



HIGHER APPRENTICESHIP

# Regulatory Compliance

Level 4

# 4

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# Apprenticeship Framework

This apprenticeship is designed to provide the core skills, knowledge, and competencies required for working in a field where compliance is a key element of the job role, in both public and private sectors. Where relevant, this programme supports financial institutions, the healthcare sector and other organisations employing auditors to meet regulations, codes of practice, and standards.

## The programme prepares learners for roles such as:

- Trading Standards Officer
- Environmental Health Officer
- Licensing Enforcement Officer
- Environmental Crime Enforcement Officer
- Auditors
- Finance Professionals

## Who is this apprenticeship for?

The Level 4 Apprenticeship provides access to a wide range of regulatory delivery roles in the public and private sector. This qualification supports already employed people with a pathway to a rewarding career in compliance and other regulatory activities across a broad range of sectors.

## On completion of this apprenticeship, you will achieve the following:

- [Agored Cymru Level 4 Regulatory Compliance](#)
- [Level 2 Essential Skills Communication](#)
- [Level 2 Essential Skills Application of Number](#)

*\* If you already hold qualifications, these may be used as 'exemptions' towards your apprenticeship framework see page 4 for more information*



## Benefits of the apprenticeship programme:

**Accelerate Your Career Growth:** With the Level 4 Regulatory Compliance apprenticeship, you will refine your administration skills and gain practical experience to propel your advancing career across a wide spectrum of industries.

**Industry-Recognised Certification:** Upon successful completion of this programme, you'll earn an industry-recognised certification, providing you with a competitive edge in the job market. Employer's value the skills and expertise gained through this apprenticeship, opening doors to exciting opportunities.

**Practical and Real-World Learning:** Our programme emphasises practical, real-world learning. You will practice skills in the workplace collaborating with experienced colleagues and supported by ALS professionals who will guide you through every step of the process.

**Tailored Curriculum:** Throughout the programme, you'll immerse yourself in essential topics such as strategic administration, organisational dynamics, leadership effectiveness and project coordination.

**Experienced and Knowledgeable Advisors:** Throughout your apprenticeship, you'll have access to a network of experienced advisors who will provide guidance, coaching, support, and feedback.

## Course Delivery

- Typical duration of 18 months.
- Induction session for apprentices and for their line managers.
- A series of workshops, either online or face-to-face
- 12 one-to-one support sessions lasting 2 hours
- Supported by self-study online resources.
- 4 Essential skills assessment days. (2 Preparation days and 2 Live Task days) \*\*
- 2 hour long essential skills confirmatory tests. \*\*

*\*\*Essential Skills activities are not applicable to apprentices with exemptions.*

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# Level 4 Regulatory Compliance

## Course Delivery

This programme will primarily be delivered through workshops and 1-to-1 sessions with a member of the ALS delivery team, using a mixture of face-to-face and remote learning sessions. An ALS assessor will meet with the learner, either in the workplace or through digital means (for example, Microsoft Teams) once a month for approximately two hours to support progress.

Employers will support apprentices gaining competence and are responsible for confirming competence prior to gaining the qualification.

## Qualification Structure Summary

The Level 4 Regulatory Compliance apprenticeship consists of 11 units totalling 61 credits.

**Please note:** Unit rules of combination:

- Mandatory Units (Learners must achieve all units) – 42 credits.

Mandatory Units		
Unit Title	Level	Credit
Principles of Regulatory Compliance	4	6
Business and Consumer Legal Frameworks	4	12
Risk Assessment in Compliance	4	6
Checking and supporting compliance	4	6
Responding to Non-compliance	4	5
Working with other in a compliance setting	4	3
Regulatory Compliance and Behavioural Change	3	4

## Optional Units

Unit Title	Level	Credit
Problem Solving	4	10
Data Processing	2	4
Principles of Safeguarding and Protection in a Regulatory Environment	2	3
Principles of Equality and Diversity	3	2



# Essential Skills Qualifications

When you agree to undertake an Apprenticeship, you may be required to complete Essential Skills as part of your apprenticeship framework.

## Essential Skills Wales

The Essential Skills Wales (ESW) will be initially assessed via an online Wales Essential Skills Toolkit (WEST) Assessment. Where a Learner already holds an ESW certificate or equivalent qualification this can provide an exemption, and learners will not need to complete that ESW element of the programme. Where a Learner is not exempt an Individual Learning Plan (ILP) will be generated from the initial assessment. The modules delivery will include independent learning via WEST, prior to guided learning sessions preparing the Learner for their assessment. ESWs are assessed via controlled tasks and confirmatory tests for Communication and Application of Number, are assessed via a controlled task and structured activity.

## Exemptions

If you already hold qualifications, these may be used as 'exemptions' towards your apprenticeship framework. As a result, you will be exempt from achieving that Essential Skill, if you wish. This will be discussed with you before you sign up with us and will also be followed up by your assessor before and during your first visit from us.

### Have any questions about our Level 4 Regulatory Compliance?

We are here to help. If you have any further questions or enquiries about the main qualification element of the programme, please contact [info@alstraining.org.uk](mailto:info@alstraining.org.uk)