



Credit Services Association

Level 6 Apprenticeship

Senior Compliance and

Risk Specialist

Programme Overview





CSA Apprenticeships

Raising standards and building careers through tailored, personal and flexible training.

CSA Learning

An award-winning learning and development specialist and an Approved Apprenticeship Training Provider, CSA Learning* supports firms and employers to train, improve and assess their workforces in our specialist areas including credit, debt collection, compliance, counter-fraud, trading standards and governance.

CSA provides employers with training to reskill existing staff, as well as a means of introducing new employees to your company and sector. Our tutors are all specialists in their fields, with learner feedback consistently highlighting the exceptional standard of workshop delivery.

Credit Services Association (CSA)

The CSA is the only national trade association in the UK representing organisations in the debt collection and purchase industry.

Drawing upon this extensive experience of working within highly-regulated environments, the CSA develops and delivers learning & development solutions designed to increase capability, professionalism, standards, talent retention, and social mobility in this complex sector.

We use this specialist expertise and experience to assist employers from the public and private sectors to upskill and reskill existing or new employees in business-critical areas.

To learn more contact:

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T: 0191 217 2948

W: www.csa-uk.com/csa-learning

What to expect from CSA Apprenticeships



Free consultancy on your skills and talent requirements and how they can be met through the delivery of our specialist apprenticeships and other L&D solutions.

Advice and guidance on the Apprenticeship Levy and specific Government incentives for apprenticeships, and how these can be used to maximise ROI.



Integration and mapping of your own policies, procedures, training content, and competence frameworks into the apprenticeship programmes to ensure relevance and business impact.

Dedicated account management and support through the entire process, including regular progress reports, from a friendly and knowledgeable team.





Expert professional coaching, training, and assessment of your apprentices using innovative approaches to blended learning which add real value to your organisational performance.

Digital delivery for flexible work-based learning throughout the apprenticeship.



Scheduled group workshops that support the development of the knowledge, skills, and behaviours required for the role – 96% of CSA apprentices say they can directly apply learning from these workshops to their daily work*.

Personal development, safeguarding, and pastoral support for learner wellbeing and mental health including access to CSA's Employee Assistance Programme.



Robust quality assurance policies and procedures.

A man and a woman are working together at a wooden desk. The man, on the left, is wearing a brown sweater and glasses, smiling. The woman, on the right, is wearing a beige blazer and glasses, also smiling. They are looking at a laptop screen which displays a colorful dashboard with various charts and graphs. There are also several printed documents with charts and graphs on the desk. The woman is holding a pen over a notebook. The overall atmosphere is professional and collaborative.

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Senior Compliance and Risk Specialist

Our expert team of account managers and tutors guide learners and their line managers/mentors through the apprenticeship from enrolment to End Point Assessment. Following initial learning assessments we tailor the programme to individual learners' needs.

Duration

36 months (30 months learning delivery, plus 6 months for End Point Assessment).

Qualifications

Level 6 Apprenticeship (Equivalent educational level: Bachelor's degree) plus chosen International Compliance Association qualification

Funding

We will work with you to maximise Apprenticeship Levy funds and access any other support or incentives that are available to fund the programme.

CSA blended learning delivery

Flexible combination of group workshops, e-learning, structured workplace learning, tutorials, and mini projects – can be fully integrated with wider internal training and organisational needs.

Programme Overview

As a trade association in a heavily regulated sector, our Code of Practice is the benchmark for industry best practice and we work closely with the Financial Conduct Authority and other regulators to ensure that it guarantees the highest compliance standards.

All financial services organisations have to meet a wide range of compliance and risk requirements set out in legislation. To meet these requirements many organisations will have dedicated risk and compliance departments that are experts in the relevant legislation and regulatory 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.

We draw on our industry expertise to offer the Apprenticeship Levy funded Level 6 Senior Compliance Risk Specialist Apprenticeship Standard to employers looking for a cost effective way to up-skill new or existing employees on a career pathway in this business-critical area. The programme covers the knowledge, skills, and behaviours required to carry out the role at a senior level including:

- Drawing on technical expertise to provide high quality, ethical input and advice to the business.
- Identifying and dealing with complex compliance and/or risk related issues.
- Implementing new policies and procedures to meet legal and regulatory requirements.
- Influencing senior management and other key stakeholders.
- Specific technical knowledge required for different roles are covered by flexible specialist options.

We also work in close partnership with the International Compliance Association (ICA) to help employers and apprentices integrate one of the following mandatory qualifications with the apprenticeship programme:

- International Diploma in Anti-Money Laundering.
- International Diploma in Governance, Risk and Compliance.

■ Modules

Module 1: Introduction

- Introduction to apprenticeships
- Introduction to GRC
- Behavioural concepts of GRC
- Time management skills
- Behaviours required at Level 6

Module 2: Understanding your Industry

- History of financial Services and your own industry
- Sectors which make up your industry
- The external environment
- Professional standards in your industry

Module 3: Risk Management

- Introducing Risk
- Concepts of Risk Management
- Risk Management Frameworks
- Setting Risk Appetite
- Focus on Conduct Risk, Customer Risk and Enterprise Risk

Module 4: Legal and Regulatory Framework

- The history of regulation
- Approaches to regulation
- Influences on regulation
- Sources of law
- Your regulatory framework
- Senior management accountability

Module 5: Prudential Compliance

- Exploring prudential risks
- Managing prudential risks
- PRA Rulebook
- Types of firms
- Tolerance

Module 6: Compliance in Action

- Implementing compliance frameworks
- Managing change
- Continuous improvement
- Product governance
- Analysis and problem solving
- Teamwork

Module 7: Professional Qualification

- You are able to choose a professional qualification to complete as part of this course.

Module 8: Data and GDPR

- Background to Data Protection
- Basis for processing data and vulnerable customer's data
- Data subject rights
- Privacy by design
- Handling breaches

Module 9: Stakeholder Management

- Principles of stakeholder management
- Influencing skills
- Communication
- Conflict and crisis management
- Helping vulnerable customers

Module 10: The Duties of the Compliance Risk Specialist

- Summary of the duties set out in the course standard
- Reflection on course content
- Leadership
- Delivering services

Module 11: Project

- Learner-led work based project

Module 12: End Point Assessment preparation

- Professional discussion
- Portfolio and project
- Presentation



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