Highfield Level 4 Apprenticeship Assessment for ST0430 Regulatory Compliance Officer

Mock Assessment Materials

Presentation 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**
K1	**The role of regulation as a tool of Government through statutory and non-statutory measures. (AK)**		
K2	**Legal and regulatory frameworks and how they apply to businesses and individuals within their sector. (AK)**		
K3	**The statutory and non-statutory regulations relevant to their regulatory function(s). (RPA)**		
Ref	**Knowledge and skills statements (Distinction)**	**Achieved**	**Not Achieved**
K4	***The relationship between legal and regulatory requirements of a sector and the sector and organisational requirements through codes of practice, policies and procedures. (AK)***		
K7	*The business environment that Regulatory Compliance Officers work in and the effect on businesses and individuals in their sector. (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 (Distinction)	Achieved	Not Achieved
K11	*The factors that affect approaches taken by businesses and individuals to compliance and the responses of businesses and individuals to these factors. (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
S7	**Monitor progress made by businesses and individuals against assessed risks. (AS)**		
Ref	**Knowledge and skills statements (Distinction)**	**Achieved**	**Not Achieved**
K10	*How regulation and the way it is enforced can impact on the businesses regulated. (AK)*		
K12	*Statutory and non-statutory interventions available to a Regulatory Compliance Officer to assess and respond to identified non-compliance. (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**
K19	Legal, regulatory and organisational requirements related to data storage, retention and sharing. (RPA)		

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**
K5	The roles and responsibilities of partner organisations and their interrelationships. (CC)		
K13	The need to provide compliance support to businesses and individuals they work with. (CC)		
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. (IUDM)		
K22	Principles of customer service and their application to interacting with key stakeholders when carrying out duties. (CC)		
S14	**Communicate with stakeholders including businesses, individuals and regulators. (CC)**		
Ref	**Knowledge and skills statements (Distinction)**	**Achieved**	**Not Achieved**
K21	*Communication methods and techniques, including digital technologies used to extract and convey information to different audiences in different situations. (CC)*		
S13	*Build and maintain good working relationships with stakeholders and tailor their approach to the needs and circumstances of those they interact with. (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 (Pass)**	**Achieved**	**Not Achieved**
K24	Techniques for managing a caseload and own wellbeing. (RA)		
S16	Follow and apply equity, diversity and inclusion rules and procedures when making evidence-based decisions and interacting with stakeholders. (RPA)		
Ref	**Knowledge and skills statements (Distinction)**	**Achieved**	**Not Achieved**
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. (RPA)*		
K25	***Ethical practices that seek to preserve the trust of stakeholders including the need for fairness, accountability and transparency. (RA)***		