



Credit Services Association **Level 4 Apprenticeship** **Regulatory Compliance Officer**

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:

E: apprenticeships@csa-uk.com

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 free access to CSA's Employee Assistance Programme.



Robust quality assurance policies and procedures.



CSA Level 4 Apprenticeship

Regulatory Compliance Officer

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

Duration

20 months: 18 months for learning delivery plus 2 months for End Point Assessment (EPA subject to change).

Qualifications

Level 4 Apprenticeship (Equivalent educational level: Higher National Certificate).

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**.

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. Regulatory compliance can be both complex and costly. To help to mitigate this, we draw on our **industry expertise in a heavily regulated, compliance-driven sector** to offer the Apprenticeship Levy funded **Level 4 Regulatory Compliance Officer Apprenticeship** Standard to employers across a range of sectors from financial services firms to Local Authorities, looking for a **cost effective way to up-skill or re-skill** new or existing employees on a successful career pathway in this business-critical area.

The programme is designed to take learners from a standing start to a **highly skilled professional** who will add real value to your organisation/team and help to **demonstrate compliance competence**. It develops the knowledge, skills, and behaviours needed to perform, monitor, and support key regulatory compliance activities within public and private sector organisations including:

- Assessing the extent to which a business meets the requirements of the law and/or relevant audit standards.
- Working with businesses to help them comply with relevant legislation in their sector and/or meet the requirements of private standards e.g. International Organisation for Standardisations (ISO).
- Providing information, guidance and advice to businesses on how to comply with legislation or meet audit requirements in their sectors.
- Collecting and analysing business data to build a picture of business compliance.
- Conducting risk assessments and highlighting hazards which may result in non-compliance by the business.
- Auditing and monitoring business compliance in relation to the regulations which apply to a specific sector.
- Writing reports following inspections or audits.
- Liaising with businesses/regulators to resolve any issues of noncompliance.
- Managing relationships with businesses and providing customer service.
- Dealing with complaints from consumers and other businesses and investigating them.

■ Modules

Module 1: Business, Regulation, and Sources of Law

- Understanding Business
- Introduction to Regulation
- Sources of Law
- Case Study

Module 2: Regulation and Risk

- Central & Local Government
- Regulators' Code
- Risk Based Approach
- Health & Safety and Wellbeing
- Personal Development Plan

Module 3: Supporting Businesses and the External Environment

- Growth Duty
- Products and Services
- Stakeholder Management
- External Factors
- Horizon Scanning

Module 4: Non-Compliance and Project Management

- Checking Compliance
- Responding to Non-Compliance
- Preparing for Live Inspections
- Project Management

Module 5: Compliance Control & Complaint Handling

- Investigatory Powers
- Complaint Handling
- Communicating Effectively
- Communication and Questioning Techniques
- Prosecution
- Continuous Improvement

Module 6: Technology, Data, Compliance and Sharing Information

- Technology
- Data Usage and Management
- Managing Storing and Sharing Information

Module 7: Governance, Evaluation & Feedback

- Governance and Audits
- Objectives Based Evaluation
- Information & Feedback to Improve Regulatory Performance
- Your Performance as a Regulatory Compliance Officer
- The EPA Process

Module 8: Prepare for End Point Assessment



Our Experience

Our experience in delivering the Level 4 Regulatory Compliance Officer Apprenticeship ranges from working with several high profile private sector employers to boost their compliance competence, to helping Government departments and Local Authorities develop new capability and talent by upskilling apprentices to fill essential roles in areas such as Coronavirus support, environmental health, and EU Exit regulatory services.

Case Study

In 2021, Laura Elliott, an apprentice regulatory compliance officer at **Northumberland County Council**, gained a merit in the End Point Assessment of the CSA Level 4 Regulatory Compliance Officer Apprenticeship before winning in the 'Advanced' category at the Council's Apprentice of the Year Awards.

Her mentor Laura Southwell, a Trading Standards Officer, who also won an award for mentoring the apprenticeship, said:

“

I want to convey my sincere thanks to the CSA apprenticeships team for their hard work and support in encouraging Laura to reach her potential through the apprenticeship process. It has been a pleasure to work with them as part of her learning journey.

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CSA (Services) Ltd
2 Esh Plaza
Sir Bobby Robson Way
Great Park
Newcastle upon Tyne
NE13 9BA

T: 0191 217 3073 (CSA Members)
T: 0191 217 2948 (Non-members)
E: apprenticeships@csa-uk.com
W: www.csa-uk.com/ld-apprenticeships-about

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