



Level 4 Apprenticeship Regulatory Compliance Officer

Credit Services Association (CSA)

Apprenticeships Programme Overview

Well designed and enforced regulation plays a vital role in improving the way markets work for the benefit of business, employees and citizens, supporting sustainable growth, trade and investment and improved social and environmental outcomes. It is well recognised that the regulatory climate is a key contributor to the creation of a positive and supportive business environment whilst also assuring public and environmental protection.

Units

Unit 1: Regulation

- Own regulatory framework presentations
- Interpreting regulation
- Support networks
- Summary of unit 1

Unit 3: Business Stakeholders and their Compliance Needs

- Examine the importance of establishing strategic relationships with key stakeholders
- Understanding and mapping the needs and concerns of stakeholders
- Summarise the integral conditions for forming relationships with stakeholders
- Commission and canvas support throughout the organisation

Unit 5: Deliver a Service

- Devise achievable milestones that will monitor the progress of the implementation of the compliance service
- Commission and canvas support from the organisation for a corporate approach to the delivery of a strategic compliance plan
- SMART objectives
- Devise achievable milestones that will monitor the progress and outcomes of the compliance service
- Create a continuous review cycle which will measure the effectiveness of the organisation's regulatory outcomes – ensuring business prosperity and consumer/environmental protection.
- Work within the organisation's policies and procedures and the law.

Unit 2: Risk Assessment

- Introduction to risk
- Risk assessment models and methods
- Risk assessment in the public sector

Unit 4: Evaluation & Evaluate

- Advantages of internal and external evaluation
- Objective setting
- Evaluate how a compliance system and controls fit into the business planning cycle
- Create a continuous review cycle for own performance
- Critically evaluate the outcomes which distinguish between ethical and compliance driven behaviours



Length of course

16 months

Number of units

14 units

Blended learning approach

- Attendance at workshops
- e-Learning
- Structured workplace learning
- Tutorials from experienced tutors
- Mini-projects



Unit 6: Risk Assess

- Produce reflective learning review of project to evaluate where a risk assessment of regulatory risks would have been beneficial to the project
- Create outline of what would be done next time following taught aspects of risk management

Unit 7: Collect and Analyse Data

- Learners will compare use of data to inform risk assessment completed in month 10
- MI available in organisations
- Identifying and using compliance MI to improve performance
- Good MI practices

Unit 8: Understand Businesses they Work With

- Identify and explain the statutory codes applicable to your organisation
- Explain how a compliance process system can be used in own firm to achieve compliance with statutory code compliance driven behaviours

Unit 9: Plan Activities

- Individual objective setting
- Individual organisational planning
- Time management techniques
- Setting team activities
- Teamwork
- Risk assessing individual and team priorities
- Measuring success

Unit 10: Choosing Appropriate Interventions

- Measuring and monitoring compliance in accordance with a management system
- Teamwork reminder
- Conflict management
- Using proportionate and measurable outcomes rather than opinions when providing feedback
- Using proportionate and measurable outcomes to choose where to intervene
- Communication techniques within and outside own business

Unit 11: Check Compliance

- Compliance management system
- Quality monitoring in own firms
- Identifying measurable outcomes
- Identifying practical requirements
- Communicating audit/monitoring agenda
- Considerations while conducting compliance checks
- Making objective decisions
- Processes for continual improvement

Unit 12: Support Compliance

- Maintain records of promoting compliance, information and guidance in own firm providing additional support where advised by tutor
- Maintain records of providing advice throughout own business
- Evaluate own performance when providing compliance support

Unit 13: Respond to non-compliance

- Investigating non-compliance
- Communicating in difficult circumstances
- Role of compliance consultants
- Working with others to obtain and provide support
- Risk assessing non-compliant behaviour
- Risk based approach to resolving non-compliance

Unit 14: Effective Decision Making

- Skills for making objective judgements
- Decision making practice
- Factors when sharing data

Unit 15: IT and Digital

- Audit a key IT system demonstrating findings in relation to Data Protection compliance
- Demonstrate communication with regulator using online technologies providing explanations of approach taken

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Gateway to Assessment

- Compilation of a mini-portfolio of evidence based on a combination of technical knowledge and core regulatory competencies
- A review of technical discipline specific skills by the employer

Notes

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