Project Mapping Document

Highfield Level 4 Apprenticeship Assessment for ST0430 Regulatory Compliance Officer

Apprentice Details

Name	
Employer	
Training Provider	

Please indicate below which piece of evidence is mapped to each knowledge and skills statement covered in the project.

Knowledge and skills statement	Evidence page number(s)/section(s)
AO1: Regulatory and Legal Frameworks	
S1: Work within legal and regulatory frameworks and the organisation's policies and procedures. (AK)	
AO2: Risk Identification and Assessment	
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)	
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)	
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)	
AO3: Compliance Interventions and Enforcement	
K8: Intervention methods available to businesses and individuals to secure compliance. (AS)	
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	
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)	
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)	
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)	
AO5: Stakeholder Engagement and Communication	
S12: Promote the importance of compliance and their organisation's role in supporting compliance. (CC)	
AO6: Ethics, Equity and Professional Practice	
S17: Use workload management techniques to plan, organise and prioritise own tasks and manage time effectively. (RA)	

Apprentice Declaration

I confirm that the evidence contained in this project mapping document is all my own work and any assistance given and/or sources used have been acknowledged.

Signed by apprentice (name)	Signature	Date