

Compliance and Risk Officer

Level 4

Duration: 15-18 months

Funding band: £9,000



What is the background to this programme?

All financial services organisations have to meet a wide range of compliance and risk requirements set out in legislation e.g. data security, or required by regulators e.g. financial crime, operational risk. To meet these requirements many organisations will have dedicated Risk and/or Compliance departments that are experts in the relevant legislation/regulator requirements. They provide proactive support and guidance to the business areas to ensure that the organisation meets this wide range of requirements, balanced against achieving appropriate customer outcomes. In some organisations, this expertise may be embedded in the business areas themselves.

Within the Risk/Compliance function of a specific organisation, the role of the Compliance/Risk Officer is likely to include providing relatively straightforward support and advice to the business on their specific area(s) of expertise e.g. financial crime, training and competence, fraud; working with the business on specific problems that emerge; analysing data, maintaining records and producing reports; working on reviews/audits to check that policies are being correctly applied.

What are the entry requirements?

Individual employers will set the selection criteria for their Apprenticeships. It is recommended that employers may want most candidates to have Level 2 Maths and English. Other relevant or prior experience may also be considered as an alternative.

What is covered?

- Delivering Services
- Analysing and Problem Solving
- Communicating and Influencing
- Team Working
- Personal development
- Continuous Improvement

What qualification is achieved?

International Compliance Association - Cert in Anti Money Laundering; Cert in Compliance; Cert in Financial Crime Prevention; Specialist Cert in Money Laundering Risk; Specialist Cert in Trade Based Money Laundering; Specialist Cert in Corporate Governance; Specialist Cert in Managing Sanctions Risk; Specialist Certificate in Conduct Risk; Advanced Cert in Compliance.

Chartered Institute of Securities & Investment - Combating Financial Crime; Global Financial Compliance; Risk in Financial Services; Managing Cyber Security

The London Institute of Banking & Finance - UK Financial Regulation; Financial Services, Regulation and Ethics; Certificate in Business Banking and Conduct; (The LIBF qualifications “Award in Customer Complaints handling” and “Cert in Regulated Complaints Handling” are withdrawn – existing apprentices must have taken their exams by 1.5.2019). Certificate in Retail and Digital Banking (CertRDB). (This qualification replaces the LIBF Certificate in Retail Banking & Conduct (CertRBCB). All new apprentices should take CertRDB. Any existing apprentices part way through their studies may complete CertRBCB.

Chartered Banker Institute - Cert in Complaint Handling

Chartered Insurance Institute - Certificate in Financial Services, Certificate in Insurance

Chartered Institute of Credit Management - Diploma in Credit Management; CSA Diploma, Working in Debt Collection

Institute of Risk Management - International Certificate in Risk Management

Apply to start or ask for more information

Our team are here to help.

The quickest route is to email learning@davies-group.com

We look forward to chatting to you soon!



“I wholeheartedly recommend Davies Learning Solutions, my learning journey has been clear and supported and I passed first time – thank you!”

– Pelumi Ojo, Apprentice