

ST0430 Regulatory Compliance Officer

Apprenticeship Assessment

Model A

Assessment methods

- Project with question and answer (Q&A)
- Professional discussion

Model B

Assessment methods

- Project with question and answer (Q&A)
- Presentation with Q&A

Project with Q&A

Assessment organisations must design apprenticeship assessments to include a project.

This can be conducted and assessed by the Training Provider.

Rationale

- Mandatory assessment stated in the assessment plan.
- Projects require apprentices to integrate and apply a wide range of knowledge and skills to produce a substantial piece of work with genuine relevance to their role or sector.
- Projects are particularly effective in supporting synoptic assessment, as they require apprentices to plan, research, and deliver outputs that draw upon multiple areas of learning in an integrated manner.
- Q&A can explore understanding by asking apprentices to connect knowledge from different topics, justify decisions and apply learning to broader occupational contexts.

The following will be assessed in the project with Q&A:

AO1: Regulatory and Legal Frameworks

Knowledge/Skill Statement	Performance Category	Pass/Distinction Grading Descriptor
S1: Work within legal and regulatory frameworks and the organisation's policies and procedures.	Applied Knowledge	Pass: Applies regulatory frameworks and compliance principles accurately to complete routine compliance tasks.

AO2: Risk Identification and Assessment

Knowledge/Skill Statement	Performance Category	Pass/Distinction Grading Descriptor
K6: Risk assessment as a tool to support compliance and protect businesses and individuals.	Applied Skills	Pass: Uses audits, inspections and risk assessments to identify and address non-compliance consistently, following established procedures and guidance.
K9: Techniques available to a regulatory compliance officer to assess compliance, monitor progress and identify trends	Applied Skills	Pass: Uses audits, inspections and risk assessments to identify and address non-compliance consistently, following established procedures and guidance.
K15: The purpose of auditing and inspection and associated techniques, processes and documentation.	Applied Skills	Pass: Uses audits, inspections and risk assessments to identify and address non-compliance consistently, following established procedures and guidance.
K16: Types of internal controls that businesses can have in place to support compliance.	Applied Knowledge	Pass: Applies regulatory frameworks and compliance principles accurately to complete routine compliance tasks.
S2: Make informed assessments of the risk of a business or individual's non-compliance.	Information Use and Decision Making	Pass: Collects relevant compliance evidence systematically and evaluates it accurately to support decision-making on straightforward cases.
S3: Use outcomes of risk assessment to guide decisions, activities and targeting of resources.	Information Use and Decision Making	Pass: Collects relevant compliance evidence systematically and evaluates it accurately to support decision-making on straightforward cases.
S5: Collect evidence and data related to non-compliance using available techniques, for example investigations, audits, inspections.	Applied Skills	Pass: Uses audits, inspections and risk assessments to identify and address non-compliance consistently, following established procedures and guidance.
S8: Assess products and services, including any associated internal controls to ensure they meet legal, regulatory and organisational requirements.	Applied Skills	Pass: Uses audits, inspections and risk assessments to identify and address non-compliance consistently, following established procedures and guidance.

<i>K14: The products and services provided by businesses in the sector in which they operate and the potential risks to compliance associated with these.</i>	<i>Applied Knowledge</i>	<i>Distinction: Applies comprehensive knowledge of regulatory frameworks to analyse and resolve complex compliance scenarios, adapting approaches appropriately.</i>
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AO3: Compliance Interventions and Enforcement

Knowledge/Skill Statement	Performance Category	Pass/Distinction Grading Descriptor
K8: Intervention methods available to businesses and individuals to secure compliance.	Applied Skills	Pass: Uses audits, inspections and risk assessments to identify and address non-compliance consistently, following established procedures and guidance.
S4: Make proportionate and risk-based intervention choices to ensure compliance is achieved.	Applied Skills	<i>Distinction: Selects and adapts compliance techniques to suit different contexts and organisational needs, working independently to resolve challenges and proposing improvements to processes.</i>
S6: Take actions to deal with non-compliance using proportionate interventions.	Applied Skills	<i>Distinction : Selects and adapts compliance techniques to suit different contexts and organisational needs, working independently to resolve challenges and proposing improvements to processes.</i>

AO4: Data and Evidence Management

Knowledge/Skill Statement	Performance Category	Pass/Distinction Grading Descriptor
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.	Information Use and Decision Making	Pass: Collects relevant compliance evidence systematically and evaluates it accurately to support decision-making on straightforward cases.
S10: Take a systematic approach to data curation and apply data quality controls to ensure the correct use of data-driven findings.	Information Use and Decision Making	Pass: Collects relevant compliance evidence systematically and evaluates it accurately to support decision-making on straightforward cases.
S15: Use digital technologies to manage, share and store information and to communicate with others.	Communication and Collaboration	Pass: Communicates compliance requirements clearly using appropriate methods and collaborates with businesses, individuals and partner organisations to support compliance.
<i>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.</i>	<i>Information Use and Decision Making</i>	<i>Distinction: Critically evaluates diverse, incomplete or conflicting evidence, identifies gaps and biases, and makes sound judgements on complex compliance decisions that balance multiple regulatory considerations</i>
S9: Use and analyse data, making decisions about the relevance, quality and accuracy to inform evidence-based and objective risk assessments.	<i>Information Use and Decision Making</i>	<i>Distinction: Critically evaluates diverse, incomplete or conflicting evidence, identifies gaps and biases, and makes sound judgements on complex compliance decisions that balance multiple regulatory considerations</i>

AO5: Stakeholder Engagement and Communication

Knowledge/Skill Statement	Performance Category	Pass/Distinction Grading Descriptor
S12: Promote the importance of compliance and their organisation's role in supporting compliance.	Communication and Collaboration	Pass: Communicates compliance requirements clearly using appropriate methods and collaborates with businesses, individuals and partner organisations to support compliance.

AO6: Ethics, Equity and Professional Practice

Knowledge/Skill Statement	Performance Category	Pass/Distinction Grading Descriptor
S17: Use workload management techniques to plan, organise and prioritise own tasks and manage time effectively.	Responsibility and Autonomy	Pass: Works independently on routine compliance cases within clear parameters, manages workload effectively, and supports team colleagues when needed.

*NOTE: Knowledge and skills statements in **bold** are mandatory and must be assessed in every version of the assessment that is made available. Knowledge and skills statements in italics will be graded against the relevant distinction grading descriptor.*

Model A - Professional discussion

Highfield will assess the professional discussion.

Rationale

- Listed as an optional assessment method available for this standard. Others include interview, question and answer, presentation, additional project, portfolio.
- This method has been chosen as it allows assessors to tailor questioning to individual performance and supports deeper exploration of complex topics and clarifies areas where evidence may be incomplete or ambiguous.
- Professional discussions can be designed to explore synoptic understanding by asking apprentices to justify decisions and link together multiple strands of knowledge and skills from across the standard.
- Enables apprentices to demonstrate how different strands of knowledge and skills interconnect in response to structured questioning.

Model B - Presentation with Q&A

Highfield will assess the presentation with Q&A.

Rationale

- Listed as an optional assessment method available for this standard. Others include interview, professional discussion, question and answer, additional project, portfolio.
- This method has been chosen as it provide opportunities to answer questions and evidence understanding beyond prepared content.
- Allows apprentices to integrate knowledge, skills, and behaviours to structure their presentation, apply learning to workplace contexts, and respond to probing questions that test the depth and breadth of understanding.

The following will be assessed in both models of the assessment (Professional discussion/Presentation with Q&A):

AO1: Regulatory and Legal Frameworks

Knowledge/Skill Statement	Performance Category	Pass/Distinction Grading Descriptor
K1: The role of regulation as a tool of Government through statutory and non-statutory measures.	Applied Knowledge	Pass: Applies regulatory frameworks and compliance principles accurately to complete routine compliance tasks.
K2: Legal and regulatory frameworks and how they apply to businesses and individuals within their sector.	Applied Knowledge	Pass: Applies regulatory frameworks and compliance principles accurately to complete routine compliance tasks.
K3: The statutory and non-statutory regulations relevant to their regulatory function(s).	Regulatory and Procedural Awareness	Pass: Maintains awareness of current regulatory, requirements, codes of practice and organisational requirements by routinely checking authoritative sources and applying new or amended requirements correctly.
K4: The relationship between legal and regulatory requirements of a sector and the sector and organisational requirements through codes of practice, policies and procedures.	Applied Knowledge	<i>Distinction: Applies comprehensive knowledge of regulatory frameworks to analyse and resolve complex compliance scenarios, adapting approaches appropriately.</i>
<i>K7: The business environment that Regulatory Compliance Officers work in and the effect on businesses and individuals in their sector.</i>	Applied Knowledge	<i>Distinction: Applies comprehensive knowledge of regulatory frameworks to analyse and resolve complex compliance scenarios, adapting approaches appropriately.</i>

AO2: Risk Identification and Assessment

Knowledge/Skill Statement	Performance Category	Pass/Distinction Grading Descriptor
<i>K11: The factors that affect approaches taken by businesses and individuals to compliance and the responses of businesses and individuals to these factors.</i>	<i>Applied Knowledge</i>	<i>Pass: Applies comprehensive knowledge of regulatory frameworks to analyse and resolve complex compliance scenarios, adapting approaches appropriately.</i>

AO3: Compliance Interventions and Enforcement

Knowledge/Skill Statement	Performance Category	Pass/Distinction Grading Descriptor
S7: Monitor progress made by businesses and individuals against assessed risks.	Applied Skills	Pass: Uses audits, inspections and risk assessments to identify and address non-compliance consistently, following established procedures and guidance.
<i>K10: How regulation and the way it is enforced can impact on the businesses regulated.</i>	<i>Applied Knowledge</i>	<i>Distinction: Applies comprehensive knowledge of regulatory frameworks to analyse and resolve complex compliance scenarios, adapting approaches appropriately.</i>
<i>K12: Statutory and non-statutory interventions available to a Regulatory Compliance Officer to assess and respond to identified non-compliance.</i>	<i>Applied Skills</i>	<i>Distinction: Selects and adapts compliance techniques to suit different contexts and organisational needs, working independently to resolve challenges and proposing improvements to processes.</i>

AO4: Data and Evidence Management

Knowledge/Skill Statement	Performance Category	Pass/Distinction Grading Descriptor
K19: Legal, regulatory and organisational requirements related to data storage, retention and sharing.	Regulatory and Procedural Awareness	Pass: Maintains awareness of current regulatory, requirements, codes of practice and organisational requirements by routinely checking authoritative sources and applying new or amended requirements correctly.
S11: Identify patterns and trends in compliance issues.	Responsibility and Autonomy	<i>Distinction: Operates with substantial autonomy on complex or high-risk matters, proactively identifies systemic compliance issues, leads multi-faceted interventions, and takes responsibility for developing others' compliance capabilities.</i>

AO5: Stakeholder Engagement and Communication

Knowledge/Skill Statement	Performance Category	Pass/Distinction Grading Descriptor
K5: The roles and responsibilities of partner organisations and their interrelationships.	Communication and Collaboration	Pass: Communicates compliance requirements clearly using appropriate methods and collaborates with businesses, individuals and partner organisations to support compliance.
K13: The need to provide compliance support to businesses and individuals they work with.	Communication and Collaboration	Pass: Communicates compliance requirements clearly using appropriate methods and collaborates with businesses, individuals and partner organisations to support compliance.
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.	Information Use and Decision Making	Pass: Collects relevant compliance evidence systematically and evaluates it accurately to support decision-making on straightforward cases.
K22: Principles of customer service and their application to interacting with key stakeholders when carrying out duties.	Communication and Collaboration	Pass: Communicates compliance requirements clearly using appropriate methods and collaborates with businesses, individuals and partner organisations to support compliance.
S14: Communicate with stakeholders including businesses, individuals and regulators.	Communication and Collaboration	Pass: Communicates compliance requirements clearly using appropriate methods and collaborates with businesses, individuals and partner organisations to support compliance.
<i>K21: Communication methods and techniques, including digital technologies used to extract and convey information to different audiences in different situations.</i>	<i>Communication and Collaboration</i>	<i>Distinction: Adapts communication style and methods to different audiences and contexts, influences stakeholders to secure compliance outcomes, and coordinates collaborative initiatives.</i>

<i>S13: Build and maintain good working relationships with stakeholders and tailor their approach to the needs and circumstances of those they interact with.</i>	<i>Communication and Collaboration</i>	<i>Distinction: Adapts communication style and methods to different audiences and contexts, influences stakeholders to secure compliance outcomes, and coordinates collaborative initiatives.</i>
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AO6: Ethics, Equity and Professional Practice

Knowledge/Skill Statement	Performance Category	Pass/Distinction Grading Descriptor
K24: Techniques for managing a caseload and own wellbeing.	Responsibility and Autonomy	Pass: Works independently on routine compliance cases within clear parameters, manages workload effectively, and supports team colleagues when needed.
S16: Follow and apply equity, diversity and inclusion rules and procedures when making evidence-based decisions and interacting with stakeholders.	Regulatory and Procedural Awareness	Pass: Maintains awareness of current regulatory, requirements, codes of practice and organisational requirements by routinely checking authoritative sources and applying new or amended requirements correctly.
<i>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.</i>	<i>Regulatory and Procedural Awareness</i>	<i>Distinction: Proactively monitors the regulatory landscape, identifies implications for the organisation, and adapts compliance approaches in response to change.</i>
K25: Ethical practices that seek to preserve the trust of stakeholders including the need for fairness, accountability and transparency.	Responsibility and Autonomy	Pass: Operates with substantial autonomy on complex or high-risk matters, proactively identifies systemic compliance issues, leads multi-faceted interventions, and takes responsibility for developing others' compliance capabilities.

NOTE: Knowledge and skills statements in **bold** are mandatory and must be assessed in every version of the assessment that is made available. Knowledge and skills statements in *italics* will be graded against the relevant distinction grading descriptor.

(*) Knowledge and skills statements which offer opportunities to develop functional English and maths are identified with an asterisk

Documents required

- Assessment specification
- Assessor guide
- Mock assessment materials
- Assessment feedback report
- Project mapping document
- Written submission sheet



Resit and retake guidance

- There will be no cap on the grade that apprentices can achieve through a resit or retake
- Apprentices can resit or retake to achieve a higher grade
- There will be no cap on the number of resits or retakes that apprentices can undertake
- The failed assessment method will be resat or retaken in full

Please use the below table to provide feedback on how the **project with Q&A** has been mapped:

Assessment Outcome	Knowledge/ Skills	Performance Category	Pass/ Distinction	Comments
AO1: Regulatory and Legal Frameworks	S1	Applied Knowledge	Pass	
AO2: Risk Identification and Assessment	K6	Applied Skills	Pass	
	K9	Applied Skills	Pass	
	K15	Applied Skills	Pass	
	K16	Applied Knowledge	Pass	
	S2	Information Use and Decision Making	Pass	
	S3	Information Use and Decision Making	Pass	
	S5	Applied Skills	Pass	
	S8	Applied Skills	Pass	
	K14	Applied Knowledge	Distinction	
AO3: Compliance Interventions and Enforcement	K8	Applied Skills	Pass	

Assessment Outcome	Knowledge/ Skills	Performance Category	Pass/ Distinction	Comments
AO3: Compliance Interventions and Enforcement	S4	<i>Applied Skills</i>	<i>Distinction</i>	
	S6	<i>Applied Skills</i>	<i>Distinction</i>	
AO4: Data and Evidence Management	K17	Information Use and Decision Making	Pass	
	S10	Information Use and Decision Making	Pass	
	S15	Communication and Collaboration	Pass	
	K18	<i>Information Use and Decision Making</i>	<i>Distinction</i>	
	S9	<i>Information Use and Decision Making</i>	<i>Distinction</i>	
AO5: Stakeholder Engagement and Communication	S12	Communication and Collaboration	Pass	
AO6: Ethics, Equity and Professional Practice	S17	Responsibility and Autonomy	Pass	

Please use the below table to provide feedback on how the **professional discussion** and **presentation with Q&A** has been mapped:

Assessment Outcome	Knowledge/ Skills	Performance Category	Pass/ Distinction	Comments
AO1: Regulatory and Legal Frameworks	K1	Applied Knowledge	Pass	
	K2	Applied Knowledge	Pass	
	K3	Regulatory and Procedural Awareness	Pass	
	K4	<i>Applied Knowledge</i>	<i>Distinction</i>	
	K7	<i>Applied Knowledge</i>	<i>Distinction</i>	
AO2: Risk Identification and Assessment	K11	Applied Knowledge	Pass	
AO3: Compliance Interventions and Enforcement	S7	Applied Skills	Pass	
	K10	<i>Applied Knowledge</i>	<i>Distinction</i>	
	K12	<i>Applied Skills</i>	<i>Distinction</i>	
AO4: Data and Evidence Management	K19	Regulatory and Procedural Awareness	Pass	
	S11	<i>Responsibility and Autonomy</i>	<i>Distinction</i>	

Assessment Outcome	Knowledge/ Skills	Performance Category	Pass/ Distinction	Comments
AO5: Stakeholder Engagement and Communication	K5	Communication and Collaboration	Pass	
	K13	Communication and Collaboration	Pass	
	K20	Information Use and Decision Making	Pass	
	K22	Communication and Collaboration	Pass	
	S14	Communication and Collaboration	Pass	
	<i>K21</i>	<i>Communication and Collaboration</i>	<i>Distinction</i>	
	<i>S13</i>	<i>Communication and Collaboration</i>	<i>Distinction</i>	
AO6: Ethics, Equity and Professional Practice	K24	Responsibility and Autonomy	Pass	
	S16	Regulatory and Procedural Awareness	Pass	
	<i>K23</i>	<i>Regulatory and Procedural Awareness</i>	<i>Distinction</i>	
	K25	<i>Responsibility and Autonomy</i>	<i>Distinction</i>	