

Risk and Conduct Stage 2.

Level 6 Professional Career Development Programme

The Professional Career Development Programme is aligned to the Level 6 Senior Compliance/Risk Specialist Apprenticeship Standard. More information on the standard can be found on the **Institute for Apprenticeships website**.

To check if this programme is suitable for you, ask yourself the following questions:

- Would a professional in my role be expected to display the knowledge, skills and behaviours detailed below?
- Will I have the opportunity to demonstrate the skills detailed below in my current role?
- Will completion of this programme help me to be more effective in my current role?

During the application process your Line Manager will be asked to confirm that this programme is relevant for your role. This is important, as completion of the programme and your professional accreditation relies on your ability to provide evidence that you've learned and applied the skills detailed below back at work.

Knowledge	Learning Outcomes
Risk and Compliance Framework	Deep understanding of the Financial Services legal and regulatory framework, the role of the different regulators (if appropriate), their objectives and primary functions, the inter-relationships between them. Can clearly articulate the implications of non-compliance for their organisation.
Industry and company understanding	Deep understanding of the structure of the Financial Services industry and in particular the role their sector and organisation plays; the purpose of the function in which they work; how their function relates to the wider business. Deep understanding of the impact the external environment has on Financial Services and their role, together with relevant best practice. Understands the organisation's 'Values', professional standards and how these are evidenced through their role. Clearly understands the purpose of the different areas of the organisation they need to work with in their role and how they support them.
Customers and Products	Sound understanding of the customer segments that the organisation delivers to, and the approach to delivering fair customer outcomes across the business - particularly for their role. Broad understanding of the products and services provided to customers by their organisation. Deep understanding of the products and services that they support, particularly as it relates to their role e.g. inherent risks that need to be managed
Systems and Processes	Understands the systems, tools and processes used in the role, together with the standards to be met, including IT tools.

If you have any questions about the programme, contact BPP:

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Skills and Behaviours	Learning Outcomes
Specialist Risk	Working knowledge of relevant risk frameworks/methodologies in Financial Services e.g. risk appetite, thresholds, key risk indicators. Deep understanding of the methodologies, tools/techniques used in their organisation for managing the specific area(s) of risk covered by their role. Examples of risk areas are: operational, conduct, credit, market, liquidity, capital, people
Financial crime	Deep understanding of legal, Financial Conduct Authority (FCA) and other rules/regulations relevant to their role together with how these are applied within their organisation; typical risks and controls; current best practice. This may include financial crime, anti money laundering, terrorist financing.
Compliance/ Risk for smaller organisations	Sound understanding of the range of risk/compliance requirements for their 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/regulatory requirements eg FCA Handbook and the policies/procedures used by the organisation to implement these requirements.
Strategy and Planning	Contributes to the development of strategy and operational plans for their area. Manages and reports on progress of specific elements of this in their area of responsibility. Proactively plans and organises their work, clearly identifying priorities, to meet commitments / KPIs, including regulator deadlines.
Delivery Services	Provides support, guidance and challenge where necessary to the business in their area of expertise. Carries out all required activities, using agreed systems and processes, to ensure that the relevant policies of the organisation for their area of specialisation are met. Works with the business to build their expertise and understanding of their responsibilities through e.g. coaching, training. Takes the initiative to meet challenging individual and team performance measures in line with company policy, Values, standards and regulatory requirements. Delivers projects as required.
Analysis and Problem solving	Analyses and interprets a wide range of complex business information, legal and regulatory information. Produces a range of outputs that may include recommendations, management reports, draft guidance, policies, procedures for internal or external use. This may involve complex modelling using appropriate tools. Works on specific and often complex problems/issues with the business, carrying out analysis, recommending solutions.
Communicating and Influencing	Deals effectively with customers/colleagues at every level of the organisation, using sound 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. Communicates complex information clearly. Listens actively to understand needs and adapts their style to the recipient. Engages proactively with customers/colleagues, including senior managers. Challenges in an appropriate way when necessary and influences managers on the desired course of action to ensure compliance/risk requirements are met.
Teamwork	Builds/maintains strong positive working relationships with customers/colleagues /suppliers /regulators as appropriate. Consistently supports colleagues /collaborates to achieve results. Aware of their role within team, how their team fits within the business and how the team's decisions impact on others. Takes a leadership role in the team when appropriate.
Continuous Improvement	Identifies opportunities to drive higher performance and improve service delivered. Takes ownership/leads development of specific changes through to implementation – this may include projects wider than their role.
Developing self and others	Keeps up to date with relevant legal/regulatory changes and alerts others to the implications where necessary. Seeks feedback and acts on it to improve their performance. Builds their own capability through ownership of their own development, working with their manager. Acts as a role model and supports others in their development as appropriate.
Honesty and Integrity	Truthful, sincere and trustworthy in their actions. Shows integrity by doing the right thing.
Flexibility	Maintains appropriate confidentiality at all times. Visible role model and coaches others where appropriate.
Resilience	Adapts positively to changing work priorities and patterns when new tasks need to be done or business requirements change.