Think about

Project with Question and Answer (Q&A)

Level 4 ST0430 Regulatory Compliance Officer v2.0



For this assessment method, you will carry out:

- A written report with a recommended word count of 4,000 words, followed by a 30-minute Q&A session
- Completed at any point during the apprenticeship
- The project must be based on a real workplace activity relevant to your role
- Can be conducted and assessed by the Training Provider or Highfield

Key point

Your project should demonstrate how you planned, delivered, completed and evaluated a defined piece of regulatory or compliance-related work.

Do

- Review the knowledge and skills statements associated with the project with Q&A - these can be found in the Assessment Specification and in the table at the end of this document
- Ensure you are given sufficient time and access to the necessary resources to plan, undertake and complete the project as part of your normal work activities
- Ensure a quiet room is available and that there are no interruptions
- Be prepared to answer at least three questions during the Q&A

Don't

- Forget to include all aspects of the project as written in the Assessment Specification
- Forget to plan

Next steps

- Results can take up to 7 working days to be confirmed
- Your manager or training provider will inform you of the results

Resits or retakes

- You may resit or retake following an unsuccessful outcome



Use the table below to plan and prepare for the project with Q&A

Knowledge and skills statements in **bold** are mandatory and must be assessed in every version of the assessment that is made available.

Each knowledge and skills statement is mapped to a performance category. Each performance category has its own acronym:

- Applied Knowledge - (AK)
- Applied Skills - (AS)
- Regulatory and Procedural Awareness - (RPA)
- Communication and Collaboration - (CC)
- Information Use and Decision Making - (IUDM)
- Responsibility and Autonomy - (RA)

(P) indicates knowledge and skills statements mapped to pass grading descriptors

(D) indicates knowledge and skills statements mapped to distinction grading descriptors

Assessment criteria	Key points to remember
AO1: Regulatory and Legal Frameworks	
(P) S1: Work within legal and regulatory frameworks and your organisation's policies and procedures. (AK)	



AO2: Risk Identification and Assessment	
(P) K6: Risk assessment as a tool to support compliance and protect businesses and individuals. (AS)	
(P) K9: Techniques available to a regulatory compliance officer to assess compliance, monitor progress and identify trends. (AS)	
(P) K15: The purpose of auditing and inspection and associated techniques, processes and documentation. (AS)	
(P) K16: Types of internal controls that businesses can have in place to support compliance. (AK)	



(P) S2: Make informed assessments of the risk of a business or individual's non-compliance. (IUDM)	
(P) S3: Use outcomes of risk assessment to guide decisions, activities and targeting of resources. (IUDM)	
(P) S5: Collect evidence and data related to non-compliance using available techniques, for example investigations, audits, inspections. (AS)	
(P) S8: Assess products and services, including any associated internal controls to ensure they meet legal, regulatory and organisational requirements. (AS)	



(D) K14: The products and services provided by businesses in the sector in which you operate and the potential risks to compliance associated with these. (AK)	
AO3: Compliance Interventions and Enforcement	
(P) K8: Intervention methods available to businesses and individuals to secure compliance. (AS)	
(D) S4: Make proportionate and risk-based intervention choices to ensure compliance is achieved. (AS)	
(D) S6: Take actions to deal with non-compliance using proportionate interventions. (AS)	



AO4: Data and Evidence Management	
(P) 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)	
(P) S10: Take a systematic approach to data curation and apply data quality controls to ensure the correct use of data-driven findings. (IUDM)	
(P) S11: Identify patterns and trends in compliance issues. (RA)	
(P) S15: Use digital technologies to manage, share and store information and to communicate with others. (CC)	



(D) 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)	
(D) 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	
(P) S12: Promote the importance of compliance and their organisation's role in supporting compliance. (CC)	
AO6: Ethics, Equity and Professional Practice	
(D) S17: Use workload management techniques to plan, organise and prioritise your own tasks and manage time effectively. (RA)	



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