coursework assignment within the first 6 months and a MCQ exam within 18 months.

- Coursework assignments
  Study is based on a 12-month enrolment period from the date of purchase. Candidates must pass three written assignments, each typically 3,000-5,000 words, on an agreed subject.

- Dissertation
  Study is based on an 18-month enrolment period from the date of purchase. Candidates must submit a dissertation, typically 10,000-15,000 words, on an agreed subject.
### Award for the Foundation Insurance Test

<table>
<thead>
<tr>
<th>2</th>
<th>RQF level</th>
<th>6</th>
<th>CII credits</th>
<th>N/A</th>
<th>Member designation</th>
<th>40 hrs</th>
<th>Recommended study time per unit</th>
</tr>
</thead>
</table>

**Overview**
The Level 2 Award for the Foundation Insurance Test is an introductory-level qualification that helps you develop an understanding of key insurance topics: how the insurance market operates, fundamental risk and insurance principles and procedures, and core personal and commercial insurance products.
The Award is particularly suitable if you’re new to the sector, or in an associated industry or support role where you need to demonstrate a basic understanding of general insurance.

**Completion requirements**
The Award comprises one core unit providing 6 CII credits on successful completion. These credits can be used towards further CII qualifications.

More details and to enrol: cii.co.uk/FIT

### Award in Motor Insurance

<table>
<thead>
<tr>
<th>2</th>
<th>RQF level</th>
<th>N/A</th>
<th>CII credits</th>
<th>N/A</th>
<th>Member designation</th>
<th>20 hrs</th>
<th>Recommended study time per unit</th>
</tr>
</thead>
</table>

**Overview**
The level 2 Award in Motor Insurance is suitable for entry-level staff, anyone working in customer facing roles and those in support roles seeking to build a better understanding of Motor insurance.
The Award gives a broad understanding of Motor Insurance, including the need for cover and its benefits; insurance legal principles and duties; product features; how cover is arranged and provided, and the principles of delivering good customer service.

**Completion requirements**
The Award comprises one core unit: Introduction to Motor Insurance.

More details and to enrol: cii.co.uk/personallines
Award in Travel Insurance

Overview
The level 2 Award in Travel Insurance is suitable for entry-level staff, anyone working in customer-facing roles and those in support roles seeking to build a better understanding of Travel insurance.

The Award gives a broad understanding of Travel Insurance, including the need for cover and its benefits; insurance legal principles and duties; product features; how cover is arranged and provided, and the principles of delivering good customer service.

Completion requirements
The Award comprises one core unit: Introduction to Travel Insurance.

Core
*Completion of three of the four Personal Lines Awards (Award in Travel Insurance, Award in Motor Insurance, Award in Home Insurance, Award in Pet Insurance) contributes 15 CII credits towards the unit requirement of the Certificate in Insurance. More information on the Certificate in Insurance can be found on page 32.

See page 16-18 for all unit assessment methods.

Included within your Enrolment:
- Interactive digital course
- Study text – digital and/or print
- Assessment entry
- Online support including exam guide via RevisionMate

Explore the key legal principles that underpin a contract, such as insurable interest and utmost good faith

More details and to enrol: cii.co.uk/personallines
Award in Home Insurance

Overview
The level 2 Award in Home Insurance is suitable for entry-level staff, anyone working in customer facing roles and those in support roles seeking to build a better understanding of Home insurance.

The Award gives a broad understanding of Home Insurance, including the need for cover and its benefits; insurance legal principles and duties; product features; how cover is arranged and provided, and the principles of delivering good customer service.

Completion requirements
The Award comprises one core unit: Introduction to Home Insurance.

<table>
<thead>
<tr>
<th>Core</th>
<th>RQF level</th>
<th>CII credits</th>
<th>Member designation</th>
<th>Recommended study time per unit</th>
</tr>
</thead>
<tbody>
<tr>
<td>Introduction to home insurance</td>
<td>2</td>
<td>N/A</td>
<td>N/A</td>
<td>20 hrs</td>
</tr>
</tbody>
</table>

* Completion of three of the four Personal Lines Awards (Award in Home Insurance, Award in Travel Insurance, Award in Motor Insurance, Award in Pet Insurance) contributes 15 CII credits towards the unit requirement of the Certificate in Insurance. More information on the Certificate in Insurance can be found on page 32.

See page 16-18 for unit assessment methods.

Included within your Enrolment:
- Interactive digital course
- Study text – digital and/or print
- Assessment entry
- Online support including exam guide via RevisionMate

More details and to enrol: cii.co.uk/personallines

Award in Pet Insurance

Overview
The level 2 Award in Pet Insurance is suitable for entry-level staff, anyone working in customer facing roles and those in support roles seeking to build a better understanding of Pet insurance.

The Award gives a broad understanding of Pet Insurance, including the need for cover and its benefits; insurance legal principles and duties; product features; how cover is arranged and provided, and the principles of delivering good customer service.

Completion requirements
The Award comprises one core unit: Introduction to Pet Insurance.

<table>
<thead>
<tr>
<th>Core</th>
<th>RQF level</th>
<th>CII credits</th>
<th>Member designation</th>
<th>Recommended study time per unit</th>
</tr>
</thead>
<tbody>
<tr>
<td>Introduction to pet insurance</td>
<td>2</td>
<td>N/A</td>
<td>N/A</td>
<td>20 hrs</td>
</tr>
</tbody>
</table>

* Completion of three of the four Personal Lines Awards (Award in Pet Insurance, Award in Travel Insurance, Award in Home Insurance, Award in Motor Insurance) contributes 15 CII credits towards the unit requirement of the Certificate in Insurance. More information on the Certificate in Insurance can be found on page 32.

See page 16-18 for unit assessment methods.

Included within your Enrolment:
- Interactive digital course
- Study text – digital and/or print
- Assessment entry
- Online support including exam guide via RevisionMate

More details and to enrol: cii.co.uk/personallines
### Award in London Market Insurance

<table>
<thead>
<tr>
<th>RQF level</th>
<th>CII credits</th>
<th>Member designation</th>
<th>Recommended study time per unit</th>
</tr>
</thead>
<tbody>
<tr>
<td>3</td>
<td>25</td>
<td>N/A</td>
<td>40-60 hrs</td>
</tr>
</tbody>
</table>

**Overview**

The level 3 Award is a specialist qualification for those working in or with the London Market. It helps you gain a broad understanding of the insurance process and practice across the London Market.

Designed in consultation with London Market practitioners, the Award in London Market Insurance provides an essential grounding for new entrants to the profession, or those who have dealings with it.

**Completion requirements**

The Award comprises two core units providing a total of 25 CII credits on successful completion. These credits can be used towards further CII qualifications.

See pages 16-18 for individual unit assessment method.

**Included within your Enrolment:**
- Study text – print and/or digital
- Assessment entry
- Online support including exam guide via RevisionMate

More details and to enrol: cii.co.uk/ALMI

### Award in General Insurance

**Non-UK only**

<table>
<thead>
<tr>
<th>RQF level (equivalent to level 3)</th>
<th>CII credits</th>
<th>Member designation</th>
<th>Recommended study time per unit</th>
</tr>
</thead>
<tbody>
<tr>
<td>N/A</td>
<td>15</td>
<td>CII (Award)</td>
<td>50 hrs</td>
</tr>
</tbody>
</table>

**Overview**

The Award in General Insurance is an introductory-level qualification that helps develop your understanding of insurance principles, procedures and products.

It's particularly suitable if you're a non-UK insurance practitioner at the beginning of your career or seeking to build on existing knowledge through formal study. It also meets the operating standards set by the local regulator.

Also available in Arabic, (W02) and in Simplified Chinese, (WM1).

**Completion requirements**

The Award comprises one core unit providing 15 CII credits on successful completion. These credits can be used towards further CII qualifications.

See pages 16-18 for individual unit assessment method.

**Included within your Enrolment:**
- Study text – print and/or digital
- Assessment entry
- Online support including exam guide via RevisionMate

More details and to enrol: cii.co.uk/award-general-insurance
### Award in General Insurance (Hong Kong)

<table>
<thead>
<tr>
<th>N/A</th>
<th>15</th>
<th>CII (Award)</th>
<th>50 hrs</th>
</tr>
</thead>
<tbody>
<tr>
<td>RGF level (equivalent to level 3)</td>
<td>CII credits</td>
<td>Member designation</td>
<td>Recommended study time per unit</td>
</tr>
</tbody>
</table>

**Overview**

The Award in General Insurance (Hong Kong) is similar to the Award in General Insurance (non-UK) but is specific to the Hong Kong regulatory environment. The Award is an introductory-level qualification that helps develop your knowledge and understanding of insurance principles, local procedures and products.

It is suitable for new entrants to the profession or insurance practitioners at the beginning of their career seeking to build on existing knowledge through formal study. It also meets the operating standards set by the Hong Kong regulator.

**Completion requirements**

The Award comprises one core unit providing 15 CII credits on successful completion. These credits can be used towards further CII qualifications.

#### Core

- **Award in general insurance (Hong Kong)**
  - 15 credits

**Included within your Enrolment:**

- Study text – digital only
- Assessment entry
- Online support including exam guide via RevisionMate

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### Award in Customer Service in Insurance (Non-UK only)

<table>
<thead>
<tr>
<th>N/A</th>
<th>15</th>
<th>CII (Award)</th>
<th>50 hrs</th>
</tr>
</thead>
<tbody>
<tr>
<td>RGF level (equivalent to level 3)</td>
<td>CII credits</td>
<td>Member designation</td>
<td>Recommended study time per unit</td>
</tr>
</tbody>
</table>

**Overview**

The Award in Customer Service Insurance (non-UK) provides an essential introduction to the customer service function specific to insurance companies, intermediaries and providers. It helps build knowledge and understanding of the key processes and requirements related to good customer service.

Designed for those working in non-UK customer-facing roles, the Award is suitable for sales support and claims settlement staff, as well as new entrants to the profession.

**Completion requirements**

The Award comprises one core unit providing 15 CII credits on successful completion. These credits can be used towards further CII qualifications.

#### Core

- **Award in customer service in insurance**
  - 15 credits

**Included within your Enrolment:**

- Study text – print and/or digital
- Assessment entry
- Online support including exam guide via RevisionMate

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More details and to enrol: [cii.co.uk/award-general-insurance(hong-kong)](http://cii.co.uk/award-general-insurance(hong-kong))

More details and to enrol: [cii.co.uk/award-customer-service](http://cii.co.uk/award-customer-service)
Certificate in Insurance and Financial Services
Non-UK only

Overview
The Certificate offers a dedicated pathway for candidates outside the UK to achieve the Certificate in Insurance and Financial Services. It is ideal for those who provide financial advice, act as an insurance agent, or aspire to either of these roles.

In successfully completing three units you will gain valuable knowledge relevant to your role and qualify for the Certificate.

Completion requirements
The Certificate comprises three core units, providing 40-45 CII credits on successful completion. You must select three units from the following options: AWF or AWB (not both), W01 or WH1 (not both), AWP, or W04.

Credits achieved can be used towards further CII qualifications.

<table>
<thead>
<tr>
<th>(AWF) Award in financial planning</th>
<th>(AWB) Award in bancassurance</th>
</tr>
</thead>
<tbody>
<tr>
<td>15 credits</td>
<td>15 credits</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>(W01) Award in general insurance</th>
<th>(WH1) Award in general insurance (Hong Kong)</th>
</tr>
</thead>
<tbody>
<tr>
<td>15 credits</td>
<td>15 credits</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>(AWP) Award in investment planning</th>
<th>(W04) Award in customer service in insurance</th>
</tr>
</thead>
<tbody>
<tr>
<td>10 credits</td>
<td>15 credits</td>
</tr>
</tbody>
</table>

Included within your Enrolment:
- Study text - print and/or digital (digital only for WH1)
- Assessment entry
- Online support including exam guide via RevisionMate

See pages 16-18 for individual unit assessment method.

Certificate in London Market Insurance

Overview
Building on introductory knowledge gained from the Award in London Market Insurance, the Level 3 Certificate in London Market Insurance requires one further unit (LM3) London market underwriting principles.

The Certificate develops knowledge and understanding of the underwriting disciplines within the London Market, and of the key elements of the cycle. It also explores the opportunities and challenges posed by using different distribution channels such as delegated underwriting.

It is a specialised qualification for those working in or conducting business through the London Market. It is particularly suitable for employees of Lloyd’s syndicates, brokers, managing agents or members’ agents in administrative, operational or other support roles, for example, business development managers, underwriting technicians or business analysts.

Completion requirements
The Certificate comprises three core units providing 40 CII credits on successful completion. These credits can be used towards further CII qualifications.

<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
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</thead>
<tbody>
<tr>
<td>10 credits</td>
<td>15 credits</td>
<td>15 credits</td>
</tr>
</tbody>
</table>

Included within your Enrolment:
- Study text – print and/or digital
- Assessment entry
- Online support including exam guide via RevisionMate

See pages 16-18 for individual unit assessment method.

More details and to enrol: cii.co.uk/cert-lmi
Certificate in Insurance

Overview
The Level 3 Certificate in Insurance is a core qualification for insurance staff working across all sectors of the industry. It provides a fundamental grounding of the key insurance principles, disciplines, products and markets, including the regulatory environment, key disciplines of underwriting and claims, in addition to popular products such as motor, household, healthcare and packaged commercial insurances.

The Certificate develops the knowledge and confidence needed as you begin to specialise your studies according to your ambitions and career requirements.

Completion requirements
The Certificate requires a minimum of 40 CII credits for successful completion. Candidates must study one core unit: IF1, or both LM1 and LM2. It is recommended that non-UK candidates study W01 as their core unit.

Core
The remaining credits can come from any units within the insurance qualifications framework. However, please note the following restrictions:

- Due to the extent of syllabus overlap between IF1, LM1 and W01, achieving more than one of these units will receive only one award of credits.
- If you choose (LM1 + LM2) as your core unit, studying LM3 to satisfy the remaining credit requirement will achieve the Certificate in London Market Insurance, instead of the Certificate in Insurance.

We recommend that you sit the required core unit(s) first as these provide foundation knowledge upon which the others build. Credits achieved via the Certificate can be used towards further CII qualifications.

See pages 16-18 for individual unit assessment method.

Included within your Enrolment:
- Study text – print and/or digital
- Assessment entry
- Online support including exam guide via RevisionMate

More details and to enrol: cii.co.uk/cert-insurance

Discover how to identify, classify, value and manage risk and how risk management has developed as a discipline within an organisation’s structure and culture
Overview
The Level 4 Diploma in Insurance is a technical and supervisory qualification appropriate for insurance staff working across all sectors of the profession. It provides a firm understanding of insurance fundamentals and develops advanced technical knowledge.

We recommend that candidates complete the Certificate in Insurance or equivalent, prior to studying for the Diploma.

Completion requirements
The Diploma requires a minimum of 120 CII credits for successful completion, with at least 90 credits at Diploma level or above.

Contributing towards the 90 credits at Diploma level or above requirement, candidates must study unit M05, along with either M92 or 530, providing 50-55 Diploma level or above credits. A further 40-45 credits at Diploma level or above must be achieved to meet the requirement of 90, along with a further 30 credits for full qualification completion. These remaining 30 credits can come from any units within the insurance framework.

<table>
<thead>
<tr>
<th>Core</th>
</tr>
</thead>
<tbody>
<tr>
<td><em>M05: Insurance, business and finance</em></td>
</tr>
<tr>
<td>25 credits</td>
</tr>
<tr>
<td><em>OR</em></td>
</tr>
<tr>
<td><em>S30: Economics and business</em></td>
</tr>
<tr>
<td>30 credits</td>
</tr>
<tr>
<td><em>AND</em></td>
</tr>
<tr>
<td><em>M05: Insurance Law</em></td>
</tr>
<tr>
<td>25 credits</td>
</tr>
</tbody>
</table>

To see which units are regarded as Diploma level, along with individual unit assessment methods, see pages 16-18.

Credits achieved via the Diploma can be used towards further CII qualifications.

Included within your Enrolment:
- Study text - print and/or digital
- Assessment entry
- Online support including exam guide via RevisionMate. (no exam guide available for 530).
- Specimen coursework assignment

More details and to enrol: cii.co.uk/dip-insurance

Understand the vital role reinsurance contract wording plays in an increasingly complex financial world
Advanced Diploma in Insurance

Overview
The Level 6 Advanced Diploma in Insurance provides you with enhanced understanding of insurance practice, and is a comprehensive assessment of market knowledge and understanding. On completion, the Advanced Diploma demonstrates your advanced technical awareness and critical understanding of the sector to your colleagues, customers and regulators. Widely recognised, it stands as evidence of your commitment and ability, and can be your passport to a successful career. Holders of the Advanced Diploma can apply for Chartered status and progress to Fellowship.

We recommend you complete the Diploma in Insurance or equivalent, prior to studying for the Advanced Diploma.

Completion requirements
The Advanced Diploma requires a minimum of 290 CII credits for successful completion, with at least 150 at Advanced Diploma level, and a further 55 at Diploma level or above. The remaining 85 credits can come from any units within the insurance framework.

Contributing towards these requirements, candidates must achieve unit M05, one unit from M92 or 530, and one unit from 820, 930, or 960:

The remaining credits can come from any units within the insurance framework. To see which units are regarded as Advanced Diploma, or diploma level and what your options are, along with individual unit assessment methods, see pages 16-18.

Credits achieved via the Advanced Diploma can be used towards further CII qualifications.

Core

The remaining credits can come from any units within the insurance framework. To see which units are regarded as Advanced Diploma, or diploma level and what your options are, along with individual unit assessment methods, see pages 16-18.

Credits achieved via the Advanced Diploma can be used towards further CII qualifications.

Included within your Enrolment:
- Study text – print and ebook
- Assessment entry
- Specimen coursework assignment

More details and to enrol: cii.co.uk/adip-insurance
Certificate in London Market Insurance Specialisation

Overview
Developed in partnership with the Lloyd’s Market Association (LMA), the Level 7 Certificate in London Market Insurance Specialisation improves practitioners’ research skills within a concentrated field of study appropriate to the London Market.

The Certificate will enable you to create learning that matches precisely to your role and career aspirations and gain an in-depth understanding of a chosen topic through research and analysis. The qualification requires study at a level equivalent to Master’s degree learning, and as such we would advise candidates not to underestimate the demands associated with its completion. Candidates should fully familiarise themselves with the available dissertation guidelines and instructions in advance of entry.

Completion requirements
The Certificate comprises one core unit, assessed by dissertation on an agreed topic, providing 50 CII credits on successful completion.

Included within your Enrolment:
• Exemplar research proposal and dissertation
• Support from a dissertation guide - an expert practitioner from the sector
• Online support via RevisionMate, including guidance on research and dissertation writing

See pages 16-18 for individual unit assessment method.

Certificate in Insurance Market Specialisation

Overview
Similar in structure to the Certificate in London Market Insurance Specialisation, the Certificate in Insurance Market Specialisation has been developed for the broader insurance community. It is ideal for insurance market practitioners who wish to develop their research skills and apply them to a specific subject area.

The Certificate will enable you to create learning that matches precisely to your role and career aspirations and gain an in-depth understanding of a chosen topic through research and analysis. The qualification requires study at a level equivalent to Master’s degree learning, and as such we would advise candidates not to underestimate the demands associated with its completion. Candidates should fully familiarise themselves with the available dissertation guidelines and instructions in advance of entry.

Completion requirements
The Certificate comprises one core unit, assessed by dissertation on an agreed topic, providing 50 CII credits on successful completion.

Included within your Enrolment:
• Exemplar research proposal and dissertation
• Support from a dissertation guide - an expert practitioner from the sector
• Online support via RevisionMate, including guidance on research and dissertation writing

See pages 16-18 for individual unit assessment method.
Personal Finance qualifications

Financial Planning:
- RQF level 3
  - Award in Long Term Care Insurance
- RQF level 3 equivalent:
  - Award in Financial Planning (non-UK only)
  - Award in Bancassurance (non-UK only)
  - Certificate in Insurance and Financial Services (non-UK only)
- RQF level 4
  - Certificate in Paraplanning
  - Certificate in Pension Transfer Advice
  - Diploma in Regulated Financial Planning
  - Regulated Retail Investment Adviser Re-evaluation
- RQF level 6
  - Advanced Diploma in Financial Planning

Investments and Securities
- RQF level 3
  - Certificate in Investment Operations
- RQF level 3 equivalent:
  - Award in Investment Planning (non-UK only)
- RQF level 4
  - Certificate in Securities Advice and Dealing
  - Certificate in Discretionary Investment Management

Life and Pensions
- RQF level 2
  - Award in Life and Pensions Foundations

Mortgages and Equity Release
- RQF level 3
  - Certificate in Mortgage Advice
  - Certificate in Equity Release
- RQF level 4
  - Certificate in Advanced Mortgage Advice
This is the framework for our personal finance qualification units. They are grouped according to their difficulty, from level 2 through to level 6. Depending on the qualification you want to achieve, you'll need to study a number of these units. Some of our qualifications require just one unit, while others require several.

### Personal Finance qualifications

#### Unit framework

<table>
<thead>
<tr>
<th>RQF level: 2</th>
<th>CII credit level: Award</th>
</tr>
</thead>
<tbody>
<tr>
<td>(LF1) Life and pensions foundations</td>
<td>5 credits</td>
</tr>
<tr>
<td>(CFP) UK financial services, regulation and ethics</td>
<td>15 credits</td>
</tr>
<tr>
<td>(CPF) Mortgage advice</td>
<td>20 credits</td>
</tr>
<tr>
<td>(CPF) Long term care insurance</td>
<td>15 credits</td>
</tr>
<tr>
<td>(ER1) Equity release</td>
<td>15 credits</td>
</tr>
<tr>
<td>(FA1) Life office administration</td>
<td>10 credits</td>
</tr>
<tr>
<td>(FA2) Pensions administration</td>
<td>10 credits</td>
</tr>
<tr>
<td>(FA5) Individual savings account administration</td>
<td>10 credits</td>
</tr>
<tr>
<td>(GR1) Group risk</td>
<td>10 credits</td>
</tr>
<tr>
<td>(LPF) Life and pensions customer operations</td>
<td>10 credits</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>RQF level: 3</th>
<th>CII credit level: Certificate</th>
</tr>
</thead>
<tbody>
<tr>
<td>(LP1) Financial services products and solutions</td>
<td>20 credits</td>
</tr>
<tr>
<td>(LP2) Life and pensions principles and practices</td>
<td>10 credits</td>
</tr>
<tr>
<td>(RS1) Financial protection</td>
<td>10 credits</td>
</tr>
<tr>
<td>(J01) Wrap and platform services</td>
<td>20 credits</td>
</tr>
<tr>
<td>(BS1) Financial planning practice</td>
<td>30 credits</td>
</tr>
<tr>
<td>(J02) Paraplanning</td>
<td>30 credits</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>RQF level: 4</th>
<th>CII credit level: Diploma</th>
</tr>
</thead>
<tbody>
<tr>
<td>(J03) Discretionary investment management</td>
<td>20 credits</td>
</tr>
<tr>
<td>(J02) Securities advice and dealing</td>
<td>20 credits</td>
</tr>
<tr>
<td>(J05) Pension income options</td>
<td>20 credits</td>
</tr>
<tr>
<td>(RS2) Investment principles and risk</td>
<td>20 credits</td>
</tr>
<tr>
<td>(J06) Financial services, regulation and ethics</td>
<td>20 credits</td>
</tr>
<tr>
<td>(J07) Supervision in a regulated environment</td>
<td>20 credits</td>
</tr>
<tr>
<td>(RS3) Personal taxation</td>
<td>10 credits</td>
</tr>
<tr>
<td>(J09) Paraplanning</td>
<td>30 credits</td>
</tr>
<tr>
<td>(J08) Financial planning</td>
<td>30 credits</td>
</tr>
<tr>
<td>(J10) Advanced mortgage advice</td>
<td>15 credits</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>RQF level: 6</th>
<th>CII credit level: Advanced Diploma</th>
</tr>
</thead>
<tbody>
<tr>
<td>(AF1) Personal tax and trust planning</td>
<td>50 credits</td>
</tr>
<tr>
<td>(AF2) Business financial planning</td>
<td>50 credits</td>
</tr>
<tr>
<td>(AF3) Financial planning process</td>
<td>50 credits</td>
</tr>
<tr>
<td>(AF4) Investment planning</td>
<td>50 credits</td>
</tr>
<tr>
<td>(AF5) Financial planning</td>
<td>50 credits</td>
</tr>
<tr>
<td>(AF5) Financial planning process</td>
<td>50 credits</td>
</tr>
<tr>
<td>(AF6) Senior management and supervision</td>
<td>20 credits</td>
</tr>
<tr>
<td>(AF7) Pension transfers</td>
<td>20 credits</td>
</tr>
<tr>
<td>(AF8) Senior management</td>
<td>20 credits</td>
</tr>
<tr>
<td>(AF9) Retirement income planning</td>
<td>50 credits</td>
</tr>
</tbody>
</table>

**Notes**
1. Available to non-UK candidates only
2. Unit AWF is also available in Arabic, (AWA) and in Indian, (AWI)
3. Unit J1 will be withdrawn in April 2020.

### Study and assessment key

Assessment methods vary depending on the unit's level and subject matter. Each unit within the framework has been assigned an icon to identify the assessment method from the options below.

- **Multiple choice question (MCQ) exam**
  - Study is based on a specified enrollment period, from (0) September–30 August. MCQ exams are available weekly at UK and selected international online exam centres, or twice-yearly in April and October at international paper-based exam centres. Head to your unit webpage to see if remote invigilation is available for your exam.

- **Written exam**
  - Study is based on a 12-month enrollment period from the date of purchase. Written exams are held twice yearly in April and October at UK and international exam centres.

- **Coursework assignments**
  - Study is based on a 12-month enrollment period from the date of purchase. Candidates must pass three written assignments, each typically 2,000-3,000 words.
Financial Planning

Award in Financial Planning
Non-UK only

Overview
The Award in Financial Planning provides foundation knowledge in the core financial and life assurance products. You’ll learn what constitutes professional practice and ethical behaviour.

The Award is suitable for anyone working outside the UK in the insurance and financial services sector. This qualification can only be awarded to non-UK residents.

Also available in Arabic, (AWA) Award in financial planning.

Completion requirements
The Award comprises one core unit, providing 15 CII credits on successful completion. These credits can be used towards further CII qualifications.

Included within your Enrolment:
- Study text – print and/or digital
- Assessment entry
- Online support including exam guide via RevisionMate

More details and to enrol: cii.co.uk/award-financial-planning

N/A 15 CII (Award) 60 hrs
RQF level (equivalent to level 3)
CII credits Member designation Recommended study time per unit

Award in Bancassurance
Non-UK only

Overview
Designed for financial advisers and insurance agents working outside the UK in the banking sector, the Award in Bancassurance provides foundation knowledge in core financial, life assurance and insurance products. You’ll also learn what constitutes professional practice and ethical behaviour.

The Award is suitable for anyone working outside the UK in the insurance and financial services sector.

Completion requirements
The Award comprises one core unit, providing 15 CII credits on successful completion. These credits can be used towards further CII qualifications.

Included within your Enrolment:
- Study text – print and/or digital
- Assessment entry
- Online support including exam guide via RevisionMate

More details and to enrol: cii.co.uk/award-bancassurance

N/A 15 CII (Award) 60 hrs
RQF level (equivalent to level 3)
CII credits Member designation Recommended study time per unit

15 credits
### Award in Long Term Care Insurance

**Overview**
The Level 3 Award in Long Term Care Insurance develops knowledge and understanding of long term care cover, including legal, taxation and regulatory issues and the responsibilities of local authorities. When held with the Diploma in Financial Planning or the Diploma in Regulated Financial Planning, it meets the FCA’s qualification requirements for advising on long term care products and retirement advice.

**Completion requirements**
The Award comprises one core unit, providing 15 CII credits on successful completion. These credits can be used towards further CII qualifications.

<table>
<thead>
<tr>
<th>RQF level</th>
<th>CII credits</th>
<th>Member designation</th>
<th>Recommended study time per unit</th>
</tr>
</thead>
<tbody>
<tr>
<td>3</td>
<td>15</td>
<td>N/A</td>
<td>70 hrs</td>
</tr>
</tbody>
</table>

**Included within your Enrolment:**
- Study text - print and/or digital
- Assessment entry
- Online support including exam guide via RevisionMate

See pages 42-44 for individual unit assessment method.

More details and to enrol: cii.co.uk/award-longtermcare

### Certificate in Insurance and Financial Services

**Non-UK only**

**Overview**
The Certificate offers a dedicated pathway for candidates outside the UK to achieve the Certificate in Insurance and Financial Services. It is ideal for those who provide financial advice, act as an insurance agent, or aspire to either of these roles.

In completing the Certificate you will gain valuable knowledge relevant to your career.

**Completion requirements**
The Certificate comprises three core units, providing 40-45 CII credits on successful completion. You must select three units from the following options: AWF or AWB (not both), W01 or WH1 (not both), AWP, or W04.

Credits achieved via the Certificate can be used towards further CII qualifications.

<table>
<thead>
<tr>
<th>RQF level (equivalent to level 3)</th>
<th>CII credits</th>
<th>Member designation</th>
<th>Recommended study time per unit</th>
</tr>
</thead>
<tbody>
<tr>
<td>N/A</td>
<td>40-45</td>
<td>CertCII</td>
<td>50-60 hrs</td>
</tr>
</tbody>
</table>

**Included within your Enrolment:**
- Study text - print and/or digital (digital only for WH1)
- Assessment entry
- Online support including exam guide via RevisionMate

See pages 42-44 for individual unit assessment method.

More details and to enrol: cii.co.uk/cert-ins-fs
Overview
The Level 4 Certificate in Paraplanning develops core technical knowledge in a number of key advisory areas, and helps you gain specialist report writing skills that improve your ability to provide sound professional advice.

It is ideal for senior and mid-level paraplanners looking to further their knowledge or those aspiring to the role, including new entrants, graduates and anyone looking for an entry route into financial planning.

Completion requirements
The Certificate comprises four core units providing 75-80 CII credits on successful completion. These credits can be used towards further CII qualifications.

Certificate in Paraplanning
Financial Planning

<table>
<thead>
<tr>
<th>RQF level</th>
<th>CII credits</th>
<th>CertPFS (Paraplanning)</th>
<th>Member designation</th>
<th>Recommended study time per unit</th>
</tr>
</thead>
<tbody>
<tr>
<td>4</td>
<td>75-80</td>
<td>50-100 hrs</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

More details and to enrol: cii.co.uk/cert-paraplanning
Certificate in Pension Transfer Advice

Overview
The Certificate in Pension Transfer Advice provides the in-depth knowledge and practical skills needed by anyone seeking to advise on the transfer of safeguarded benefits, an increasingly important part of the advice process following the Government’s pension reforms.

The Certificate in Pension Transfer Advice is suitable for retail investment advisers and non-advisers alike seeking to undertake pension transfer work and become pension transfer specialists. It is ideal for retail investment advisers, paraplanners, technical consultants and those in financial planning support roles wanting to update their knowledge in this area.

FCA announcement
The Certificate will satisfy FCA requirements to be a pension transfer specialist until September 2020. After September 2020 pension transfer specialists will be required to hold the full qualification for retail investment advice. Those holding only the Certificate in Pension Transfer Advice may need to undertake further study. If you think you will be affected by this change or to find more information, head to the Certificate in Pension Transfer Advice webpage: cii.co.uk/cert-pensiontransfers

Completion requirements
The Certificate comprises four core units, providing 70 CII credits on successful completion. These credits can be used towards further CII qualifications.

<table>
<thead>
<tr>
<th>Core</th>
<th>20 credits</th>
<th>20 credits</th>
<th>10 credits</th>
</tr>
</thead>
<tbody>
<tr>
<td>(AF7) Pension transfers</td>
<td>(R02) Investment principles and risk</td>
<td>(R04) Pensions and retirement planning</td>
<td></td>
</tr>
</tbody>
</table>

See pages 42-44 for individual unit assessment method.

Included within your Enrolment:
- Study text – print and/or digital
- Assessment entry
- Online support including exam guide via RevisionMate

More details and to enrol: cii.co.uk/cert-pensiontransfers

Diploma in Regulated Financial Planning

Overview
The Level 4 Diploma in Regulated Financial Planning meets the FCA’s qualification requirements for anyone advising on retail investment products. It helps develop core technical knowledge and financial planning capabilities.

The Diploma in Regulated Financial Planning is appropriate for paraplanners, technical consultants, and those in financial planning support roles. It is particularly suitable for anyone seeking to give retail investment advice.

Completion requirements
The Diploma comprises six core units, providing 100 CII credits on successful completion. These credits can be used towards further CII qualifications.

See pages 42-44 for individual unit assessment method.

Regulated Retail Investment Adviser Re-evaluation
The FCA has collaborated with the CII to form a re-evaluation test of the knowledge required for practising retail investment advisers. Identifying areas of strength and weakness, the re-evaluation is a great way to demonstrate that your technical knowledge and application is up-to-date. The test contains 100 questions based on Diploma units R01-R05.

Successfully passing the re-evaluation counts as 35 CPD hours when supported by an identified learning need and a reflective statement.

More information can be found online: cii.co.uk/RAR

Included within your Enrolment:
- Study text – print and/or digital
- Assessment entry
- Online support including exam guide via RevisionMate

More details and to enrol: cii.co.uk/dip-rfp
Overview

The Level 4 Diploma in Financial Planning develops core technical understanding across a broad range of key financial planning areas. It meets the FCA’s qualification requirements for advising on retail investment products, subject to additional gap fill. For more information, visit cii.co.uk/gapfill

The Diploma is suitable for paraplanners and technical consultants, and those in roles supporting financial planning processes.

To complete the Diploma in Financial Planning you must already hold one of the following CII qualifications, or equivalent: Certificate in Financial Services, Certificate in Regulated Financial Services Operations, or the withdrawn Certificate in Financial Planning.

Completion requirements

The Diploma in Financial Planning comprises option units from across the Personal Finance qualifications framework. A minimum of 140 CII credits must be obtained for successful completion. These credits can be used towards further CII qualifications.

At least 80 credits must be at Diploma level, this includes the nine units listed below, and the six units listed within the Diploma in Regulated Financial Planning. One Advanced Diploma in Financial Planning unit can count towards this requirement.

The remaining credits can come from any units within the Personal Finance qualifications framework, subject to a maximum of 30 Advanced Diploma credits.

See pages 18-19 to discover which units provide Advanced Diploma level credits.

*Please note: Unit J11 will be withdrawn in April 2020. The last opportunity to pass the exam is the April 2020 exam sitting.

Included within your Enrolment:

• Study text – print and/or digital
• Assessment entry
• Online support including exam guide via RevisionMate

More details and to enrol: cii.co.uk/dip-financialplanning

Understand the various investment products available in the marketplace to meet the unique needs of every individual.
Overview

The Level 6 Advanced Diploma in Financial Planning builds on existing skills and knowledge, enabling advisers to develop specialist planning capabilities and offer a sophisticated and comprehensive approach to financial management.

To complete the Advanced Diploma, you must already hold one of the following CII qualifications: Diploma in Regulated Financial Planning, Diploma in Financial Planning.

Holders of the Advanced Diploma in Financial Planning are eligible to apply for Chartered status. See page 78 for more information.

Completion requirements

The Advanced Diploma comprises one core unit and several option units from across the Personal Finance qualifications framework. A minimum of 290 CII credits must be obtained for successful completion.

At least 120 credits must come from the Advanced Diploma units listed below, AF5 being a compulsory unit. A further 40 credits must be at Diploma level or above. The remaining credits can come from any units across the Personal Financial qualifications framework.

See pages 42-44 to discover which units provide Advanced Diploma and Diploma level credits.

### Core

<table>
<thead>
<tr>
<th>Core Unit</th>
<th>Credits</th>
</tr>
</thead>
<tbody>
<tr>
<td>(AF5) Financial planning process</td>
<td>30</td>
</tr>
</tbody>
</table>

### Option units

<table>
<thead>
<tr>
<th>Option Unit</th>
<th>Credits</th>
</tr>
</thead>
<tbody>
<tr>
<td>(AF1) Personal tax and trust planning</td>
<td>30</td>
</tr>
<tr>
<td>(AF2) Business financial planning</td>
<td>30</td>
</tr>
<tr>
<td>(AF4) Investment planning</td>
<td>30</td>
</tr>
<tr>
<td>(AF6) Senior management and supervision</td>
<td>30</td>
</tr>
<tr>
<td>(AF7) Pension transfers</td>
<td>20</td>
</tr>
<tr>
<td>(AF8) Retirement income planning</td>
<td>30</td>
</tr>
</tbody>
</table>

Included within your Enrolment:

- Study text – print and/or digital (not available for AF5)
- Assessment entry
- Online support including exam guide via RevisionMate (no exam guide for AF6 or AF8 as they are coursework units)
- Specimen coursework assignment for AF6 and AF8

More details and to enrol: cii.co.uk/adip-financialplanning
**Award in Investment Planning**

**Non-UK only**

<table>
<thead>
<tr>
<th>N/A</th>
<th>10</th>
<th>CII (Award)</th>
<th>60 hrs</th>
</tr>
</thead>
<tbody>
<tr>
<td>RQF level (equivalent to level 3)</td>
<td>CII credits</td>
<td>Member designation</td>
<td>Recommended study time per unit</td>
</tr>
</tbody>
</table>

**Overview**

The Award in Investment Planning helps you to develop and demonstrate your knowledge of investment products. You'll learn what constitutes professional practice and ethical behaviour.

The Award is suitable for experienced non-UK Financial Advisers and Insurance Agents advising on, or aspiring to advise on, investment planning.

This qualification can only be awarded to non-UK residents.

**Completion requirements**

The Award comprises one core unit, providing 10 CII credits on successful completion.

- **Award in Investment Planning**
  - 10 credits

See pages 42-44 for individual unit assessment method.

More details and to enrol: cii.co.uk/award-investment-planning

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**Certificate in Investment Operations**

<table>
<thead>
<tr>
<th>3</th>
<th>25-30</th>
<th>N/A</th>
<th>60-70 hrs</th>
</tr>
</thead>
<tbody>
<tr>
<td>RQF level</td>
<td>CII credits</td>
<td>Member designation</td>
<td>Recommended study time per unit</td>
</tr>
</tbody>
</table>

**Overview**

The level 3 Certificate in Investment Operations is an introductory qualification that helps you gain the essential knowledge and skills you'll need if you work with investments in an operational role. You'll develop a general understanding of financial services, and gain practical insight into the area of investment operations you choose.

It is ideal for candidates working in a range of administrative and operational roles, such as those working in collective investment scheme administration, individual saving account administration and investment client servicing.

Importantly, the Certificate also satisfies the FCA qualification requirements for overseers of certain investment operations functions.

**Completion requirements**

The Certificate comprises two core units, providing 25-30 CII credits on successful completion. These credits can be used towards further CII qualifications.

- **Financial services, regulation and ethics**
  - 20 credits

- **UK financial services, regulation and ethics**
  - 15 credits

- **Individual savings accounts administration**
  - 10 credits

See pages 42-44 for individual unit assessment method.

**Included within your Enrolment:**

- Study text – print and/or digital
- Assessment entry
- Online support including exam guide via RevisionMate

More details and to enrol: cii.co.uk/cert-investmentoperations

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Investments and securities

Certificate in Securities Advice and Dealing

Overview
The Level 4 Certificate in Securities Advice and Dealing satisfies the FCA’s qualification requirements for anyone advising on or dealing in securities. Candidates will develop in-depth knowledge of investments and securities products, the UK taxation system and considerations for appropriate investment recommendations. The Certificate is ideal for anyone seeking to advise or deal in securities and anyone working in related support roles looking to develop knowledge of the market.

Diploma in Financial Planning holders should note that passing unit J12 satisfies the FCA’s qualification requirements for advising on and dealing in securities.

Completion requirements
The Certificate comprises four core units, providing 70 CII credits on successful completion. These credits can be used towards further CII qualifications.

<table>
<thead>
<tr>
<th>Unit (J12)</th>
<th>Core</th>
<th>Security advice and dealing</th>
<th>20 credits</th>
</tr>
</thead>
<tbody>
<tr>
<td>(R01)</td>
<td></td>
<td>Financial services, regulation and ethics</td>
<td>20 credits</td>
</tr>
<tr>
<td>(R02)</td>
<td></td>
<td>Investment principles and risk</td>
<td>20 credits</td>
</tr>
<tr>
<td>(R03)</td>
<td></td>
<td>Personal taxation</td>
<td>10 credits</td>
</tr>
</tbody>
</table>

See pages 42-44 for individual unit assessment method.

Included within your Enrolment:
- Study text - print and/or digital
- Assessment entry
- Online support including exam guide via RevisionMate

More details and to enrol: cii.co.uk/cert-securities
Certificate in Discretionary Investment Management

Overview
The Level 4 Certificate in Discretionary Investment Management develops the wealth strategy and portfolio management skills required for effective discretionary investment management. It also satisfies the FCA’s qualification requirements for this class of business.

The Certificate is also relevant if you outsource this activity, or you’re in an investment-related support role and want to develop your knowledge of investments.

Completion requirements
The Certificate comprises two core units, providing 40 CII credits on successful completion. These credits can be used towards further CII qualifications.

<table>
<thead>
<tr>
<th>Core</th>
<th>20 credits</th>
</tr>
</thead>
<tbody>
<tr>
<td>(R01) Financial services, regulation and ethics</td>
<td></td>
</tr>
<tr>
<td>(R02) Discretionary investment management</td>
<td></td>
</tr>
</tbody>
</table>

See pages 42-44 for individual unit assessment method.

Included within your Enrolment:
- Study text - print and/or digital
- Assessment entry
- Online support including exam guide via RevisionMate

Award in Life and Pensions Foundations

Overview
The Level 2 Award in Life and Pensions Foundations introduces key life and pensions topics, including: customer needs and solutions across pensions, protection, investments and savings, the sector’s value to society and the economy, and the importance of professional conduct and maintaining a customer focus.

The Award is particularly suitable if you are new to the sector, or wish to demonstrate and enhance your knowledge.

It’s equally relevant for those in associated industries or support roles requiring an introduction to life and pensions.

Completion requirements
The Award comprises one core unit and does not provide any credits on completion.

<table>
<thead>
<tr>
<th>Core</th>
<th>0 credits</th>
</tr>
</thead>
<tbody>
<tr>
<td>(LF1) Life and pensions foundations</td>
<td></td>
</tr>
</tbody>
</table>

See pages 42-44 for individual unit assessment method.

Included within your Enrolment:
- Study text - print and/or digital
- Assessment entry
- Online support including exam guide via RevisionMate

More details and to enrol: cii.co.uk/cert-investmentmanagement

More details and to enrol: cii.co.uk/award-lpf
Awards in Financial Administration

Overview
The Level 3 Award in Financial Administration is an introductory qualification providing essential knowledge of the financial services sector, the process of investment planning, and the administration of life or pensions business, depending on the unit selected. Importantly, it satisfies FCA qualification requirements for overseers of certain administrative life and pensions functions. It is suitable for anyone working in administrative and operational life or pensions roles, or anyone moving into an administrative overseer role who needs to comply with FCA appropriate qualification requirements.

Completion requirements
The Award comprises one core unit and one option unit, providing 25-30 CII credits on successful completion. These credits can be used towards further CII qualifications.

<table>
<thead>
<tr>
<th>RQF level</th>
<th>CII credits</th>
<th>Member designation</th>
<th>Recommended study time per unit</th>
</tr>
</thead>
<tbody>
<tr>
<td>3</td>
<td>25-30</td>
<td>N/A</td>
<td>60 hrs</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Core units</th>
</tr>
</thead>
<tbody>
<tr>
<td>(RO1) Financial services, regulation and ethics</td>
</tr>
<tr>
<td>20 credits</td>
</tr>
<tr>
<td>(FA1) Life office administration</td>
</tr>
<tr>
<td>10 credits</td>
</tr>
<tr>
<td>(FA2) Pensions administration</td>
</tr>
<tr>
<td>10 credits</td>
</tr>
<tr>
<td>(CF1) UK financial services, regulation and ethics</td>
</tr>
<tr>
<td>15 credits</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Option units</th>
</tr>
</thead>
<tbody>
<tr>
<td>(FA1) Life office administration</td>
</tr>
<tr>
<td>10 credits</td>
</tr>
<tr>
<td>(FA2) Pensions administration</td>
</tr>
<tr>
<td>10 credits</td>
</tr>
<tr>
<td>(CF1) UK financial services, regulation and ethics</td>
</tr>
<tr>
<td>15 credits</td>
</tr>
</tbody>
</table>

See pages 42-44 for individual unit assessment method.

Included within your Enrolment:
- Study text – print and/or digital
- Assessment entry
- Online support including exam guide via RevisionMate

More details and to enrol: cii.co.uk/award-financialadministration

Certificate in Financial Services

Overview
The Level 3 Certificate in Financial Services offers a choice of two learning routes, ideal for those in operational or technical support roles within financial services. The life and pensions route develops knowledge and understanding of the sector’s role and its activities. It considers important customer needs, solutions and products, and how individuals and organisations work within the regulatory and legislative environment. It is particularly suitable for the life, pensions and long-term savings sector, including customer operations back-office staff and contact centre team leaders. The general route develops fundamental knowledge of the financial services sector, including regulation, legislation, customer service, administration, marketing in financial services and key products. It’s ideal if you are providing operational support to financial planners, paraplanners and technical support staff.

Completion requirements
The life and pensions route comprises three core units, providing 45 CII credits on successful completion. These credits can be used towards further CII qualifications.

<table>
<thead>
<tr>
<th>RQF level</th>
<th>CII credits</th>
<th>Member designation</th>
<th>Recommended study time per unit</th>
</tr>
</thead>
<tbody>
<tr>
<td>3</td>
<td>35-45</td>
<td>CertCII (Life and Pensions)</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Member designation (Life &amp; Pensions route)</td>
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<td></td>
<td></td>
<td>CertCII (FS)</td>
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<td></td>
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<tr>
<td></td>
<td></td>
<td>50-100 hrs</td>
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</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Core units</th>
</tr>
</thead>
<tbody>
<tr>
<td>(LP1) Life and pensions customer operations</td>
</tr>
<tr>
<td>15 credits</td>
</tr>
<tr>
<td>(LP2) Financial services products and solutions</td>
</tr>
<tr>
<td>20 credits</td>
</tr>
<tr>
<td>(LP3) Life and pensions principles and practices</td>
</tr>
<tr>
<td>10 credits</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Option units</th>
</tr>
</thead>
<tbody>
<tr>
<td>(LP1) Life and pensions customer operations</td>
</tr>
<tr>
<td>15 credits</td>
</tr>
<tr>
<td>(LP2) Financial services products and solutions</td>
</tr>
<tr>
<td>20 credits</td>
</tr>
<tr>
<td>(LP3) Life and pensions principles and practices</td>
</tr>
<tr>
<td>10 credits</td>
</tr>
</tbody>
</table>

See pages 42-44 for individual unit assessment method.

Included within your Enrolment:
- Study text – print and/or digital
- Assessment entry
- Online support including exam guide via RevisionMate

More details and to enrol: cii.co.uk/cert-financialservices
Certificate in Regulated Financial Services Operations

Overview
The Level 3 Certificate in Regulated Financial Services Operations develops fundamental knowledge of the financial services sector, including regulation, legislation, and overseeing and administering financial products.

It suits those involved in or overseeing the operational delivery of life, pensions or investment products, in addition to other financial services support roles.

The Certificate is an ideal next step for holders of the Award in Financial Administration or Certificate in Investment Operations, requiring completion of one further unit.

Completion requirements
The Certificate comprises one core unit and two of the three option units, providing 35-40 CII credits on successful completion. These credits can be used towards further CII qualifications.

Core

<table>
<thead>
<tr>
<th>Unit Code</th>
<th>Title</th>
<th>Credits</th>
</tr>
</thead>
<tbody>
<tr>
<td>(R01)</td>
<td>Financial services, regulation and ethics</td>
<td>20</td>
</tr>
<tr>
<td>(CF1)</td>
<td>UK financial services, regulation and ethics</td>
<td>15</td>
</tr>
</tbody>
</table>

Option units

<table>
<thead>
<tr>
<th>Unit Code</th>
<th>Title</th>
<th>Credits</th>
</tr>
</thead>
<tbody>
<tr>
<td>(FA1)</td>
<td>Life office administration</td>
<td>10</td>
</tr>
<tr>
<td>(FA2)</td>
<td>Pensions administration</td>
<td>10</td>
</tr>
<tr>
<td>(FA5)</td>
<td>Individual savings account administration</td>
<td>10</td>
</tr>
</tbody>
</table>

See pages 42-44 for individual unit assessment method.

Included within your Enrolment:
- Study text – print and/or digital
- Assessment entry
- Online support including exam guide via RevisionMate

More details and to enrol: cii.co.uk/cert-rfso

Consider the financial products and services consumers require at different stages of their lives and how solutions can be developed to satisfy their needs.
Certificate in Mortgage Advice

Overview
The Level 3 Certificate in Mortgage Advice is essential if you want to be a mortgage adviser, and equally relevant if you work in a support role. It develops an understanding of the sector and the mortgage process and enables advisers to meet individual client needs.

Completion of the Certificate meets the FCA’s qualification requirements for mortgage advisers.

Completion requirements
The Certificate comprises two core units; candidates must study CF6, along with either R01 or CF1, providing 35-40 CII credits on successful completion. These credits can be used towards further CII qualifications.

(RO1) Financial services, regulation and ethics
20 credits

(CF6) Mortgage advice
20 credits

Core
See pages 42-44 for individual unit assessment method.

Included within your Enrolment:
• Study text – print and/or digital
• Assessment entry
• Online support including exam guide via RevisionMate

More details and to enrol: cii.co.uk/cert-mortgageadvice

Certificate in Equity Release

Overview
The Level 3 Certificate in Equity Release develops advisory skills and offers an understanding of equity release regulation, products, market practice, and customer needs.

It is suitable for anyone seeking to give mortgage and equity release advice, such as advising on equity release products (both home reversion plans and lifetime mortgages). It is also ideal for anyone working in the mortgage and equity release market in non-advisory roles, for example, technical consultants or support roles.

The Certificate in Equity Release meets the FCA’s qualification requirements for mortgage advisers and those advising on equity release schemes.

Completion requirements
The Certificate comprises three core units. Candidates must study either R01 or CF1, along with CF6 and ER1, providing 50-55 CII credits on successful completion. These credits can be used towards further CII qualifications.

(RO1) Financial services, regulation and ethics
20 credits

(CF6) Mortgage advice
20 credits

(ER1) Equity release
15 credits

Core
See pages 42-44 for individual unit assessment method.

Included within your Enrolment:
• Study text – print and/or digital
• Assessment entry
• Online support including exam guide via RevisionMate

More details and to enrol: cii.co.uk/cert-equityrelease
Certificate in Advanced Mortgage Advice

Overview
The Level 4 Certificate in Advanced Mortgage Advice goes beyond the FCA’s qualification requirements enabling mortgage advisers to continue developing their advice capabilities. It brings you up to speed with recent changes to the mortgage process arising from the Mortgage Market Review.

The Certificate is an ideal next-step for candidates who hold the Certificate in Mortgage Advice or Certificate in Equity Release, requiring completion of one more unit.

Completion requirements
The Certificate comprises three core units, providing 55 CII credits on successful completion. These credits can be used towards further CII qualifications.

<table>
<thead>
<tr>
<th>Core</th>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>(CF6) Financial services, regulation and ethics</td>
<td>(CF6) Mortgage advice</td>
<td>(R07) Advanced mortgage advice</td>
<td></td>
</tr>
<tr>
<td>20 credits</td>
<td>20 credits</td>
<td>15 credits</td>
<td></td>
</tr>
</tbody>
</table>

See pages 42-44 for individual unit assessment method.

Included within your Enrolment:
• Study text – print and/or digital
• Assessment entry
• Online support including exam guide via RevisionMate

More details and to enrol: cii.co.uk/cert-ama

4 RQF level
55 CII credits
CertSMP Member designation
60-100 hrs Recommended study time per unit

Discover the practitioner’s guide to the law, policy and practice of mortgage lending in the UK, while exploring the rules and features of the lending process
Supporting your studies

Enrolment
Each unit enrolment comes with the essential tools to support your learning.

Study text with updates
Available in hard copy, ebook, and printable PDF, the study text encourages structured self-study to help you master the syllabus. Chapters define learning outcomes and include self-test questions. You’ll also receive electronic updates and access to a host of online study support services through our RevisionMate study tool.

Further information on ebooks and free sample chapters can be found online at cii.co.uk/ebooks

RevisionMate
Free online access to a suite of support tools delivered via RevisionMate. Designed to help you consolidate your learning and increase the chances of exam or coursework success. These typically include:

- Study planner – build a routine and manage your time most effectively
- Student discussion forum – share common queries and learn with your peers
- Quiz questions – check understanding of the study text as you progress
- Exam guide – practise your exam technique
- Specimen coursework assignment and answers – guide to the style and format of coursework questions and the depth and breadth of answers sought by examiners.

Exam guide
For online exams, these comprise a complete mock exam with answers, highlighting syllabus areas covered and useful hints. For written exams they include a past paper with examiners’ comments on candidates’ performance and key points for inclusion in your answers. Specimen coursework assignments are available free of charge for units which offer mixed assessment or coursework assessment.

Exam guides are supplied as PDF files and can be found within the “Prepare for your exam” section of your study text companion course on RevisionMate.

RevisionMate app
Download the RevisionMate app from the App Store or Google Play to continue your learning on the go.

For more information, visit cii.co.uk/revisionmate

Updated study text
Available for selected Certificate and Diploma level units
Extend the life of your enrolment when your course expires by purchasing the latest edition of your study text. This option is available on an annual basis.

Please note, we recommend you sit your exam during your qualification unit’s testing/enrolment period. However, a study renewal option is available if you need it.
Study with confidence

Upgrade to Enrolment plus
Enrolment plus builds on a standard Enrolment with the additional study aids available for your unit, giving you access to a range of study support and helping you pass first time.

Head to your qualification webpage to see if Enrolment plus is available for your units.

Additional study components typically include:

**Keyfacts booklet**
*Available for selected Certificate and Diploma level units*
Pocket-sized booklets summarising the key information contained in the study text. Ideal for studying on the go. Available in print and digital format.

**E-learn**
*Available for selected Certificate and Diploma level units*
Highly interactive online study backed by an assessment tool to check your understanding as you progress. Designed to complement, not replace the study text. E-learn provides visually engaging and memorable learning, covering key topics as opposed to the entire syllabus.

**Question pack**
*Available for selected units*
Delivered through RevisionMate, question packs provide comprehensive self-testing of the unit syllabus. Depending on your unit, these contain 150-300 questions.

**Audio revision**
*Available for selected Diploma in Regulated Financial Planning and Advanced Diploma in Financial Planning units*
MP3 audio material for R0 units cover the key elements of each subject and last between 3–5 hours. The AF options cover key Diploma learning points that underpin application at Advanced level, together with exam technique guidance. Each lasts between 5–8 hours. Delivered via RevisionMate, audio files are simple to download and are ideal for on-the-go study.

Please note, whilst accessing additional study aids via Enrolment plus is cheaper than if you were to purchase them separately, individual components are still available to purchase on their own. Head to your unit webpages for more information.
Our membership designations demonstrate your achievement and professional aspiration.

As a member, you can use your designation on personal communications to indicate qualification completion.

<table>
<thead>
<tr>
<th>Qualification level</th>
<th>Designation</th>
<th>Qualification held by members</th>
</tr>
</thead>
<tbody>
<tr>
<td>Chartered</td>
<td>Chartered Insurer</td>
<td>Advanced Diploma or Fellowship with five years’ industry experience</td>
</tr>
<tr>
<td></td>
<td>Chartered Insurance Practitioner</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Chartered Insurance Broker</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Chartered Insurance Risk Manager</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Chartered Financial Planner</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Chartered Insurance Underwriting Agent (available early 2020)</td>
<td></td>
</tr>
<tr>
<td>Fellowship</td>
<td>FCI</td>
<td>CII Fellowship</td>
</tr>
<tr>
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<td>FFS</td>
<td>PFS Fellowship</td>
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<tr>
<td>Advanced Diploma</td>
<td>ACII</td>
<td>Advanced Diploma in Insurance</td>
</tr>
<tr>
<td></td>
<td>APFS</td>
<td>Advanced Diploma in Financial Planning</td>
</tr>
<tr>
<td>Diploma</td>
<td>DipCII (Claims)</td>
<td>Diploma in Insurance</td>
</tr>
<tr>
<td></td>
<td>DipCII</td>
<td>Diploma in Insurance, including units: M85 or 820</td>
</tr>
<tr>
<td></td>
<td>DipPFS</td>
<td>Diploma in Insurance, including units: M85 or 820</td>
</tr>
<tr>
<td></td>
<td>Diploma in Regulated Financial Planning or the Diploma in Financial Planning</td>
<td></td>
</tr>
<tr>
<td>Certificate</td>
<td>CertCII</td>
<td>Certificate in Insurance or Certificate in Insurance and Financial Services</td>
</tr>
<tr>
<td></td>
<td>CertCII (Claims)</td>
<td>Certificate in Insurance, including one of the following units: IF4, M85, or 820</td>
</tr>
<tr>
<td></td>
<td>CertCII (Life and Pensions)</td>
<td>Certificate in Financial Services via the life and pensions route</td>
</tr>
<tr>
<td></td>
<td>CertCII (London Market)</td>
<td>Certificate in Insurance, including the Award in London Market Insurance</td>
</tr>
<tr>
<td></td>
<td>CertCII (Health and Protection)</td>
<td>Certificate in Insurance, including at least two of the following units: IF7, R05, GRI</td>
</tr>
<tr>
<td></td>
<td>CertCII (Protection)</td>
<td>Certificate in Insurance, including units R05 and IF9</td>
</tr>
<tr>
<td></td>
<td>CertCII (Insurance Broking)</td>
<td>Certificate in Insurance, including one of the following units: I10, M9, 930</td>
</tr>
<tr>
<td></td>
<td>CertCII (Customer Service)</td>
<td>Certificate in Insurance, including unit IF9</td>
</tr>
<tr>
<td></td>
<td>CertSMP</td>
<td>Members of the Society of Mortgage Professionals holding the Certificate in Advanced Mortgage Advice</td>
</tr>
<tr>
<td></td>
<td>CertCII (MP)</td>
<td>Members of the Society of Mortgage Professionals holding the Certificate in Mortgage Advice</td>
</tr>
<tr>
<td></td>
<td>CertSMP (MP &amp; ER)</td>
<td>Members of the Society of Mortgage Professionals holding the Certificate in Equity Release</td>
</tr>
<tr>
<td></td>
<td>CertCII (FS)</td>
<td>Certificate in Regulated Financial Services Operations or Certificate in Financial Services via the general route</td>
</tr>
<tr>
<td></td>
<td>CertCII (Paraplanning)</td>
<td>Certificate in Paraplanning</td>
</tr>
<tr>
<td></td>
<td>CertPFS (Securities)</td>
<td>Certificate in Securities Advice and Dealing</td>
</tr>
<tr>
<td></td>
<td>CertPFS (DM)</td>
<td>Certificate in Discretionary Investment Management</td>
</tr>
<tr>
<td>Award</td>
<td>CII (Award)</td>
<td>Award in General Insurance, Award in Financial Planning, Award in Customer Service in Insurance, Award in Bancassurance or the Award in Investment Planning</td>
</tr>
</tbody>
</table>
Chartered status is the universally recognised badge of professionalism among employers, consumers and businesses. It demonstrates your commitment to customers and to maintaining your technical knowledge.

“Becoming a Chartered Financial Planner has given me a technical edge and enhanced credibility. It is a prized mark that consumers associate with expertise and trust, and a platform from which I can deliver a client-centred service to be proud of.”

Gemma Siddle
Chartered Financial Planner

Accredited by your professional body
The Chartered Insurance Institute awards Chartered status to members holding the Advanced Diploma. You must also have at least 5 years’ experience within the insurance and personal finance profession.

Wearing the badge with pride
Attaining Chartered status is challenging and takes commitment. However, once you have achieved the accolade, you can proudly demonstrate your commitment by applying the Chartered logo to your stationery and personal communications.

For more information and to apply, visit cii.co.uk/chartered
The prestigious Fellowship title sits at the top of each qualification framework. Holders of the Advanced Diploma who meet the full eligibility requirements are encouraged to apply for the Fellowship programme.

The programme is flexible enabling it to be linked to work-based activity, or it can be aligned with study for other relevant qualifications such as an MSc or MBA.

Full details can be found online at cii.co.uk/fellowship

Fellowship Advisory Service
For further guidance and support prior to or during your Fellowship application, the Fellowship Advisory Service is on-hand. The service provides help and advice, however cannot provide technical information about a subject you may be studying.

To contact the Fellowship Advisory Service call: +44 (0)20 8530 0819
email: societies.fas@cii.co.uk
The best way to begin your study journey is to visit us online. Go to cli.co.uk/qualifications where you can find more detail on our qualifications.

If you cannot find what you are looking for, please contact Customer Service by calling +44 (0)20 8989 8464 or by emailing customer.serv@cli.co.uk
Conquer curiosity