

# Compliance/Risk Officer.

## Level 3 Apprenticeship

As part of the programme, you will be expected to meet the Knowledge, Skills and Behaviours outcomes detailed below.

Your line manager will need to demonstrate how you will meet these outcomes during your programme, by completing a form during the application process.

Knowledge	Learning Outcomes
<b>Risk and Compliance Framework</b>	Broad understanding of the Financial Services legal and regulatory framework, the role of the different regulators (if appropriate), the implications of non-compliance for the organisation.
<b>Risk and Compliance policies/procedures</b>	Sound understanding of the specific risk and compliance requirements for your role e.g. operational risk, financial crime, know your customer, training and competence, approved persons, conduct risk, complaints, data security. This should include both the actual legal and regulatory requirements e.g. Financial Conduct Authority (FCA) Handbook and the policies and procedures used by the organisation to implement these requirements.
<b>Industry and Company Understanding</b>	Understand the role your organisation plays in Financial Services, the business you work in, the products and services offered to customers, the organisation's approach to delivering fair customer outcomes, its 'Values', professional standards, and where your role fits in the business. Understand the function of the different areas of the organisation you need to work with in your role. Basic understanding of the impact the external environment has on Financial Services and relevant best practice.
<b>Systems and Processes</b>	Understand the systems, tools and processes used in the role, together with the standards to be met, including IT tools.

Skills and Behaviours	Learning Outcomes
<b>Delivering Services</b>	Uses a wide range of company systems and processes to deliver services to customers and colleagues. This may include advice to customers and colleagues based on regulatory requirements and organisation policies; working with suppliers on data security; internal reviews audits and follow up; ensuring accurate records e.g. approved persons; supporting formal committees. Proactively meets challenging individual and team performance measures in line with company policy, Values, standards and regulatory requirements. Plan and organise your work, focusing on priorities, to meet commitments and KPIs, including regulator deadlines. Escalate when required.
<b>Analysis and Problem Solving</b>	Analyse relatively straightforward risk and compliance problems, investigating issues e.g. fraudulent transactions, and recommending solutions. Work with data, analysing and producing required reports and management information for internal and/or external e.g. FCA use. Be able to read and interpret reports, summarising required information.
<b>Communicating and Influencing</b>	Write clear and concise reports and recommendations in a way that is meaningful to the recipient. Deal effectively with customers and colleagues, using sound interpersonal skills and communicating well through a range of media using appropriate language e.g. phone, face to face, email. Listen actively to understand needs and adapts your style to the recipient. Influence others to ensure compliance and risk requirements are met, when appropriate.
<b>Teamwork</b>	Build and maintain strong working relationships with customers, colleagues and suppliers as appropriate. Consistently support colleagues at all levels and collaborates to achieve results. Be aware of your own role in the team and impact on others.
<b>Continuous Improvement</b>	Identify opportunities to improve performance and service delivered. Take ownership of specific changes that impact your role.
<b>Personal Development</b>	Keep up to date with relevant legal and regulatory changes. Seek feedback and act on it to improve your performance. Build your own capability through ownership of your own development, working with your manager.
<b>Honesty and Integrity</b>	Be truthful, sincere and trustworthy in your actions. Show integrity by doing the right thing. Maintain appropriate confidentiality at all times.
<b>Flexibility</b>	Adapt positively to changing work priorities and patterns when new tasks need to be done or requirements change.
<b>Resilience</b>	Display energy and enthusiasm in the way you go about your role, dealing positively with setbacks when they occur. Stay positive under pressure.