

Highfield Level 4 End-Point Assessment for ST0430 Regulatory Compliance Officer

Mock Assessment Materials

Project report with presentation, questions and answers

Risk Management and Investigation			
Ref	Assessment Criteria (Pass)	Criteria Met	Criteria Not Met
RI1	Outlines the roles and responsibilities of partner organisations and their interrelationships. (K5)		
RI2	Describes how they make informed assessments of the risk of a business or individual's non-compliance in their sector, using risk assessment tools to support and protect. (K6, S2)		
RI3	Justifies how they 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)		
RI4	Outlines how they 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)		
RI5	Outlines how they 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)		
RI6	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)		
RI7	Outlines how they 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)		

Ref	Assessment Criteria (Distinction)	Criteria Met	Criteria Not Met
R18	<i>Evaluates the techniques they used to monitor progress and how these impacted the assessed risks (K9, S7)</i>		
R19	<i>Justifies the decisions they made based on the outcomes of audit, inspection and risk assessment (K15, S3)</i>		

Relationship Management			
Ref	Assessment Criteria (Pass)	Criteria Met	Criteria Not Met
RM1	Outlines how they build and maintain working relationships with stakeholders, tailoring their approach to the needs and circumstances of those they interact with, applying customer service principles and ethical practices which promote fairness accountability and transparency and considers the impact their work has on businesses and individuals. (K7, K22, K25, S13)		
RM2	Outlines how they follow the equity, diversity and inclusion rules, principles, policies and procedures relevant to their role when making evidence-based decisions and interacting with stakeholders and the impact this has on the organisation and its stakeholders. (K23, S16)		
Ref	Assessment Criteria (Distinction)	Criteria Met	Criteria Not Met
RM3	<i>Evaluates the impact that building good working relationships has had on their compliance work with businesses and individuals. (K7, S13)</i>		