

End-Point Assessment for

ST0430 Regulatory Compliance Officer

Level 4 V1.1

Working as a regulatory compliance officer

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.

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 licencing, 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.

Gateway requirements

Level 2 in English and maths (optional for 19+, please see funding rules), submission of a portfolio of evidence, workplace project completed and organisational policies and procedures submitted

End-point assessment methods

A project report with presentation, questions and answers and a professional discussion underpinned by portfolio

Ready for training

- Initial assessment
 - English and maths training (optional for 19+, please see funding rules)
 - On-programme training to meet the requirements of the standard
 - Gateway readiness self-assessment
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Set for assessment

End-point assessment methods are:

Project report with presentation, questions and answers

- 4,000 word (+/-10%) project report submitted prior to the presentation
- Project report will be based on either 'risk management and investigation' or 'relationship management'
- Typically a 35-minute presentation followed by 25 minutes of questions
- A minimum of 6 questions during presentation

Professional discussion underpinned by portfolio:

- A 60-minute professional discussion (+10%)
 - Portfolio of evidence submitted at gateway (not directly assessed)
 - A minimum of 10 questions asked during the professional discussion
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Go further

On completion of the apprenticeship, apprentices may wish to progress into a role as a regulatory compliance officer

Available support

On-programme support

- Delivery resources
- Tutor support resource
- Innovative and multi-device e-learning courses

End-point assessment support

- Gateway and mock assessments
- Bespoke end-point assessment solutions
- Progression tracking system