



COMPLIANCE

TRANSPARANCY

POLICIES

STANDARDS

REQUIREMENTS

Why Work as a... Compliance and Risk Officer

A solution for your training needs and career progression

ROLE OVERVIEW

Compliance and risk officers play a crucial role in ensuring regulatory adherence and minimising potential risks. They focus on legal and regulatory requirements, while identifying and managing potential risks. They support businesses to meet their financial legal and regulatory obligations through a culture of compliance and conducting risk checks.

KEY POINTS

- **Level:** 3
- **Duration:** 15 months + End Point Assessment
- **Entry requirements:** You may be required to undertake training in maths and English. See [HERE](#) for more information
- **Career progression:** Senior Compliance and Risk Specialist, Operations or Departmental Manager

KNOWLEDGE REQUIREMENTS



- Role of the different regulators, and the implications of non-compliance for the organisation
- Range and purpose of organisations that are found in their wider industry, and their own organisation's position within this landscape
- Impact that the external environment and legal and regulatory requirements have on the organisation and on their industry
- Systems, tools and processes that assist in identifying, managing and mitigating compliance and risk issues
- Professional standards and best practice, and how these are applied
- Audit requirements and the responsibilities of the auditor and auditee

SKILL REQUIREMENTS



- Deliver risk and compliance services to stakeholders using organisational systems and processes
- Identify ways to reduce and mitigate incidents of non-compliance
- Produce evidence-based reports and management information for stakeholders considering visualisation techniques when presenting data
- Communicate about products with customers, colleagues or stakeholders in different styles, for example visually, verbally, written, using e-comms
- Apply continuous improvement techniques when delivering improved compliance outcomes and mitigating risks

BEHAVIOUR REQUIREMENTS



- Acts in a professional and ethical manner
- Maintains confidentiality and acts with due care and diligence
- Seeks to continuously improve and develop themselves and their team
- Adapts to, and is resilient in, challenging or changing situations
- Keeps up to date with relevant legal, regulatory and other changes affecting the industry
- Collaborates with and supports colleagues

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