



Level 3

Compliance / Risk Officer

Talent Development Programme



Programme Overview

Welcome to the 15-18 month, Level 3, Compliance / Risk Officer Programme.

FSTP have designed and developed a unique programme using our experience and expertise within financial services.

During the 15-18 month programme, employees will cover topics allowing them to develop skills and understanding of the world of compliance and risk, regulation, financial products and services, building impactful relationships and report writing for compliance

dedicated workplace coaching and on the job experience to build the necessary skills, knowledge and behaviours to become a highly competent Compliance / Risk Officer professional. In addition participants will work towards a recognised professional qualification.

Awarding Body Partners



Standard Qualification Level	Compliance /Risk Officer 3
Duration	Typically, this programme will take 15-18 months to complete
Entry Requirements	<ul style="list-style-type: none"> • Have level 2 English and Maths or equivalent. • Have been a resident in the UK/EEA/EU for the last 3 years. • Be able to meet the programme modules through your job role.

Our Compliance / Risk Officer programme combines outstanding classroom training,

Programme Pathway

Below is an example of a career progression route in financial services...



Typical Job Roles

These are just a few examples of the typical job roles that would suit the level 3 Compliance / Risk Officer programme;



Professional Qualifications Available



Chartered Institute of Securities and Investment

Combating Financial Crime; Risk in Financial Services;

Modules

Our level 3 Compliance/Risk programme provides employees with the skills, knowledge and on-the-job training required to stretch and challenge the participant whilst making them a highly valued member of the team. Below are some of the knowledge development modules in further detail

<p>Module 1 and 2 Introduction to the World of Compliance and Risk (Part 1 and 2)</p> <ul style="list-style-type: none"> • Financial Markets and the UK Financial Sector • Financial Institutions • Markets and Financial Instruments • Understanding Global Regulatory Regimes • Risk Oversight and Corporate Governance 	<p>Module 7 Products and Services</p> <ul style="list-style-type: none"> • Savings products • Insurance products • Life • Income protection • CIS – NURS, UCITS, Offshore structures • Pension products <ul style="list-style-type: none"> ○ Occupational v personal pensions ○ SSAS ○ SIPP
<p>Module 3 & 4 Regulation Masterclass (Part 1 & 2)</p> <ul style="list-style-type: none"> • Structure of UK Regulation • Conduct of Business rules • Financial Crime • Authorisation • Permissions • PRA/FCA approach to regulation • Approved Persons / SMCR • CASS/Client Money rules • Financial Requirements • Complaints, Enforcement and Redress 	<p>Module 8 Building Impactful Relationships</p> <ul style="list-style-type: none"> • The communication tool of persuasion • The techniques of negotiation • The power of questioning and listening • Selling the benefit • Gaining agreement • Better relationships with your business • Managing meetings
<p>Module 5 & 6 Report Writing for Compliance and Risk (Part 1 & 2)</p> <ul style="list-style-type: none"> • Why good writing matters (particularly for compliance and audit) Focusing on the audience • Creating Impact through structure • Putting knowledge into practice • Avoiding common errors • Gaining agreement 	<p>Exam Preparation Session 1 & 2</p> <ul style="list-style-type: none"> • Full syllabus walk through • Highlight areas of common issues for candidates • Case studies aligned to business activity to amplify learning and application to real life scenarios post exam • Example questions and mini exam included • Access to practitioners and ability to ask questions of tutor

Learner Journey

Each programme is designed to accommodate the needs of the learner, their job role and the business so the delivery schedule will reflect this. However, as an example of a learner journey throughout the Compliance / Risk Officer programme, we have shown a demonstrative 15 month timetable below.



Blended learning

Mentor Visit

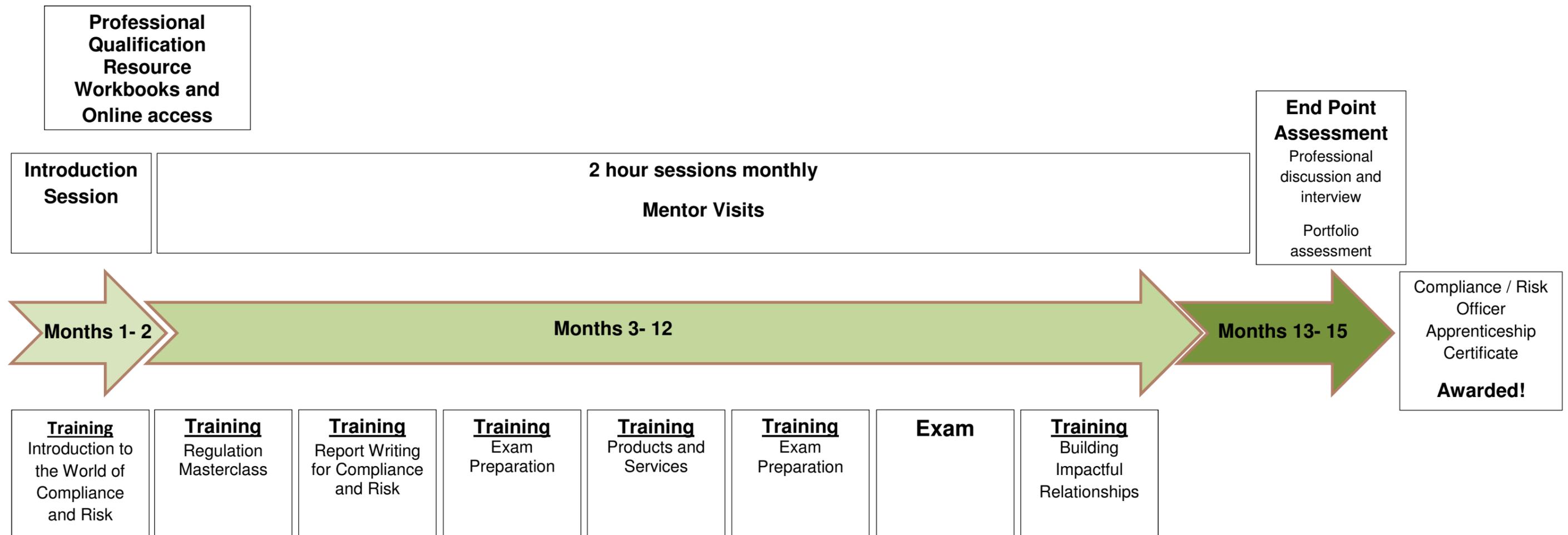
An FSTP mentor will visit each participant on a regular basis to support in the workplace, alongside the participants internal support mechanisms, i.e. workplace manager and/or mentor.

Masterclasses

Industry experts will deliver face to face sector specific masterclasses and coaching sessions to provide opportunities to stretch and challenge.

E-learning

Each participant will have individual access to an e-learning environment where additional learning materials can be accessed.



20% off-the-job Training



Our programme is designed to facilitate off the job learning, so we can support you (employer) and the participant confidently when evidencing the 20% off the job training; which is a requirement to have been completed within working hours.

Many employers find the demand for off the job training worrying, however, it doesn't need to be. See the table below for some suggested off the job training your apprentices can undertake.

<u>Activity</u>	<u>Example of valid off-the-job training</u>
Classroom sessions / lecture	Block or day release
Workshops and masterclasses	Interactive workshops involving employers
Simulation exercises	Business models and gaming
Online learning	Online training modules and support materials
Shadowing	In work or new departments / locations
Coaching	Support from Line Managers/ colleagues
Industry visits	Within sector or outside of work roles

Please note the above examples are not an exhaustive list, to discuss further please contact us and a member of our team will be happy to help.

0203 178 4230

Assessment

This programme consists of two main types of assessments:

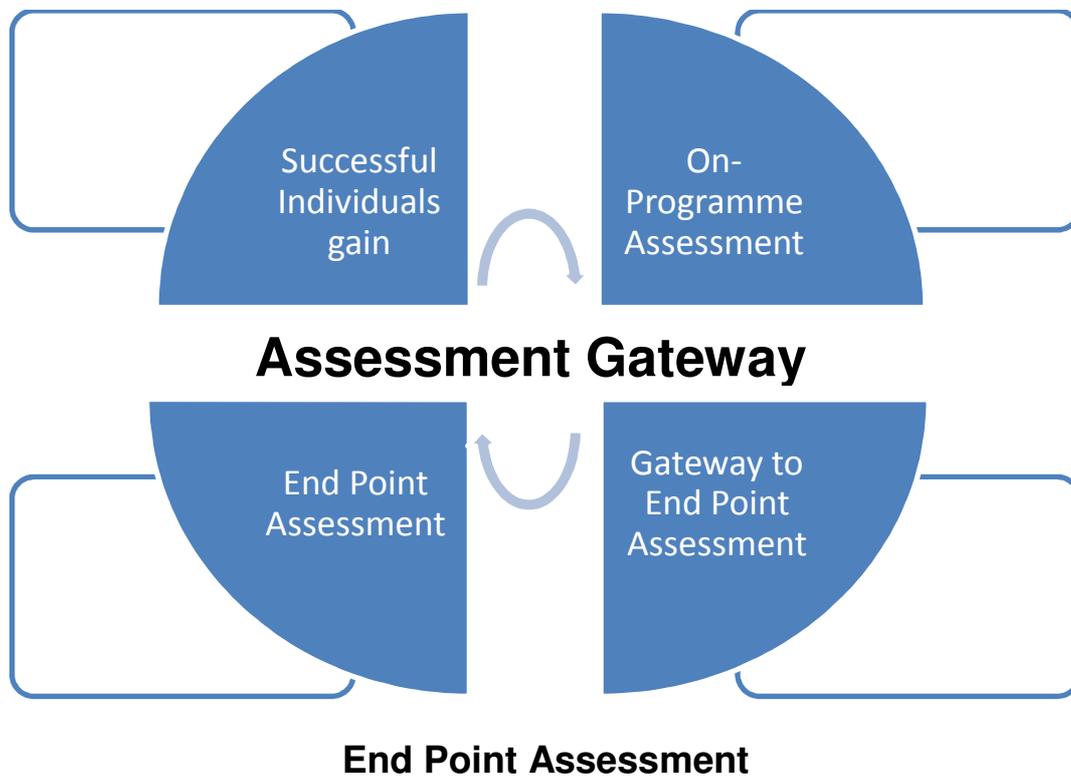
On-programme assessments

&

End point assessment (EPA)

The **on-programme assessment** will involve both yourself, (the employer) and FSTP (your training provider). This assessment will involve each apprentice developing a portfolio that demonstrates the learning and development activities with their application in the workplace.

The assessment is ongoing throughout the programme and apprentices will be provided 360-degree feedback throughout their development of the portfolio.



As your training provider, FSTP cannot deliver your end point assessment as this must be carried out by an independent end point assessment organisation

Deciding who to use as an end point assessment organisation can be a difficult choice, at FSTP we have partnered with a number of end point assessment organisations to help you (the employer) with this decision. If you feel our existing partnerships are not right for you then we will work with you to identify the right end point assessment organisation.

It is our aim to make sure that you work with an end point assessment organisation that supports your business, the apprentices and the job role, whilst providing you with the confidence that the training and qualifications are best suited to your objectives.

The future of training provision



At FSTP we ensure that quality is at the heart of everything we do. We are using our industry knowledge and expertise to provide a range of apprenticeship programmes to the financial services industry that will provide the apprentices with the high standards of training and professional qualification support that we currently provide.

Developing your career pathway with FSTP

Our Apprenticeship programmes are designed with career pathways in mind, taking professionals from GCSE level right up to attaining a degree level professional qualification.

With our expertise within financial services, we aim to provide our apprentices with fundamental skills that will allow the high performing candidates to progress in multiple directions – depending on their career aspirations and development opportunities in your business.

What are your next steps?

If you would like to find out more about our Level 3 Compliance/Risk Officer programme, then please contact us.

We would be happy to answer any questions you have about the apprenticeship training we can provide.

Speak to one of our team today!

Call:

0203 178 4230

Email:

info@fstp.co.uk

Website:

www.fstp.co.uk