

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

Mock Assessment Materials

Professional discussion underpinned by a portfolio

| Legislation | | | |
|-------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------|------------------|
| Ref | Assessment Criteria (Pass) | Criteria Met | Criteria Not Met |
| 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) | | |
| Ref | Assessment Criteria (Distinction) | Criteria Met | Criteria Not Met |
| 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> | | |

| Data Analysis and Management | | | |
|------------------------------|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------|------------------|
| Ref | Assessment Criteria (Pass) | Criteria Met | Criteria Not Met |
| 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) | | |

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| 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) | | |
| Ref | Assessment Criteria (Distinction) | Criteria Met | Criteria Not Met |
| 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 | | | |
|--------------------------------------------|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|-------------------------|
| Ref | Assessment Criteria (Pass) | Criteria Met | Criteria Not Met |
| 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) | | |

| Communication | | | |
|----------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|-------------------------|
| Ref | Assessment Criteria (Pass) | Criteria Met | Criteria Not Met |
| 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) | | |
| Ref | Assessment Criteria (Distinction) | Criteria Met | Criteria Not Met |
| 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> | | |