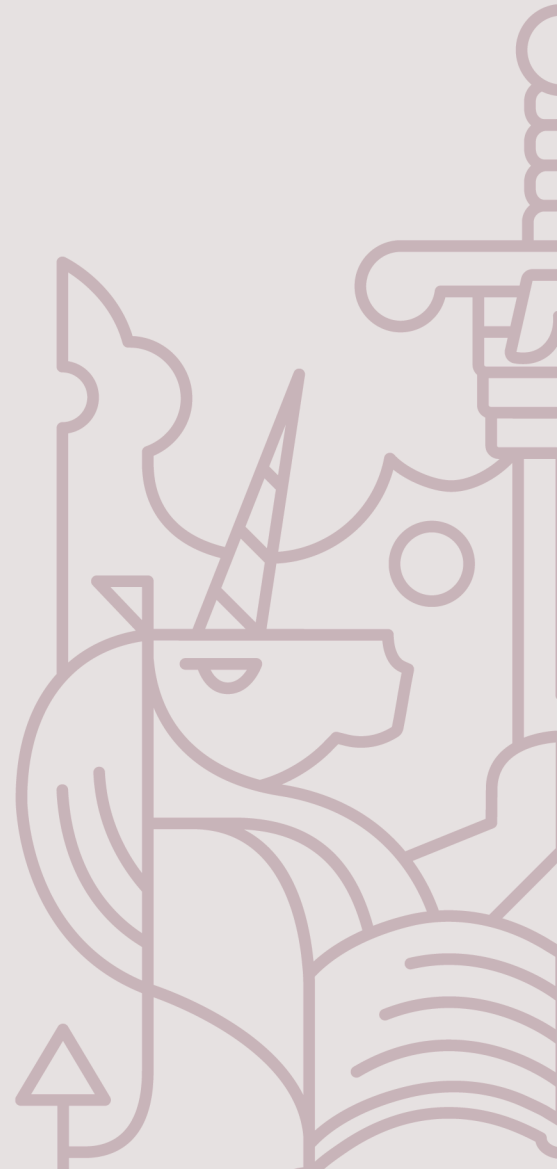


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July 2024

# CII Level 4 Diploma in Financial Planning Qualification specification



Thank you for considering study with the CII. This specification summarises the purpose and the content of this qualification to help you decide whether it meets your learning needs.

The qualifications section of the CII website, unit syllabus documents and CII policies provide further detail on the features summarised here.

## Qualification overview

The **CII Level 4 Diploma in Financial Planning** develops core technical knowledge and understanding across a broad range of key financial planning areas.

### Who is this qualification for?

This qualification is particularly appropriate for:

- Paraplanners and technical consultants.
- Those in roles supporting financial planning processes, in particular those who already hold CII credits that count towards completion (otherwise the Diploma in Regulated Financial Planning is more suitable).
- Those who do not seek to qualify as a retail investment adviser (the Diploma in Regulated Financial Advice is designed instead for this purpose).

### Benefits for individuals and employers

The CII Level 4 Diploma in Financial Planning will enable you to understand, analyse and apply financial planning products, processes and approaches and expand your areas of expertise in your professional practice.

### Summary of content

Modular in structure, with no compulsory units, the Diploma allows you to develop a learning programme that reflects your personal circumstances or career aspirations. The range of units available covers financial services market and regulatory context, investment principles, key product areas, technical and advisory skills.

## Entry and professional completion requirements

### Entry requirements

There are no entry requirements for this qualification. However, please note the additional completion requirements below.

## **Additional completion requirements**

To complete this qualification, you must have completed one of the following qualifications:

- CII Level 3 Certificate in Regulated Financial Services Operations
- CII Level 3 Certificate in Financial Services
- CII Level 3 Certificate in Financial Planning (withdrawn).

If you believe that you hold an equivalent qualification at level 3 or above to those listed, please contact Customer Services to see whether it is one that we hold on our exemptions list or that we could consider reviewing for the exemptions list.

## **Important note**

The completion requirements described are for achieving the qualification. You should consult the FCA Handbook to identify whether units for this qualification satisfy any qualification requirements for specific regulated financial services roles. Changes to the handbook and qualification requirements occur from time-to-time.

Please note if you are intending to qualify as a retail investment adviser:

- This Diploma is not approved as a standalone qualification for practising as a retail investment adviser (please instead select the CII Level 4 Diploma in Regulated Financial Planning).
- The Chartered Insurance Institute no longer provides 'gap-filling' for this qualification as an option for financial advisers applying for their first Statement of Professional Standing.

## Qualification structure

### Optional units (level 4 or above)

Your selection will need to total at least 80 CII credits at Level 4 or above and include a CII assessed unit from the following: J02, J03, J05, J07, J09-12, R01-4 and R06-7).

Unit title	CII Credits	Level
R01 <u>Financial services, regulation and ethics</u>	20	4
R02 <u>Investment principles and risk</u>	20	4
R03 <u>Personal taxation</u>	10	4
R04 <u>Pensions and retirement planning</u>	10	4
R06 <u>Financial planning practice</u>	30	4
R07 <u>Advanced mortgage advice</u>	15	4
J02 <u>Trusts</u>	20	4
J05 <u>Pension income options</u>	20	4
J07 <u>Supervision in a regulated environment</u>	20	4
J09 <u>Paraplanning</u>	30	4
J10 <u>Discretionary investment management</u>	20	4
J12 <u>Securities advice and dealing</u>	20	4
Up to one Advanced Diploma unit (AF1-AF8)	20-30	6
Credits already held from withdrawn CII units	Credits vary	

### Optional units (choice from the CII financial services framework)

Your selection will need to total at least a further 60 CII credits from the units above or elsewhere in the CII financial services framework (excluding unit LF1). No more than 30 CII credits may come from Level 6 Advanced Diploma units. Please see the 'completion requirements' section of the [qualification webpage](#) for details of the current units available.

CII credits from Level 3 prerequisite qualifications detailed above under 'additional completion requirements' will be carried forward and count towards the additional 60 credits needed.

# Learning and assessment

## Learning materials provided

For units in this qualification, students typically have access to the following materials as part of their enrolment:

- Study text (digital only or printed and digital) with online updates
- Online support including exam guide via RevisionMate
- Specimen coursework assignment for J09

Additional resources may be available for some units.

## Study time

Specific study time guidelines are provided for each unit on its webpage and in the CII qualifications brochure.

The notional Ofqual 'Total Qualification Time' for this qualification is 570 hours\*. This represents the time a student might typically take to complete the qualification by the shortest combination of units. The number of hours may increase dependent on the units chosen, plus further study time for any units required to meet the additional completion requirements.

## Assessment format

Depending on your unit choices, you will be assessed by:

- multiple-choice on screen exam - exams are available weekly at UK and non-UK online exam centres or via remote invigilation.
- written examination.
- written coursework.

The qualification award will be graded pass/fail.

To be awarded this qualification, each compulsory unit and sufficient optional units must be passed. The nominal pass mark for each unit within this qualification can be found on the relevant unit page. Please note, pass marks may vary from examination to examination to take account of the relative difficulty of examinations presented to candidates, ensuring that the pass standard remains constant.

We regularly update our qualifications, units and assessments to maintain industry relevance and assessment standards.

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\*'Total Qualification Time' is a term that awarding organisations are required by Ofqual (the qualifications regulator in England) to use to describe the size of qualifications.

## Further information on learning and assessment for each unit

Please ensure that you refer to the individual unit syllabus for unit-specific details:

- learning outcomes and assessment criteria
- further reading and resources
- important notes, such as the legislative position that will be assessed

This is available on each unit webpage, accessible from the [qualification webpage](#).

Please also select your unit from the webpage to find out about any unit updates.

## Important assessment policies

Details of terms and conditions which apply to candidates entering for assessments with the CII are set out on the CII website. By entering any assessment with the CII, you agree to be bound by these terms and conditions and our [assessment policies](#).

## Fair access to our qualifications

The CII acts at all times to ensure that no unfair barriers apply to those seeking to gain the qualifications it offers. If, due to disability or illness, you may require adjustments in order to access an assessment, please read the [Qualifications accessibility and special circumstances policy and guidance](#) and contact the CII Customer Service team as soon as possible to discuss how we can meet your needs.

## Qualification Fees

We are required by our regulators to publish a standardised set of qualification fees and these are set out below. The best way for you to calculate the cost of completing a qualification is by looking at the unit shop pages for the units you are planning to take.

The terms, 'Standard Qualification Fee', 'Package fee' and 'Associated Learner Fees' are defined by our regulators, Ofqual, CCEA and Qualifications Wales, to create consistency between UK-based awarding organisations. It is a regulatory requirement to illustrate our pricing in this way. The total price paid will depend upon specific pathway chosen, membership status and local currency. Further pricing information by unit and component relevant to your specific pathway remains available on your qualification webpage. The table below describes what each fee indicates.

Fee	Description
Standard Qualification Fee	The standard total fees payable for the assessment elements of the core qualification throughout a typical course of study.
Package Fee	Where applicable, the total of the fees payable for mandatory learning materials elements of the core qualification throughout a typical course of study.

Fee	Description
Associated Learner Fees	Additional fees for optional services payable: <ul style="list-style-type: none"> <li>• at the learner's discretion.</li> <li>• in specific circumstances only; or,</li> <li>• for additional study requirements prior to completing this qualification.</li> </ul>

Please note these fees are based on non-CII members taking the qualification in the UK, following a typical route to completion, using digital only options where available. Costs may vary for those residing outside the UK and depending on the route to completion. Substantial discounts are available to members and are detailed on the individual unit shop pages.

Standard Qualification Fee	£1,480.00
Package Fee	£257.00
Associated Learner Fees	
<b>Annual</b>	
Non-Mandatory Annual Membership (per annum) (Assumes you are qualified at Certificate level)	£205.00
<b>One off</b>	
Digital enrolment	£971.00
Digital and printed enrolment	£1161.00
Digital only enrolment plus	£1152.32
Digital and printed enrolment plus	£1316.99
Key facts booklet (Printed and Digital)	£308.00
Key facts booklet (Digital Only)	£259.00
Knowledge checker	£220.00
E-learn	£384.00
Audio revision	£398.00
Study text update (Digital only)	£525.00
Study text update (Printed and Digital)	£624.00

For post results services prices, please visit the [Post results services webpage](#).







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 Chartered Insurance Institute

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