Highfield Level 4 Apprenticeship Assessment for ST0430 Regulatory Compliance Officer

Mock Assessment Materials

Project with Question and Answer (Q&A)

AO1: Regulatory and Legal Frameworks Interprets and applies statutory, non-statutory, and organisational frameworks to ensure compliance activities are aligned with legal and regulatory requirements. Distinguishes clearly between legal obligations, statutory guidance, codes of practice, and voluntary best-practice standards when analysing information and making compliance decisions. Works within organisational remit and sector-specific obligations, incorporating relevant codes of practice, policies, and procedures into decisions and actions.			
Ref	**Knowledge and skills statements (Pass)**	**Achieved**	**Not Achieved**
S1	**Work within legal and regulatory frameworks and the organisation's policies and procedures. (AK)**		

AO2: Risk Identification and Assessment Identifies and evaluates compliance risks using structured methods such as audits, inspections, and investigations. Applies risk assessment techniques to prioritise actions and allocate resources effectively, incorporating sector-specific factors and organisational controls into decision-making.			
Ref	**Knowledge and skills statements (Pass)**	**Achieved**	**Not Achieved**
K6	**Risk assessment as a tool to support compliance and protect businesses and individuals. (AS)**		
K9	**Techniques available to a regulatory compliance officer to assess compliance, monitor progress and identify trends. (AS)**		
K15	**The purpose of auditing and inspection and associated techniques, processes and documentation. (AS)**		
K16	Types of internal controls that businesses can have in place to support compliance. (AK)		
S2	**Make informed assessments of the risk of a business or individual's non-compliance. (IUDM)**		
S3	**Use outcomes of risk assessment to guide decisions, activities and targeting of resources. (IUDM)**		
S5	**Collect evidence and data related to non-compliance using available techniques, for example investigations, audits, inspections. (AS)**		
S8	Assess products and services, including any associated internal controls to ensure they meet legal, regulatory and organisational requirements. (AS)		
Ref	**Knowledge and skills statements (Distinction)**	**Achieved**	**Not Achieved**
K14	*The products and services provided by businesses in the sector in which they operate and the potential risks to compliance associated with these. (AK)*		

AO3: Compliance Interventions and Enforcement **Selects and applies proportionate statutory and non-statutory interventions to address non-compliance. Makes informed decisions on enforcement actions, taking account of regulatory impact on businesses and monitoring progress to ensure interventions achieve compliance outcomes.**			
Ref	**Knowledge and skills statements (Pass)**	**Achieved**	**Not Achieved**
K8	Intervention methods available to businesses and individuals to secure compliance. (AS)		
Ref	**Knowledge and skills statements (Distinction)**	**Achieved**	**Not Achieved**
S4	***Make proportionate and risk-based intervention choices to ensure compliance is achieved. (AS)***		
S6	***Take actions to deal with non-compliance using proportionate interventions. (AS)***		

AO4: Data and Evidence Management **Collects, analyses, and manages data to support compliance decisions, applying data quality controls to ensure integrity when sourcing, storing, and sharing information in line with legal and organisational requirements. Identifies patterns and trends in compliance issues and uses these insights to inform risk assessment and decision-making.**			
Ref	**Knowledge and skills statements (Pass)**	**Achieved**	**Not Achieved**
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. (IUDM)		
S10	Take a systematic approach to data curation and apply data quality controls to ensure the correct use of data-driven findings. (IUDM)		
S11	Identify patterns and trends in compliance issues. (RA)		
S15	Use digital technologies to manage, share and store information and to communicate with others. (CC)		
Ref	**Knowledge and skills statements (Distinction)**	**Achieved**	**Not Achieved**
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. (IUDM)*		
S9	***Use and analyse data, making decisions about the relevance, quality and accuracy to inform evidence-based and objective risk assessments. (IUDM)***		

AO5: Stakeholder Engagement and Communication **Builds and maintains effective relationships with businesses, individuals, and partner organisations, providing compliance support and promoting its importance by adapting communication methods to different audiences and contexts. Uses appropriate channels, including digital technologies, to convey information clearly and influence stakeholders to achieve compliance outcomes.**			
Ref	**Knowledge and skills statements (Pass)**	**Achieved**	**Not Achieved**
S12	Promote the importance of compliance and their organisation's role in supporting compliance. (CC)		

AO6: Ethics, Equity and Professional Practice **Demonstrates ethical behaviour, fairness, and accountability in all compliance activities, and applies principles of equity, diversity, and inclusion when making decisions and interacting with stakeholders. Manages workload effectively and maintains personal wellbeing in line with professional standards and organisational expectations.**			
Ref	**Knowledge and skills statements (Distinction)**	**Achieved**	**Not Achieved**
S17	*Use workload management techniques to plan, organise and prioritise own tasks and manage time effectively. (RA)*		