Level 3 Compliance and Risk Officer

UP TO 15 MONTHS
PRACTICAL LEARNING

1 MONTH
ASSESSMENT PERIOD

4 TASKSETS
PORTFOLIO EVIDENCE

348 HOURS
PLANNED OFF-THE-JOB

ICA CERTIFICATE
4 UNITS | EXAM BY W10

01–08 | FOUNDATIONS, ICA, RISK & GOVERNANCE

Read left to right, then continue below

MONTH 01 — FOUNDATIONS

Induction & CRO role

- Induction, learning profile and course expectations
- Role scenarios, ethics and compliance duties

PLANNED OTJT – 25 HRS
Welcome check-in (W4)

MONTH 02 — FOUNDATIONS

Financial services market

- Financial firms, markets and regulators
- Economic impact and environmental sustainability

PLANNED OTJT – 23 HRS
Monthly OTJT log

MONTH 03 — FOUNDATIONS

ICA Certificate & regulation

- ICA study: 4 units, 20 guided learning hours
- ICA exam by W10; regulation workshop W12

PLANNED OTJT – 43 HRS
ICA exam due(W10)
Progress review (W10)

MONTH 04 — GOVERNANCE

Risk management process

- Identify, assess and document risks
- Mitigation tools

PLANNED OTJT – 23 HRS
Monthly OTJT log

MONTH 05 — GOVERNANCE

Dealing with regulators

- Regulatory reporting and data collection
- Interpret rules and seek clarification

PLANNED OTJT – 23 HRS
Progress review (W20)

MONTH 06 — GOVERNANCE

Governance frameworks

- Organisational governance and accountability
- Compliance frameworks and oversight

PLANNED OTJT – 23 HRS
Monthly OTJT log

MONTH 07 — GOVERNANCE

Systems & processes

- Professional standards and compliance processes
- Systems, tools, controls and procedures

PLANNED OTJT – 23 HRS
Check 1 (W26),Taskset1(W30)
Review (W30)

MONTH 08 — PRACTICE

Products & services

- Financial services products and features
- Customer benefits and organisational risks

PLANNED OTJT – 23 HRS
Monthly OTJT log

09–16 | PROFESSIONAL PRACTICE, EVIDENCE & ASSESSMENT

Month 16 is the assessment period

MONTH 09 — PRACTICE

Digital technology

- Digital research and data visualisation
- Data protection and secure information

PLANNED OTJT – 23 HRS
Knowledge & Skills Check 2 (W38)

MONTH 10 — PRACTICE

Planning & teamwork

- Prioritisation, planning and time management
- Team working and role effectiveness

PLANNED OTJT – 23 HRS
Review (W40), Taskset 2 (W42)

MONTH 11 — PRACTICE

Effective communication

- Written, verbal and non- verbal methods
- Tailor communication to different audiences

PLANNED OTJT – 23 HRS
Knowledge & Skills Check 3 (W46)

MONTH 12 — PRACTICE

Culture of compliance

- Embed compliance into business practice
- Professional ethics and confidentiality

PLANNED OTJT – 23 HRS
Review and Taskset 3 (W50)

MONTH 13 — APPLIED

Compliance projects

- Plan and deliver compliance projects
- Collaborate to reduce non-compliance

PLANNED OTJT – 23 HRS
Knowledge & Skills Check 4 (W52)

MONTH 14 — APPLIED

Influencing & CPD

- Influence, resilience and conflict handling
- CPD and responding to regulatory change

PLANNED OTJT – 25 HRS
Taskset 4 (W56), CPD (W60)

MONTH 15 — APPLIED

Case study & preparation

- Apply programme learning to case studies
- Prepare for the assessment interview

PLANNED OTJT – 2 HRS
Interview prep (W63); case study (W64)

MONTH 16 — ASSESSMENT

Assessment interview

- Interview with the assessment organisation
- Skills and behaviours considered in the role

ASSESSMENT PERIOD
Assessment interview (W65)

QUALIFICATION & ASSESSMENT MILESTONES

ICA Certificate by W10 | Four K&S checks and four portfolio tasksets

REGULATORY COMPLIANCE & RISK CONTROLS — CHECK 1 / TASKSET 1
K&S Check W26 | Taskset W30

COMPLIANCE DATA ANALYSIS & MANAGEMENT INFORMATION — CHECK 2 / TASKSET 2
K&S Check W38 | Taskset W42

INFORMATION SECURITY & DATA PROTECTION — CHECK 3 / TASKSET 3
K&S Check W46 | Taskset W50

STAKEHOLDER COMMUNICATION — CHECK 4 / TASKSET 4
K&S Check W52 | Taskset W56

THROUGHOUT MONTHS 1–14 Monthly OTJT logs. Progress reviews in Months 3, 5, 7, 10 and 12.

W = programme week

Source: Skills Edge Training, L3 CRO v4 Scheme of Work (updated 10 Nov 2026, ST0362). Exit review appears in Month 17 (W70), beyond 16 months.

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