



Level 6

Senior Compliance/Risk Specialist

Talent Development Programme



Programme Overview

Welcome to FSTP's, Level 6, Senior Compliance/Risk Specialist

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

In the 36 - 42 months it takes to complete the programme, participants will develop a thorough understanding of topics such as strategy & planning, the delivery of services, analysis & problem solving, communicating & influencing, teamwork, continuous improvement and developing themselves & others.

Our Senior Compliance/Risk Specialist programme blends outstanding face-to-face training with dedicated workplace coaching and on-the-job experience to enable a participant to develop the practical skills, knowledge and behaviours expected of a highly competent Compliance/Risk professional in financial services. In addition, participants will work towards a recognised professional qualification.

Awarding Body Partners



Standard	Senior Compliance/Risk Specialist
Qualification Level	6
Duration	Typically, this programme will take 36-42 months to complete
Entry Requirements	<ul style="list-style-type: none"> • Level 2 English and Maths or equivalent. • Resident in the UK/EEA/EU for the last 3 years. • Be able to meet the programme modules through your job role.

Programme Pathway

Below is a sample of career progression based on this apprenticeship within Financial Services.



Typical Job Roles

These are just a few examples of the typical roles that would suit the level 6 Senior Compliance/Risk Specialist programme;



Professional Qualifications Available



Chartered Institute of Securities and Investment

CISI Diploma in Investment Compliance L6

** Attainment of Intro to securities and investment or equivalent required before Diploma can be taken.



Modules

Our level 6 Senior Compliance/Risk Specialist programme provides participants with the skills, knowledge and on-the job training required to stretch and challenge them,

<p>Module 1 Communication and Influencing – 1 day</p>	<p>Module 6 Managing Risk</p>
<p>Module 2 Team Building (away day) – 1 day</p>	<p>Module 7 Strategic Planning</p>
<p>Module 3 Conflicts and Problem Solving – 1 day</p>	<p>Module 8 Project Management – 2 days</p>
<p>Module 4 Improving products and services (Incl. Monitoring, Product Governance, T&C, TCF, Ethics versus Compliance and the Senior Managers and Certification Regime)- 3 days</p>	<p>Exam Preparation 12 days The 3 component exam preparation days will be delivered at relevant intervals throughout the apprenticeship.</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
<p>Module 5 Time Management & Managing Others – 3 days (incl. T&C , Supervision and Developing yourself and others)</p>	<p>Optional extras at additional cost; 2 day exam preparation for Introduction to securities and investment to include a mock paper (minimum of 5 people) £375 per head plus VAT.</p>

Learner Journey

Each programme is designed to accommodate the needs of the learner participant, their job role and the business, so the delivery schedule will reflect this. However, as an example of a learner participant's journey throughout the Financial Services Professional programme, we have shown a demonstrative timetable below.



Mentor Visit

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



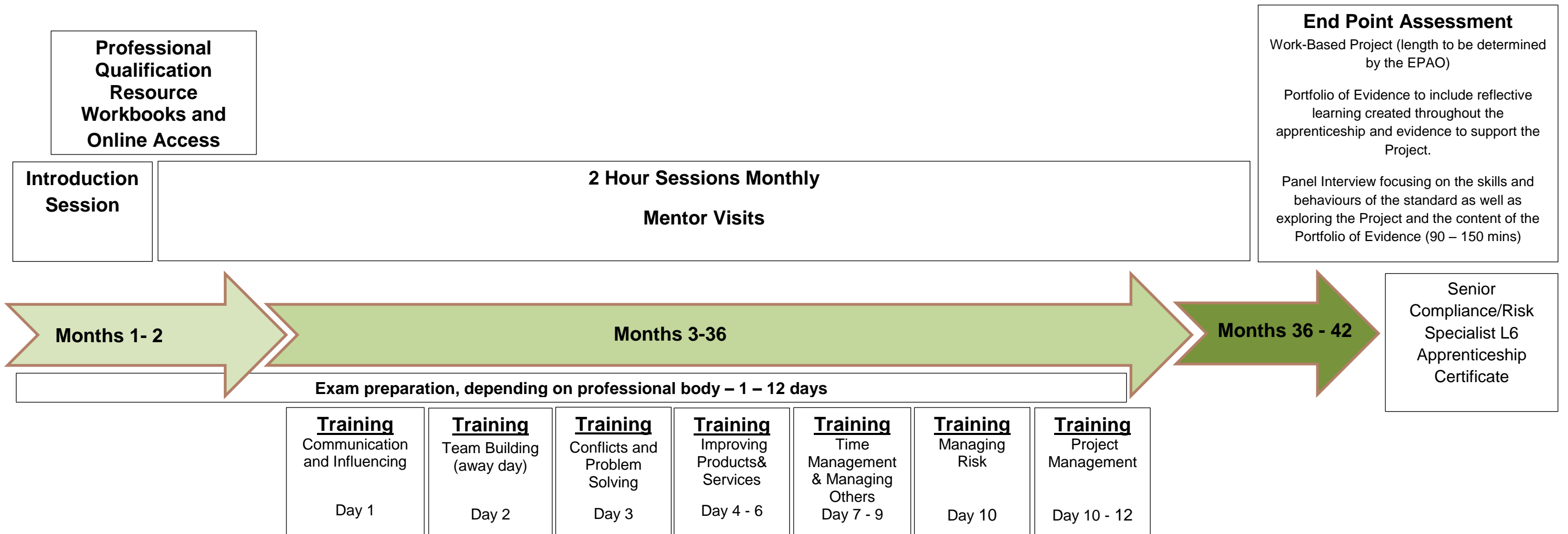
Masterclasses

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



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 help facilitate off-the-job learning, so we can support the candidates in evidencing the 20% off-the-job training which they are required to complete within working hours.

Many employers have concerns about operational implications associated with off-the-job training. However, it doesn't need to be an issue. See the table below for some suggestions of off-the-job training your participants can undertake.

Please do get in touch with any queries and a member of our team will be happy to help.

0203 178 4230

<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, so please contact us today to discuss further.

Assessment

This programme consists of two main types of assessments:

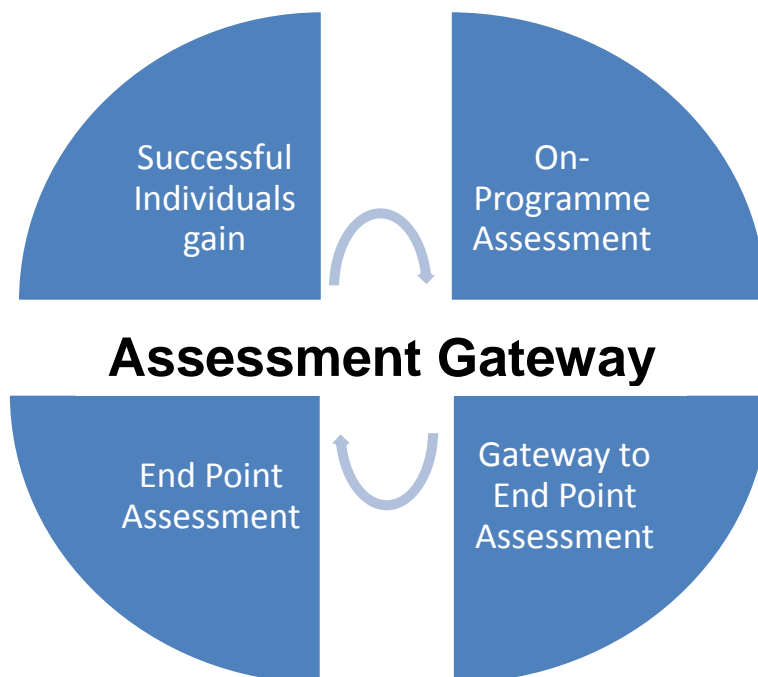
On-programme assessments

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End point assessment (EPA)

The on-programme assessment will involve you, (the employer) and FSTP (your training provider). This assessment will involve each participant developing a portfolio that demonstrates their application of learning and development activities within the workplace.

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



Assessment

End Point Assessment

The first thing to note is that your chosen training provider cannot deliver your end point assessment. This must be done through a totally separate organisation.

The choice of which End Point Assessment organisation you decide to use is yours, but we can certainly offer guidance as to where you can find the details of approved organisations.

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, all to provide you with the confidence that the training and qualifications are best suited to your objectives.



The Future of Training Provision



We are using our industry knowledge and expertise to provide a range of apprenticeship programmes to the Financial Services industry that will provide participants with the high standards of training and support that we already provide to Financials Services professionals via our training solutions and professional qualification support.

Developing your career with FSTP

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

With our expertise within financial services we aim to provide our participants 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 6 Senior Compliance/Risk Specialist 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:

apprenticeships@fstp.co.uk

Website:

www.fstp.co.uk