

Financial Services Professional.

Level 6 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
Industry and Organisation Understanding	Deep understanding of the structure of the Financial Services industry and in particular the role your part of the sector and organisation plays; the purpose of the function in which you work; how your function relates to the wider business. Good understanding of the impact the external environment has on Financial Services as appropriate to your role, together with relevant best practice. Sound understanding of the organisation's 'Values' and professional standards and how these are evidenced through your role. Clearly understand the purpose of the different areas of the organisation you need to work with in your role, and how you support them.
Financial Services Legal/Regulatory/Compliance Framework	Deep understanding of the relevant Financial Services legal and regulatory framework and ethics, and the purpose behind them. Sound understanding of the risk and governance frameworks of your organisation and sector, and how these manifest themselves in the role. Sound understanding of relevant rules and principles for your own role and team. Understand and can clearly articulate the implications of non-compliance for your organisation.
Products and Services	Deep understanding of the relevant Financial Service products and services offered to clients and customers by your organisation, together with sound knowledge of the products and services, and your features and benefits, relevant to your role.
Client/Customer Segments	Sound understanding of the client/customer segments that the organisation delivers to and the channels that you use. Understand the approach to delivering fair client and customer outcomes across the business in a financial services setting, including best practice. Deep understanding of your client's and customer's relevant financial service requirements relevant to your role (internal and external as appropriate)
Systems and Processes	Sound understanding of the organisation's policies and procedures. Sound understanding of the systems, tools and processes used in the role, together with the standards to be met. Proficient in the relevant IT skills, this may include the generic (e.g. excel), and organisation and Financial Service specific software/systems, as required to deliver the role outcomes
Systems and Processes	Excellent understanding of the organisation's technical policies and procedures. Full understanding of the systems, tools and processes used in the role, together with the standards to be met. Proficient in relevant IT skills, this may include the generic (e.g. Excel), and organisation and Financial Service specific software/systems required to deliver the role outcomes. Deep understanding of how these support and fit within the corresponding markets and counterparty organisations.

Skills and Behaviours	Learning Outcomes
Client/Customer Relationships	Build ethically sound and trusted relationships with internal and/or external clients/customers to form the basis of a long-term partnership. Work with client/customers to identify their relevant financial services requirements. Provide flexible and innovative solutions, integrating products and excellent service as appropriate to your role, in order to support client/customers and meet their best interests
Delivering Services	Carry out all required activities, using agreed systems and processes, to ensure that the relevant policies of the organisation for your area of specialisation are met. Take the initiative to meet challenging individual and team performance measures in line with organisation policy, Values, standards and sector relevant regulatory requirements. Identify and communicate risks to the relevant management or compliance personnel within the organisation, understand and follow the appropriate company process to address. Deliver projects as required.
Strategy and Planning	Contribute to the development of strategic and operational plans for your area. Manage and report on progress of specific elements of this in your area of responsibility. Proactively plan and organise your work and time, clearly identifying priorities to meet commitments, KPIs and deadlines.
Problem Solving and Decision Making	Evaluate information quickly and draw accurate conclusions. Assess a problem from multiple angles to ensure all relevant issues are considered. Gather the appropriate facts and evidence in order to make decisions effectively, using a structured approach. Respond appropriately to unexpected events.
Communicating and Network	Deal effectively with client, customers and colleagues at every level of the organisation required by the role. Using strong interpersonal skills and communicating well through a range of media, using language that is meaningful to the recipient e.g. written reports, presentations, phone, face-to-face, email. Communicate complex information clearly. Listen actively to understand needs and adapt your style to the recipient. Engage and network proactively with client, customers and colleagues, including senior management, as required, to deliver business outcomes.
Team Working and Collaboration	Build and maintain strong positive working relationships with clients, colleagues and suppliers as appropriate. Consistently support colleagues and collaborate to achieve results. Be aware of your role within team, how your team fits within the business, and how the team's decisions impact on others. Take a leadership role in the team when appropriate.
Continuous Improvement	Identify opportunities to drive higher performance and improve service and processes delivered, including sharing, and looking outside of your team for best practice. Lead and/or contribute to the development of specific changes through to implementation – this may include projects wider than your role.
Developing Self and Others	Keep up-to-date with sector relevant legal and regulatory changes, and alerts others to the implications where necessary. Seek feedback and act on it to improve your performance. Build your capability through ownership of your own development. Act as a role model, and support others in their development as appropriate.
Honesty and Integrity	Be truthful, sincere and trustworthy in your actions. Show integrity by doing the right thing, demonstrating the organisation's Values. Maintain appropriate confidentiality at all times. Be a visible role model, and coach others where appropriate. Follow and promote appropriate organisational procedures and policies.
Adaptability	Adapt positively to changing work priorities and patterns, and be flexible to the needs of the organisation. Demonstrate willingness to adapt an approach to assist the organisation and individuals to manage priorities as circumstances change, new tasks need to be done, or when business requirements change. Respond well to change.
Resilience and Enthusiasm	Display energy, determination and enthusiasm in the way you go about your role, dealing positively and with determination when setbacks occur, or when managing difficult situations. Stay positive under pressure, and show tenacity to follow jobs through to completion.
Innovation and Creativity	Demonstrate a curious and questioning approach to your work. Be creative, innovative and enterprising when seeking solutions to business needs, whilst understanding relevant boundaries e.g. financial services regulations.
Attention to Detail	Handle tasks with thoroughness and accuracy. Take ownership for the quality of your work, and recognise and resolve errors.