



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

End-Point Assessment Kit



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EPA Kit

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How to use this EPA Kit

Welcome to the Highfield End-Point Assessment Kit for the Regulatory Compliance Officer apprenticeship standard.

Highfield is an end-point assessment organisation that has been approved to offer and carry out end-point assessments for the Level 4 Regulatory Compliance Officer apprenticeship standard.

The EPA Kit is designed to outline all you need to know about the end-point assessments for this standard and will also provide an overview of the on-programme delivery requirements. In addition, advice and guidance for trainers on how to prepare apprentices for the end-point assessment is included. The approaches suggested are not the only way in which an apprentice may be prepared for their assessments, but trainers may find them helpful.

In this kit, you will find:

- an overview of the standard and any on-programme requirements
- a section focused on amplification
- guidance on how to prepare the apprentice for gateway
- detailed information on which part of the standard is assessed by which assessment method
- suggestions on how to prepare the apprentice for each part of the end-point assessment
- a section focused on the end-point assessment method where the assessment criteria are presented in a format suitable for carrying out 'mock' assessments

Introduction

Standard overview

The main purpose of regulatory compliance is to ensure that organisations operate within the boundaries of the regulations that they are subject to.

The occupation is found in compliance functions of small, medium, large and multinational organisations. These organisations work in private, public and third sectors including government departments, local authorities, environmental health, gambling and licensing, health and social care organisations, retail, education institutions and charities. The occupation is also found in national regulators such as the Food Standards Agency (FSA), Health and Safety Executive (HSE), Office for Product Safety and Standards (OPSS) or Environment Agency.

The broad purpose of the occupation is to perform various regulatory compliance functions, support businesses and individuals to comply with relevant legal, regulatory and organisational requirements, identify risks which may result in non-compliance by businesses or individuals and assist in further developing policies and procedures to mitigate any identified risks. Individuals should be excellent communicators providing clear advice and guidance and have the ability to work independently, taking responsibility for their own caseload and responsibilities.

In their daily work, an employee in this organisation interacts with key stakeholders, regulators, clients, customers, suppliers and employees within other business functions internally. They use these interactions to build and manage relationships and to provide excellent service in helping individuals perform within their regulatory landscape.

An employee in this occupation will be responsible for obtaining information and data and using digital skills to make risk assessments as to the extent to which businesses and individuals meet regulations and standards for a specific sector.

On completion, apprentices may choose to register as professional members with the International Compliance Association (ICA) or associate members with the Chartered Institute of Environment Health (CIEH).

On-programme requirements

Although learning, development and on-programme assessment is flexible, and the process is not prescribed, the following is the recommended baseline expectation for an apprentice to achieve full competence in line with the Regulatory Compliance Officer apprenticeship standard.

The on-programme assessment approach will be agreed between the training provider and employer. The assessment will give an ongoing indication of an apprentice's

performance against the final outcomes defined in the standard. The training provider will need to prepare the apprentice for the end-point assessment, including compiling a portfolio of evidence (such as a provision of recordings of professional discussions or workplace evidence).

The training programme leading to end-point assessment should cover the breadth and depth of the standard using suggested on-programme assessment methods that integrate the knowledge, skills and behaviour components, and which ensure that the apprentice is sufficiently prepared to undertake the end-point assessment. Training, development and ongoing review activities should include:

- achievement of level 2 English and maths. If the apprentice began their apprenticeship training before their 19th birthday, they will still be subject to the mandatory requirement to study towards and achieve English and maths. The requirements for English and maths are optional for apprentices aged 19+ at the start of their apprenticeship training.
- completion of a portfolio through which the apprentice gathers evidence of their progress.

Portfolio of evidence

The apprentice must compile a portfolio of evidence during their time on-programme that is mapped against the knowledge, skills and behaviours (KSBs) assessed in the professional discussion underpinned by a portfolio of evidence.

It will typically contain **16 discrete pieces of evidence**. Evidence may be used to demonstrate more than **one knowledge, skill or behaviour** as a qualitative approach is suggested as opposed to a quantitative approach.

Evidence sources may include workplace documentation and records, for example:

- workplace policies and procedures
- witness statements
- annotated photographs
- video clips with a maximum total duration of 10 minutes; the apprentice must be in view and identifiable

This is not a definitive list and other evidence sources can be included.

The portfolio of evidence should not include reflective accounts or any methods of self-assessment. Any employer contributions should focus on direct observation of performance, for example, witness statements, rather than opinions. The evidence provided must be valid and attributable to the apprentice and the portfolio of evidence should contain a statement from the employer and apprentice confirming this.

The portfolio must be accompanied by a portfolio matrix. This can be downloaded from our website. The portfolio matrix must be fully completed including a declaration by the

employer and the apprentice to confirm that the portfolio is valid and attributable to the apprentice.

The portfolio of evidence must be submitted to Highfield at gateway. It is not directly assessed but underpins the professional discussion.

Workplace project

The project report with presentation, questions and answers assessment method involves the apprentice completing a significant and defined piece of work that has a real business application and benefit. This process may include for example, research, analysis and the completion of tasks or activities to achieve the outcome. The work completed for the project report assessment method must meet the needs of the employer's business and be relevant to the apprentice's occupation and apprenticeship.

The apprentice must complete the project **before** gateway. The employer should ensure the apprentice has the time and resources, within the project period, to plan and complete their project.

The apprentice must complete a project based on any of the following:

- Risk management and investigation
- Relationship management

The apprentice may work as part of a team to complete the project, which could include internal colleagues or technical experts. The apprentice must however, complete their project report and presentation unaided and they must be reflective of their own role and contribution. The apprentice and their employer must confirm this when the report and any presentation materials are submitted.

The apprentice will develop and complete the project report and presentation with questions after gateway.

Use of Artificial Intelligence (AI) in the EPA

Assessments must be carried out in accordance with the published assessment plan and all work submitted must be the apprentice's own. AI tools must not be used to generate evidence in its entirety or to replace the apprentice's own judgement, performance or competence. Any use of AI must be transparent, limited and properly referenced.

Where AI has been used by the apprentice as part of normal work activity (for example, drafting a document, worksheet or PowerPoint) this may form part of the portfolio provided that:

The apprentice has materially authored, verified and taken responsibility for the content:

- AI use is clearly declared and referenced within the work (include tool name, purpose and how outputs were verified)
- Source prompts, system settings and the portions influenced by AI are retained and available for review

- AI outputs must not substitute for authentic demonstration of competence against the standard

If an AI tool is used at any stage of an assessment method (for example, to prepare a presentation outline or to organise notes), its use must be fully referenced in the submission or assessor records, and must not compromise authenticity, validity or security. Assessors must be satisfied that decisions remain rooted in the apprentice's knowledge, skills and behaviours, and in direct evidence gathered through observation, questioning and professional discussion.

AI tools must not be used to produce assessment evidence end-to-end, to fabricate logs/records or to simulate performance.

Readiness for end-point assessment

In order for an apprentice to be ready for the end-point assessments:

- the apprentice must have achieved level 2 English and maths. The requirements for English and maths are mandatory for all apprentices aged between 16-18 at the start of their apprenticeship training. The requirements for English and maths are optional for apprentices aged 19+ at the start of their apprenticeship training.
- the apprentice must have gathered a **portfolio of evidence** against the required elements to be put forward to be used as the basis for the professional discussion.
- the apprentice must complete the **project** before gateway. The employer should ensure the apprentice has the time and resources, within the project period, to plan and complete their project.
- the apprentice must have gathered their organisation's policies and procedures as requested by Highfield. For guidance, a list of examples has been provided below.
 - Equity, diversity and inclusion rules and principles
 - Working flexibly and adapting to changing circumstances
 - Using resources sustainability
 - The relationship between legal and regulatory requirements of the sector and organisational requirements
 - Data storage, retention and sharing

This list is not definitive. The policies and procedures may already be included as part of the portfolio of evidence.

- the line manager (employer) must be confident that the apprentice has developed all the knowledge, skills and behaviours defined in the apprenticeship standard and that the apprentice is competent in performing their role. To ensure this, the apprentice must attend a formal meeting with their employer to complete the Gateway Readiness Report.

- the apprentice and the employer should then engage with Highfield to agree a plan and schedule for each assessment activity to ensure all components can be completed within a **mandated** end-assessment window. Further information about the gateway process is covered later in this kit.

If you have any queries regarding the gateway requirements, please contact your EPA Customer Engagement Manager at Highfield Assessment.

Order of end-point assessments

There is no stipulated order of assessment methods. This will be discussed with the apprentice, training provider and/or employer with our scheduling team when scheduling the assessments to ensure that the learner is provided with the best opportunity to attempt the assessment.

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The Highfield approach

This section describes the approach Highfield has adopted in the development of this end-point assessment in terms of its interpretation of the requirements of the end-point assessment plan and other relevant documents.

Specific considerations

Highfield's approach does not deviate from the assessment plan.

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Gateway

How to prepare for gateway

After apprentices have completed their on-programme learning, they should be ready to pass through 'gateway' to their end-point assessment.

Gateway is a meeting that should be arranged between the apprentice, their employer and training provider to determine that the apprentice is ready to undertake their end-point assessment. The apprentice should prepare for this meeting by bringing along work-based evidence, including:

- customer feedback
- recordings
- manager statements
- witness statements

As well as evidence from others, such as:

- mid and end-of-year performance reviews
- feedback to show how they have met the apprenticeship standards while on-programme

In advance of gateway, apprentices will need to have completed the following. The requirements for English and maths listed below are mandatory for all apprentices aged between 16-18 at the start of their apprenticeship training. The requirements for English and maths listed below are optional for apprentices aged 19+ at the start of their apprenticeship training.

- Achieved level 2 English
- Achieved level 2 maths
- Submitted a suitable portfolio of evidence to be used as the basis for the professional discussion (see the Portfolio Matrix)
- Completed workplace project in advance of the project report being completed after gateway
- Submitted their organisation's policies and procedures as requested by Highfield

Therefore, apprentices should be advised by employers and providers to gather this evidence and undertake these qualifications during their on-programme training. It is recommended that employers and providers complete regular checks and reviews of this evidence to ensure the apprentice is progressing and achieving the standards before the formal gateway meeting is arranged.

The gateway meeting

The gateway meeting should be attended by the apprentice and a representative from the employer and training provider.

The **Gateway Readiness Report** should be used to log the outcomes of the meeting and agreed by all three parties. This report is available to download from the Highfield Assessment website.

The report should then be submitted to Highfield. If you require any support completing the Gateway Readiness Report, please contact your EPA customer engagement manager at Highfield Assessment.

Reasonable adjustments

Highfield Assessment has measures in place for apprentices who require additional support. Please refer to the Highfield Assessment policies for further information/guidance.

ID requirements

Highfield Assessment will complete an identification check before starting any assessment and will accept the following as proof of an apprentice's identity:

- a valid passport (any nationality)
- a signed UK photocard driving license
- a valid warrant card issued by HM forces or the police
- another photographic ID card, such as an employee ID card or travel card

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The Regulatory Compliance Officer apprenticeship standard

Below are the knowledge, skills and behaviours (KSBs) from the standard and related assessment criteria from the assessment plan. On-programme learning will be based upon the KSBs and the associated assessment criteria are used to assess and grade the apprentice within each assessment method.

Risk Management and Investigation		
Knowledge	Skills	Behaviours
<p>K5 The roles and responsibilities of partner organisations and their interrelationships</p> <p>K6 Risk assessment as a tool to support compliance and protect businesses and individuals</p> <p>K8 Intervention methods available to businesses and individuals to secure compliance</p> <p>K9 Techniques available to a regulatory compliance officer to assess compliance, monitor progress and identify trends</p> <p>K11 The factors that affect approaches taken by businesses and individuals to compliance and the responses of businesses and individuals to these factors</p> <p>K12 Statutory and non-statutory interventions available to a Regulatory Compliance Officer to assess and respond to identified non-compliance</p>	<p>S2 Make informed assessments of the risk of a business or individual's non-compliance</p> <p>S3 Use outcomes of risk assessment to guide decisions, activities and targeting of resources</p> <p>S4 Make proportionate and risk-based intervention choices to ensure compliance is achieved</p> <p>S6 Take actions to deal with non-compliance using proportionate interventions</p> <p>S7 Monitor progress made by businesses and individuals against assessed risks</p> <p>S8 Assess products and services, including any associated internal controls to ensure they meet legal, regulatory and organisational requirements</p>	<p>B2 Acts in a professional manner with integrity and confidentiality</p>

<p>K14 The products and services provided by businesses in the sector in which they operate and the potential risks to compliance associated with these</p> <p>K15 The purpose of auditing and inspection and associated techniques, processes and documentation</p> <p>K16 Types of internal controls that businesses can have in place to support compliance</p> <p>K18 How to source and access and present appropriate data to solve problems and address business need, ensuring data integrity and being mindful of data bias</p>	<p>S10 Take a systematic approach to data curation and apply data quality controls to ensure the correct use of data-driven findings</p>	
Project report with presentation, questions and answers		
Pass criteria	Distinction Criteria	
<p>R11 Outlines the roles and responsibilities of partner organisations and their interrelationships. (K5)</p> <p>R12 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)</p> <p>R13 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)</p>	<p>R18 <i>Evaluates the techniques they used to monitor progress and how these impacted the assessed risks (K9, S7)</i></p> <p>R19 <i>Justifies the decisions they made based on the outcomes of audit, inspection and risk assessment (K15, S3)</i></p>	

<p>R14 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)</p> <p>R15 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)</p> <p>R16 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>R17 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)</p>	
Amplification and guidance	
<ul style="list-style-type: none"> • Roles and responsibilities of partner organisations could include: <ul style="list-style-type: none"> ○ setting regulatory standards and enforcing compliance ○ issuing licences, approvals or registrations ○ monitoring industry practices through audits, inspections or reporting requirements ○ investigating complaints, incidents or suspected breaches ○ providing guidance, codes of practice and sector-specific advice ○ taking enforcement action ○ working together on joint investigations to maximise sector powers and address non-compliance ○ regular network meetings to share trends, changes in legislation or shadow visit findings 	

- **Risk assessment** could include:
 - Risk matrix (likelihood versus severity)
 - Risk register
 - Root Cause Analysis (RCA)
 - Political, Economic, Social, Technological, Legal and Environmental (PESTLE) analysis
 - Strengths, weaknesses, opportunities, threats (SWOT) analysis
 - Compliance audits and gap analysis
 - Incident and near-miss reporting systems
 - Heat maps
 - Control frameworks (for example, three lines of defence)
 - Use of historic performance data
 - Prioritising Risk for Strategy Model (PRISM)

- **Statutory and non-statutory interventions:**
 - statutory interventions could include:
 - improvement notices/compliance notices
 - prohibition notices
 - statutory orders/directions
 - fines and penalties
 - reviewing licences and submitting additional conditions
 - revoking, suspending or refusing licences
 - prosecution
 - statutory inspections or audits
 - unannounced visits

- non-statutory interventions could include:
 - verbal or written advice
 - warning letters/advisory notes
 - training, workshops or guidance sessions
 - informal resolution/negotiation
 - information sharing and engagement
 - action plans
 - signposting to other partner organisations
 - updates to changes in legislation
 - mock inspections
 - shadow work practice observations

- Methods that regulatory compliance officers can use to **assess compliance**:
 - audits and inspections
 - remote audits
 - reviewing documentation
 - evidence gathering and sampling
 - risk assessment
 - self-assessment tools
 - test purchases
 - drive-by-checks
 - external intelligence, such as a confidential public phone-in

- Methods that regulatory compliance officers can use to **monitor progress**:
 - follow-up reviews
 - performance dashboards and reports
 - regular meetings with key departments
 - continuous monitoring systems

- feedback loops
- test purchases
- regional or national data sharing

- **Methods that regulatory compliance officers can use to identify trends:**
 - reviewing incident, complaint or near-miss data
 - monitoring audit outcomes over time
 - analysing key performance indicators (KPIs) and metrics
 - root cause analysis
 - external intelligence
 - sharing results together with partner organisations
 - cross-council intelligence sharing

- **Factors that affect approaches taken by businesses and individuals to compliance could include:**
 - level of risk
 - legal and regulatory requirements
 - organisational culture and values
 - knowledge, skills and awareness
 - resources and capacity
 - business size and structure
 - past experience and enforcement history
 - regulatory relationship and trust
 - financial and commercial pressures
 - customer and public expectations
 - sector-specific factors

- **Products and services** can be evaluated by using the following steps:
 - define the requirements

- identify risks
- review products/services - procurement process/country of origin
- assess internal controls
- analyse data
- judge effectiveness
- recommend improvements
- monitor progress
- understanding vendor/sales process

- **Types of internal controls** could include:

- preventive controls
- detective controls
- corrective controls
- daily compliance checks
- internal audit
- internal governance review structure

- **Data** should be:

- sourced from reliable places that details information that is specifically needed for the task at hand
- accessed in a structured, secure and authorised way
- curated through cleaning, categorising, validating, analysing and then selecting
- presented in a clear, accessible and decision-ready format
- in compliance with data protection/General Data Protection Regulation (GDPR) legislation
- a mix of qualitative/quantitative

- **Non-compliance** refers to a failure to follow and implement:

- rules

- laws
- regulations
- standards
- policies
- procedures
- minimisation of risk
- previous reaction to advice/improvement/prohibition notices

- **Outcomes of risk assessment** can be used by deciding on the following steps:

- what type of intervention is needed
- how urgent the issue is – likelihood/severity measures
- who needs to act
- what controls need improving or what new controls are required
- how improvement will be monitored

- **Proportionate and risk-based intervention choices** are where responses match the seriousness, impact and nature of the non-compliance based on the level of risk posed by an organisation, activity or incident. They also represent a balanced decision based on the organisation/individual engagement with the regulator to comply.

Relationship Management	
Knowledge	Skills
<p>K7 The business environment that Regulatory Compliance Officers work in and the effect on businesses and individuals in their sector</p> <p>K22 Principles of customer service and their application to interacting with key stakeholders when carrying out duties</p> <p>K23 Principles and policies of equity, diversity and inclusion relevant to their role and their impact on the organisation and its stakeholders, including the impact of unconscious bias</p> <p>K25 Ethical practices that seek to preserve the trust of stakeholders including the need for fairness, accountability and transparency</p>	<p>S13 Build and maintain good working relationships with stakeholders and tailor their approach to the needs and circumstances of those they interact with</p> <p>S16 Follow and apply equity, diversity and inclusion rules and procedures when making evidence-based decisions and interacting with stakeholders</p>
Project report with presentation, questions and answers	
Pass criteria	Distinction criteria
<p>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)</p> <p>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</p>	<p>RM3 <i>Evaluates the impact that building good working relationships has had on their compliance work with businesses and individuals. (K7, S13)</i></p>

and the impact this has on the organisation and its stakeholders.
(K23, S16)

Amplification and guidance

- **Principles of customer service** could include:
 - o professionalism
 - o clarity and effective communication
 - o responsiveness
 - o fairness and impartiality
 - o empathy and respect
 - o confidentiality and data protection (GDPR)
 - o accuracy and reliability
 - o positive problem-solving
 - o accessibility and inclusivity
 - o continuous improvement
 - o equality, diversity and inclusion

- **Ethical practices** could include:
 - o integrity and honesty
 - o impartiality and fairness
 - o confidentiality and data protection (GDPR)
 - o accountability and responsibility
 - o transparency
 - o professional conduct
 - o respect and dignity
 - o avoiding conflicts of interest
 - o ethical use of power

- o commitment to continuous improvement

- **Good working relationships with stakeholders** can be built and maintained using the following methods:

- o clear communication
- o professional behaviour
- o reliability and consistency
- o understanding others' needs
- o collaboration
- o transparency
- o empathy and active listening
- o integrity and independence
- o working together to achieve the same regulatory aims and outputs
- o cross-departmental working
- o cross-external council data sharing/engagement of Primary Authority Partnerships

- **Equity, diversity and inclusion** rules could include:

- o reporting and escalation procedures
- o making reasonable adjustments
- o inclusive recruitment processes
- o accessible communication
- o decision-making checks
- o training and awareness
- o monitoring and evaluation

Legislation	
Knowledge	Skills
<p>K1 The role of regulation as a tool of Government through statutory and non-statutory measures</p> <p>K2 Legal and regulatory frameworks and how they apply to businesses and individuals within their sector</p> <p>K3 The statutory and non-statutory regulations relevant to their regulatory function(s)</p> <p>K4 The relationship between legal and regulatory requirements of a sector and the sector and organisational requirements through codes of practice, policies and procedures</p> <p>K10 How regulation and the way it is enforced can impact on the businesses regulated</p> <p>K13 The need to provide compliance support to businesses and individuals they work with</p>	<p>S1 Work within legal and regulatory frameworks and the organisation's policies and procedures</p> <p>S12 Promote the importance of compliance and their organisation's role in supporting compliance</p>
Professional discussion underpinned by a portfolio	
Pass criteria	Distinction criteria
<p>L1 Articulates how they work within legal and regulatory frameworks and follow the policies, procedures and codes of practice which apply to businesses and individuals within their sector while considering the role of regulation as a governmental tool, using statutory and non-statutory measures and addressing legal and regulatory interrelationships. (K1, K2, K3, K4, S1)</p>	<p>L3 <i>Evaluates the impact of regulation enforcement on businesses, considering the degree to which compliance has been promoted by them and supported within the organisation. (K10, S12)</i></p>

L2 Describes their organisation's role in supporting compliance and how they promote the importance of compliance to support the businesses and individuals they work with, taking into account how regulation and the way it is enforced can impact on the businesses regulated.
(K10, K13, S12)

Amplification and guidance

- **The role of regulation as a tool of government** is to protect the public, provide an equal playing field for organisations to progress in, support markets, achieve policy goals and achieve high compliance standards. It sets the rules, standards and expectations that individuals, businesses and organisations must follow.
- **Legal and regulatory frameworks** are the collection of laws, regulations, standards, policies and guidance that organisations must follow to operate lawfully and responsibly.
- **Compliance support** could include the following:
 - advice and guidance
 - training and education
 - tools and templates
 - communication and engagement
 - monitoring and feedback
 - collaboration and partnership working
 - practical problem-solving support
 - signposting to other partner organisations
- **Statutory and non-statutory measures:**
 - statutory measures are actions that a regulator is legally empowered to take under an act or regulation. They have a legal force and failing to comply can lead to further sanctions.
 - non-statutory measures are actions taken without legal powers. They are informal, advisory, supportive and rely on co-operation rather than enforcement

Data Analysis and Management	
Knowledge	Skills
<p>K17 Types of data and methods to analyse data that can contribute to the assessment of a business or individual's compliance with legislation, regulation and organisational requirements and their sources</p>	<p>S5 Collect evidence and data related to non-compliance using available techniques, for example investigations, audits, inspections</p> <p>S9 Use and analyse data, making decisions about the relevance, quality and accuracy to inform evidence-based and objective risk assessments</p> <p>S11 Identify patterns and trends in compliance issues</p>
Professional discussion underpinned by a portfolio	
Pass criteria	Distinction criteria
<p>DM1 Outlines the types of data, sources and the methods used to analyse it in order to assess the compliance of a business or individual with legislation, regulation and organisational requirements, considering relevance, quality and accuracy to inform evidence based and objective risk assessments. (K17, S9)</p> <p>DM2 Outlines the techniques they use to collect evidence and data that is related to non-compliance and use this to identify patterns and trends. (S5, S11)</p>	<p>DM3 <i>Justifies the techniques they use to collect evidence and data to identify patterns and trends in non-compliance. (S5, S11)</i></p>
Amplification and guidance	
<ul style="list-style-type: none"> • Types of data could include: <ul style="list-style-type: none"> o quantitative data 	

- o qualitative data
- o structured data
- o unstructured data
- o primary data
- o secondary data
- o manual paper/historical
- o electronic

- **Methods to analyse data** could include:

- o trend analysis
- o comparative analysis
- o root cause analysis (RCA)
- o thematic analysis
- o statistical analysis
- o risk scoring
- o visualisation tools
- o gap analysis
- o sampling
- o stakeholder data sharing

- **Patterns** could include:

- o similar types of incidents happening repeatedly
- o recurring complaints about a particular issue
- o frequent non-conformance in the same process or team
- o the same control failures appearing in multiple audits
- o consistent training gaps across certain roles

- **Trends** could include:
 - o upward trends
 - o downward trends
 - o stable trends
 - o seasonal or cyclical trends

- **Data that is related to non-compliance** could include:
 - o incident data, for example, accident data/health, safety and environment (HSE) Reporting of Injuries, Diseases and Dangerous Occurrences Regulation (RIDDOR) reporting
 - o complaint data – internal and external
 - o audit and inspection findings
 - o exception reports
 - o policy and procedure breaches
 - o enforcement and investigation data
 - o training and competency data
 - o operational performance data
 - o external data, such as a confidential whistleblower helpline

Personal Management and Development		
Knowledge	Skills	Behaviours
K24 Techniques for managing a caseload and own wellbeing	S17 Use workload management techniques to plan, organise and prioritise own tasks and manage time effectively	B1 Works sustainably ensuring resources are used efficiently and responsibly B3 Works flexibly and adapts to circumstances
Professional discussion underpinned by a portfolio		
Pass criteria	Distinction Criteria	
<p>PD1 Outlines the techniques they use for managing a caseload and their own wellbeing, working flexibly and adapting to changing circumstances in line with organisational policies and procedures. (K24, B3)</p> <p>PD2 Identifies the workload management techniques they use to plan, organise and prioritise own tasks and manage time effectively, using resources sustainably in line with organisational policies and procedures. (S17, B1)</p>	<i>No distinction criteria</i>	
Amplification and guidance		
<ul style="list-style-type: none"> • Techniques for managing a caseload could include: <ul style="list-style-type: none"> ○ prioritisation ○ time management ○ case tracking systems ○ clear documentation ○ effective communication 		

- risk management
- working within boundaries
- regular review of caseload
- self-management and professional resilience
- resource sharing
- knowledge/experience balance

- **Works flexibly** could include:

- moving from planned monitoring work to handle an unexpected high-risk case
- adjusting your schedule to attend a regulator's meeting or inspection
- helping a colleague with a complex case if their workload increases
- adapting communication style depending on who you are speaking to (for example, managers, customers and partners)
- working remotely while maintaining full compliance with policies and data protection rules
- changing priorities to cover other team members' responsibilities during absenteeism

- **Using resources sustainably** could include:

- using digital tools, for example, email, tablet, Teams meetings and Docusign
- managing energy consumption
- planning journeys efficiently
- maintaining equipment properly
- efficient workload management
- procurement decisions
- monitoring usage

Communication	
Knowledge	Skills
<p>K19 Legal, regulatory and organisational requirements related to data storage, retention and sharing</p> <p>K20 The value of feedback from those they regulate, and the beneficiaries of legislation, regulation and organisational requirements, such as consumers, in informing future activities</p> <p>K21 Communication methods and techniques, including digital technologies used to extract and convey information to different audiences in different situations</p>	<p>S14 Communicate with stakeholders including businesses, individuals and regulators</p> <p>S15 Use digital technologies to manage, share and store information and to communicate with others</p>
Professional discussion underpinned by a portfolio	
Pass criteria	<i>Distinction criteria</i>
<p>C1 Justifies why they take account of the legal, regulatory and organisational requirements related to data storage, retention and sharing when using digital technologies to manage, share and store information when communicating with others (K19, S15)</p> <p>C2 Explains the value of feedback from those they regulate to inform future activities. (K20)</p> <p>C3 Outlines the communication methods and techniques including digital technologies they use to extract and convey information to businesses, individuals and regulators. (K21, S14)</p>	<p>C4 <i>Evaluates the importance of choice of communication method or technique in conveying information to businesses, individuals and regulators in different situations (K21, S14)</i></p>

Amplification and guidance

- **Legal, regulatory and organisational requirements related to data storage, retention and sharing:**
 - legal could include:
 - lawful basis, such as General Data Protection Regulations (GDPR)
 - data minimisation and retention protocols
 - accuracy
 - storage limitation (retention)
 - integrity and confidentiality (security)
 - rights of individuals
 - lawful sharing
 - complying with internal standard operating procedures
 - manual paper and electronic records
 - regulatory could include:
 - Information Commissioner's Office (ICO)
 - Sector-specific regulators
 - GDPR policy of external organisations and regulators
 - organisational could include:
 - policies and procedures
 - secure storage
 - retention schedules
 - data sharing processes, such as data subject access request policies
 - breach management

- **The value of feedback** presents itself with the following benefits:
 - improves performance and skills
 - supports compliance and quality

- enhances communication and relationships
- supports personal and professional development
- drives organisational improvement
- improves customer satisfaction
- informs on progress of personal capabilities

- **Communication methods** could include:

- verbal communication
- written communication
- digital and online communication
- non-verbal communication, for example, eye contact, active listening and body language
- visual communication
- formal communication
- informal communication

- **Stakeholders** could include:

- regulators
- regulated entities
- customers
- partner organisations
- senior decision-makers

- **Digital technologies to manage, share and store information:**

- managing could include:
 - case management systems (CMS)
 - document management systems (DMS)
 - compliance and audit software
 - risk management tools

- hardware provision – office and mobile
- sharing could include:
 - secure email and messaging, such as DocuSign
 - collaboration platforms, for example, Teams and Zoom
 - portals and secure file transfer
 - video conferencing tools
- storing could include:
 - cloud storage
 - local/network drives
 - databases
 - archiving systems

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Assessment summary

The end-point assessment for the Regulatory Compliance Officer apprenticeship standard is made up of two assessment methods:

1. a project report of **4,000 words** must be submitted by the end of week eight of the EPA period, followed by a presentation with questioning that lasts for **60 minutes** (the presentation component of the assessment method is typically **35 minutes**, the questioning component of the assessment method is typically **25 minutes** plus 10%, if necessary, to allow for the apprentice to complete a response)
2. a professional discussion underpinned by a portfolio of evidence lasting **60 minutes** (plus 10%, if necessary, to allow for the apprentice to complete a response)

As an employer/training provider, you should agree a plan and schedule with the apprentice to ensure all assessment components can be completed effectively.

Each component of the end-point assessment will be assessed against the appropriate criteria laid out in this kit, which will be used to determine a grade for each individual. The grade will be determined using the combined grades.

Project report with presentation, questions and answers

Apprentices will be marked against the pass and distinction criteria outlined in this kit.

- To achieve a **pass**, apprentices must achieve all of the pass criteria
- To achieve a **distinction**, apprentices must achieve all of the pass criteria **and** all of the distinction criteria
- **Unsuccessful** apprentices will not have achieved all of the pass criteria

The project and presentation should be conducted in a suitable location such as an employer's or training provider's premises, or through video link, as long as fair assessment conditions can be maintained.

Professional discussion underpinned by a portfolio

Apprentices will be marked against the pass and distinction criteria outlined in this kit.

- To achieve a **pass**, apprentices must achieve all of the pass criteria
- To achieve a **distinction**, apprentices must achieve all of the pass criteria **and** all of the distinction criteria

- **Unsuccessful** apprentices will not have achieved all of the pass criteria

The professional discussion underpinned by a portfolio should be conducted in a suitable location such as an employer’s or training provider’s premises, or through video link, as long as fair assessment conditions can be maintained.

Grading

The apprenticeship includes pass, merit and distinction grades, with the final grade based on the apprentice’s combined performance in each assessment method.

To achieve an overall pass, the apprentice must achieve at least a pass in all the assessment methods.

To achieve an overall EPA ‘merit,’ the apprentice must achieve a pass in one of the assessment methods and a distinction in the other.

To achieve an overall EPA ‘distinction’, apprentices must achieve a distinction in both assessment methods.

The overall grade for the apprentice is determined using the matrix below:

Project report with presentation, questions and answers	Professional discussion underpinned by a portfolio	Overall grade awarded
Fail either assessment method		Fail
Pass	Pass	Pass
Pass	Distinction	Merit
Distinction	Pass	Merit
Distinction	Distinction	Distinction

Retake and resit information

If the apprentice fails one assessment method or more, they can take a re-sit or a re-take at their employer’s discretion. The apprentice’s employer needs to agree that a re-sit or re-take is appropriate. If a resit is chosen, please call the Highfield scheduling team to arrange the resit. If a retake is chosen, the apprentice will require a period of further learning and will need to complete a retake checklist. Once this is completed, please call the Highfield scheduling team to arrange the retake.

A resit is typically taken within one month of the EPA outcome notification. The timescale for a retake will be dependent on how much retraining is required and is typically taken within three months of the EPA outcome notification.

When undertaking a resit or retake, the assessment method(s) will need to be reattempted in full, regardless of any individual assessment criteria that were passed on any prior attempt. The EPA Report will contain feedback on areas for development and resit or retake guidance.

If the apprentice fails the project assessment method, they must amend the project output in line with the independent assessor's feedback. The apprentice will be given two weeks to rework and submit the amended report.

Failed assessment methods must be re-sat or re-taken within a 6-month period from the EPA outcome notification, otherwise the entire EPA will need to be re-sat or re-taken in full. Apprentices should have a supportive action plan to prepare for the resit/retake.

Apprentices who achieve a pass grade cannot resit or retake the EPA to achieve a higher grade.

Where any assessment method has to be resat or retaken, the apprentice will be awarded a maximum grade of pass, unless there are exceptional circumstances that are beyond the control of the apprentice as determined by Highfield.

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Assessing the project report with presentation, questions and answers

The apprentice must complete the project before gateway. The employer should ensure the apprentice has the time and resources, within the project period, to plan and complete their project. The apprentice may work as part of a team to complete the project, which could include internal colleagues or technical experts. The apprentice must however, complete their project report and presentation unaided and they must be reflective of their own role and contribution

This end-point assessment method consists of two components:

- project report
- presentation with questions

Component 1: Project report

The project report starts after the apprentice has gone through gateway.

The project outcome should be in the form of a written report where the apprentice will present evidence from their real work that illustrates their application of the knowledge, skills and behaviours.

As a minimum, the project report must include:

- an executive summary (or abstract)
- an introduction
- the scope of the project (including key performance indicators, aims and objectives)
- a project plan
- research outcomes
- data analysis outcomes
- project outcomes
- discussion of findings
- recommendations and conclusions
- references
- appendix containing mapping of KSBs to the report

The project report must have a word count of **4000 words**. A tolerance of 10% above or below is allowed at the apprentice's discretion. Appendices, references and diagrams are not included in this total. End-point assessors will only mark reports up to **4400 words**, at which point, assessors will stop marking and only credit the criteria covered to that point. Reports that fall short of the word count will be marked in full, against all criteria. The apprentice must produce and include a mapping in an appendix, showing how the report evidences the KSBs mapped to this assessment

method. The assessor will review and assess the project report in advance of the presentation with questioning.

The project report should be completed by the apprentice unaided. The report must be uploaded in PDF format and must be accompanied by the **Written Submission Sheet** which is available to download from the Highfield Assessment website. On the Written Submission Sheet, the apprentice and their employer must verify that the submitted report is the apprentice's own work and must map how it evidences the relevant knowledge, skills and behaviours for this assessment method, as outlined in this kit.

The apprentice must complete and submit the report and any presentation materials by the end of week eight of the EPA period.

Component 2: Presentation with questions

The presentation will be based on the project report and will cover:

- an overview of the project
- the project scope
- summary of actions undertaken by the apprentice
- project outcomes and how these were achieved

The apprentice must submit any presentation materials to Highfield at the same time as the report - by the end of week eight of the EPA period. The apprentice must notify Highfield at that point, of any technical requirements for the presentation. The apprentice must be given at least two weeks' notice of the presentation with questions.

The apprentice must prepare and deliver a presentation to an independent assessor. After the presentation, the independent assessor must ask the apprentice questions about their project, report and presentation.

The presentation with questions must last **60 minutes**. This will typically include a presentation of **35 minutes** and questioning lasting **25 minutes**. The independent assessor must use the full time available for questioning. The independent assessor can increase the time of the presentation and questioning by up to 10%. This time is to allow the apprentice to complete their last point or respond to a question if necessary.

The independent assessor must ask at least **6 questions**. They must use the questions from the EPAO's question bank or create their own questions in line with the EPAO's training. Follow up questions are allowed where clarification is required.

During the presentation, the apprentice must have access to:

- audio-visual presentation equipment

- flip chart and writing and drawing materials
- computer

Before the assessment

Employers/training providers should:

- give the apprentice time to work on their project report and presentation during the end-point assessment window
- ensure the apprentice knows the date, time and location of the assessment
- ensure the apprentice knows which regulatory compliance officer criteria will be assessed (outlined on the following pages)
- encourage the apprentice to reflect on their experience and learning on-programme to understand what is required to meet the standard and identify real-life examples
- be prepared to provide clarification to the apprentice, and signpost them to relevant parts of their on-programme experience as preparation for this assessment

Grading the project report with presentation, questions and answers

Apprentices will be marked against the pass and distinction criteria included in the tables on the following pages (under project report with presentation, questions and answers criteria).

- To achieve a **pass**, apprentices must meet all of the pass criteria.
- To achieve a **distinction**, apprentices must meet all of the pass **and** distinction criteria.
- **Unsuccessful** apprentices will have not achieved all of the pass criteria.

Project report with presentation, questions and answers mock assessment

It is suggested that a mock assessment is carried out by the apprentice in advance of the end-point assessment with the training provider/employer giving feedback on any areas for improvement. It is the employer/training provider's responsibility to prepare apprentices for their end-point assessment and Highfield recommend that the apprentice experiences a mock presentation in preparation for the real thing. The most appropriate form of mock assessment will depend on the apprentice's setting and the resources available at the time.

When planning a mock assessment, the employer/training provider should include the following elements:

- mock presentations should be **60 minutes**, typically with the presentation lasting **35 minutes** followed by **25 minutes** of questioning
- consider a recording of the mock assessment and allow it to be played back to other apprentices, especially if it is not practicable for the employer/training provider to carry out a separate mock assessment with each apprentice
- ensure that the apprentice's performance is assessed by a competent trainer/assessor, and that feedback is shared with the apprentice to complete the learning experience
- mock assessment sheets are available to download from the Highfield Assessment website and may be used for this purpose
- a minimum of **six** structured, 'open' questions should be used as part of the Q&A that do not lead the candidate but allow them to express their knowledge in a calm and comfortable manner. Some examples of this may include the following:
 - could you describe the roles and responsibilities of partner organisations and their interrelationships?
 - how can risk assessment be used as a tool to support compliance and protect businesses and individuals?
 - can you describe the business environment that regulatory compliance officers work in and the effect on businesses and individuals in the sector?
 - can you describe the intervention methods available to businesses and individuals to secure compliance?
 - can you describe the techniques available to a regulatory compliance officer to assess compliance, monitor progress and identify trends?
 - can you describe the factors that affect approaches taken by businesses and individuals to compliance and the responses of businesses and individuals to these factors?

Project report with presentation, questions and answers criteria

Throughout the project report with presentation, questions and answers, the assessor will review the apprentice's competence in the criteria outlined below.

Apprentices should prepare for the project report with presentation, questions and answers by considering how the criteria can be met and reflecting on their past experiences.

Risk Management and Investigation	
To pass, the following must be evidenced.	
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)
To gain a distinction, the following must be evidenced	
RI8	<i>Evaluates the techniques they used to monitor progress and how these impacted the assessed risks (K9, S7)</i>
RI9	<i>Justifies the decisions they made based on the outcomes of audit, inspection and risk assessment (K15, S3)</i>

Relationship Management

To pass, the following must be evidenced.

- 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)

To gain a distinction, the following must be evidenced

- RM3** *Evaluates the impact that building good working relationships has had on their compliance work with businesses and individuals. (K7, S13)*

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Assessing the professional discussion underpinned by a portfolio

In the professional discussion underpinned by a portfolio of evidence, the assessor and the apprentice will have a formal two-way conversation. It will consist of the independent assessor asking the apprentice questions to assess their competence against the relevant criteria outlined in this kit.

The apprentice must have access to their portfolio of evidence during the professional discussion. Apprentices can refer to and illustrate their answers with evidence from their portfolio of evidence during the professional discussion. However, the portfolio of evidence is not directly assessed.

The apprentice and the assessor will be given at least **two weeks'** notice of the professional discussion in order for the supporting documentation to be reviewed. The professional discussion should take place in a quiet room, free from distractions and influence. The professional discussion can be conducted by video conferencing. The professional discussion must last for **60 minutes**. The independent assessor can increase the time of the professional discussion by up to 10%. This time is to allow the apprentice to respond to a question if necessary.

The independent assessor must ask at least **10 questions**. Follow-up questions are allowed where clarification is required.

Before the assessment

Employers/training providers should:

- ensure the apprentice knows the date, time and location of the assessment
- ensure the apprentice knows which criteria will be assessed (outlined on the following pages)
- encourage the apprentice to reflect on their experience and learning on-programme to understand what is required to meet the standard
- be prepared to provide clarification to the apprentice, and signpost them to relevant parts of their on-programme experience as preparation for this assessment

Grading the professional discussion underpinned by a portfolio

Apprentices will be marked against the pass and distinction criteria included in the tables on the following pages (under 'Professional discussion underpinned by a portfolio of evidence criteria').

- To achieve a **pass**, apprentices must achieve all of the pass criteria

- To achieve a **distinction**, apprentices must achieve all of the pass criteria **and** all of the distinction criteria
- **Unsuccessful** apprentices will have not achieved all of the pass criteria

Professional discussion underpinned by a portfolio mock assessment

It is the employer/training provider's responsibility to prepare apprentices for their end-point assessment. Highfield recommends that the apprentice experiences a mock professional discussion underpinned by a portfolio of evidence in preparation for the real thing. The most appropriate form of mock professional discussion underpinned by a portfolio of evidence will depend on the apprentice's setting and the resources available at the time.

In designing a mock assessment, the employer/training provider should include the following elements in its planning:

- the mock professional discussion underpinned by a portfolio of evidence should take place in a suitable location.
- a **60-minute** time slot should be available to complete the professional discussion underpinned by a portfolio of evidence, if it is intended to be a complete professional discussion covering all relevant standards. However, this time may be split up to allow for progressive learning.
- consider a video or audio recording of the mock professional discussion underpinned by a portfolio of evidence and allow it to be available to other apprentices, especially if it is not practicable for the employer/training provider to carry out a separate mock assessment with each apprentice.
- ensure that the apprentice's performance is assessed by a competent trainer/assessor, and that feedback is shared with the apprentice to complete the learning experience. Mock assessment sheets are available to download from the Highfield Assessment website and may be used for this purpose.
- Use a minimum of **ten** structured, 'open' questions that do not lead the apprentice but allows them to express their knowledge and experience in a calm and comfortable manner. For example:
 - legislation
 - Tell me about a time when you have worked within legal and ethical frameworks and the organisation's policies and procedures.
 - How would you promote the importance of compliance and the organisation's role in supporting compliance?
 - data analysis and management

- How do you collect evidence and data related to non-compliance using techniques available to you?
- Tell me about an occasion when you have used and analysed data and made decisions about its relevance, quality and accuracy to inform evidence-based and objective risk assessments.
- Tell me about an occasion when you have identified patterns and trends in non-compliance.
- communication
 - Tell me about an occasion when you have communicated with stakeholders including businesses, individuals and regulators.
 - Tell me about a time when you have used digital technologies to manage, share and store information and to communicate with others.
- personal management and development
 - Tell me about a time you have used workload management techniques to plan, organise and prioritise your own tasks and manage your time effectively.
 - Tell me about a time when you have worked sustainably ensuring resources are used efficiently and responsibly.

Professional discussion underpinned by a portfolio criteria

Throughout the **60-minute** professional discussion underpinned by a portfolio of evidence, the assessor will review the apprentice's competence in the criteria outlined below.

Apprentices should prepare for the professional discussion underpinned by a portfolio of evidence by considering how the criteria can be met.

Legislation
To pass, the following must be evidenced.
L1 Articulates how they work within legal and regulatory frameworks and the follow the policies, procedures and codes of practice which apply to businesses and individuals within their sector while considering the role of regulation as a governmental tool, using statutory and non-statutory measures and addressing legal and regulatory interrelationships. (K1, K2, K3, K4, S1)
L2 Describes their organisation's role in supporting compliance and how they promote the importance of compliance to support the businesses and individuals they work with, taking into account how regulation and the way it is enforced can impact on the businesses regulated. (K10, K13, S12)
To gain a distinction, the following must be evidenced.
L3 Evaluates the impact of regulation enforcement on businesses, considering the degree to which compliance has been promoted by them and supported within the organisation. (K10, S12)

Data Analysis and Management
To pass, the following must be evidenced.
DM1 Outlines the types of data, sources and the methods used to analyse it in order to assess the compliance of a business or individual with legislation, regulation and organisational requirements, considering relevance, quality and accuracy to inform evidence based and objective risk assessments. (K17, S9)
DM2 Outlines the techniques they use to collect evidence and data that is related to non-compliance and use this to identify patterns and trends. (S5, S11)
To gain a distinction, the following must be evidenced.
DM3 <i>Justifies the techniques they use to collect evidence and data to identify patterns and trends in non-compliance. (S5, S11)</i>

Personal Management and Development

To pass, the following must be evidenced.

PD1 Outlines the techniques they use for managing a caseload and their own wellbeing, working flexibly and adapting to changing circumstances in line with organisational policies and procedures. (K24, B3)

PD2 Identifies the workload management techniques they use to plan, organise and prioritise own tasks and manage time effectively, using resources sustainably in line with organisational policies and procedures. (S17, B1)

To gain a distinction, the following must be evidenced.

No distinction criteria

Communication

To pass, the following must be evidenced.

C1 Justifies why they take account of the legal, regulatory and organisational requirements related to data storage, retention and sharing when using digital technologies to manage, share and store information when communicating with others (K19, S15)

C2 Explains the value of feedback from those they regulate to inform future activities. (K20)

C3 Outlines the communication methods and techniques including digital technologies they use to extract and convey information to businesses, individuals and regulators. (K21, S14)

To gain a distinction, the following must be evidenced.

C4 *Evaluates the importance of choice of communication method or technique in conveying information to businesses, individuals and regulators in different situations (K21, S14)*

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