

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

Apprentice Details

Name	
Employer	
Training Provider	

Portfolio of evidence

It is a requirement of this assessment plan that a portfolio of evidence is submitted at Gateway to support the professional discussion. This is not assessed. Please see the EPA-kit for more information on the requirements for the portfolio of evidence.

Please indicate below which piece of evidence is mapped to each KSB covered in the professional discussion. Please use the same reference as the file name to ensure the correct piece of evidence can be located.

KSB	Evidence reference	Evidence location
K1: The role of regulation as a tool of Government through statutory and non-statutory measures (L1)		
K2: Legal and regulatory frameworks and how they apply to businesses and individuals within their sector (L1)		
K3: The statutory and non-statutory regulations relevant to their regulatory function(s) (L1)		
K4: The relationship between legal and regulatory requirements of a sector and the sector and organisational requirements through codes of practice, policies and procedures (L1)		
K10: How regulation and the way it is enforced can impact on the businesses regulated (L2, L3)		

K13: The need to provide compliance support to businesses and individuals they work with (L2)		
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 (DM1)		
K19: Legal, regulatory and organisational requirements related to data storage, retention and sharing (C1)		
K20: The value of feedback from those they regulate, and the beneficiaries of legislation, regulation and organizational requirements, such as consumers, in informing future activities (C2)		
K21: Communication methods and techniques, including digital technologies used to extract and convey information to different audiences in different situations (C3, C4)		
K24: Techniques for managing a caseload and own wellbeing (PD1)		
S1: Work within legal and regulatory frameworks and the organisation's policies and procedures (L1)		
S5: Collect evidence and data related to non-compliance using available techniques, for example investigations, audits, inspections (DM2, DM3)		
S9: Use and analyse data, making decisions about the relevance, quality and accuracy to inform evidence-based and objective risk assessments (DM1)		
S11: Identify patterns and trends in compliance issues (DM2, DM3)		
S12: Promote the importance of compliance and their organisation's role in supporting compliance (L2, L3)		
S14: Communicate with stakeholders including businesses, individuals and regulators (C3, C4)		

S15: Use digital technologies to manage, share and store information and to communicate with others (C1)		
S17: Use workload management techniques to plan, organise and prioritise own tasks and manage time effectively (PD2)		
B1: Works sustainably ensuring resources are used efficiently and responsibly (PD2)		
B3: Works flexibly and adapts to circumstances (PD1)		

Apprentice Declaration

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

Signed by apprentice (name)	Signature	Date

Employer Declaration

I confirm that the portfolio of evidence is valid and attributable to the apprentice.

Signed on behalf of employer (name)	Signature	Date