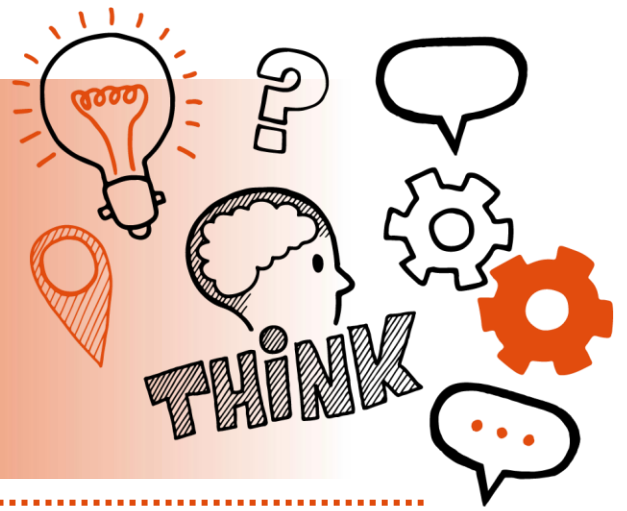


Think about

Project report with presentation,
questions and answers

Level 4 ST0430 Regulatory
Compliance Officer V1.1



On the day of this assessment you will carry out:



A 60-minute presentation with questions
(this will typically include a presentation of 35 minutes and
questioning lasting 25 minutes)



Remote or face-to-face



In a suitable, controlled environment free from
distraction



With an end-point assessor



Key point

You will have already submitted your project report and any
presentation materials by the end of week 8 of your EPA.



Do

- Review the criteria associated with the project report with presentation, questions and answers - this can be found in the EPA Kit and in the table at the end of this document
- Review relevant legislations, regulations and your organisation's policies and procedures
- Ensure a quiet room is available and that there are no interruptions
- Be prepared to answer at least 6 questions and any follow-up questions that your assessor may ask



Don't

- Forget to bring your ID
- Forget to plan
- Forget to bring your project report and presentation materials to refer to during the presentation, questions and answers



Next steps

- Results can take up to 7 working days to be confirmed
- Your manager or training provider will inform you of the results



Resits

- If you do not achieve a pass result on the project report with presentation, questions and answers, you can resit the assessment





Use the table below to plan and prepare for the project report with presentation, questions and answers

(P) indicates pass criteria

(D) indicates distinction criteria

Assessment criteria	Key points to remember
Risk Management and Investigation	
(P) Outline the roles and responsibilities of partner organisations and their interrelationships (K5)	
(P) Describe how you make informed assessments of the risk of a business or individual's non-compliance in your sector, using risk assessment tools to support and protect (K6, S2)	



(P) Justify how you implement statutory and non-statutory interventions to assess, respond to, and secure compliance, making proportionate, risk-based intervention choices to address and resolve identified non-compliance issues (K8, K12, S4, S6)

(P) Outline how you apply a range of appropriate techniques and controls to assess compliance and identify trends, monitor progress against risks and evaluate internal controls to ensure ongoing support for compliance (K9, K16, S7)



<p>(P) Outline how you evaluate products and services, including internal controls, to ensure legal, regulatory, and organisational compliance, considering sector-specific risks and factors influencing compliance approaches for businesses and individuals (K11, K14, S8)</p>	
<p>(P) Use outcomes of risk assessment, including of auditing and inspection and associated techniques, processes and documentation, to guide decisions, activities and targeting of resources (K15, S3)</p>	
<p>(P) Outline how you maintain confidentiality and ensure data integrity while curating, sourcing, accessing, and presenting appropriate data, applying quality controls to guarantee the correct use of data-driven findings and solving problems to meet business needs, always being mindful of data bias (K18, S10, B2)</p>	



(D) Evaluate the techniques you used to monitor progress and how these impacted the assessed risks (K9, S7)

(D) Justify the decisions you made based on the outcomes of audit, inspection and risk assessment (K15, S3)

Relationship Management

(P) Outline how you build and maintain working relationships with stakeholders, tailoring your approach to the needs and circumstances of those you interact with, applying customer service principles and ethical practices which promote fairness accountability and transparency and consider the impact your work has on businesses and individuals (K7, K22, K25, S13)



<p>(P) Outline how you follow the equity, diversity and inclusion rules, principles, policies and procedures relevant to your role when making evidence-based decisions and interacting with stakeholders and the impact this has on the organisation and its stakeholders (K23, S16)</p>	
<p>(D) Evaluates the impact that building good working relationships has had on their compliance work with businesses and individuals. (K7, S13)</p>	

V1.0

