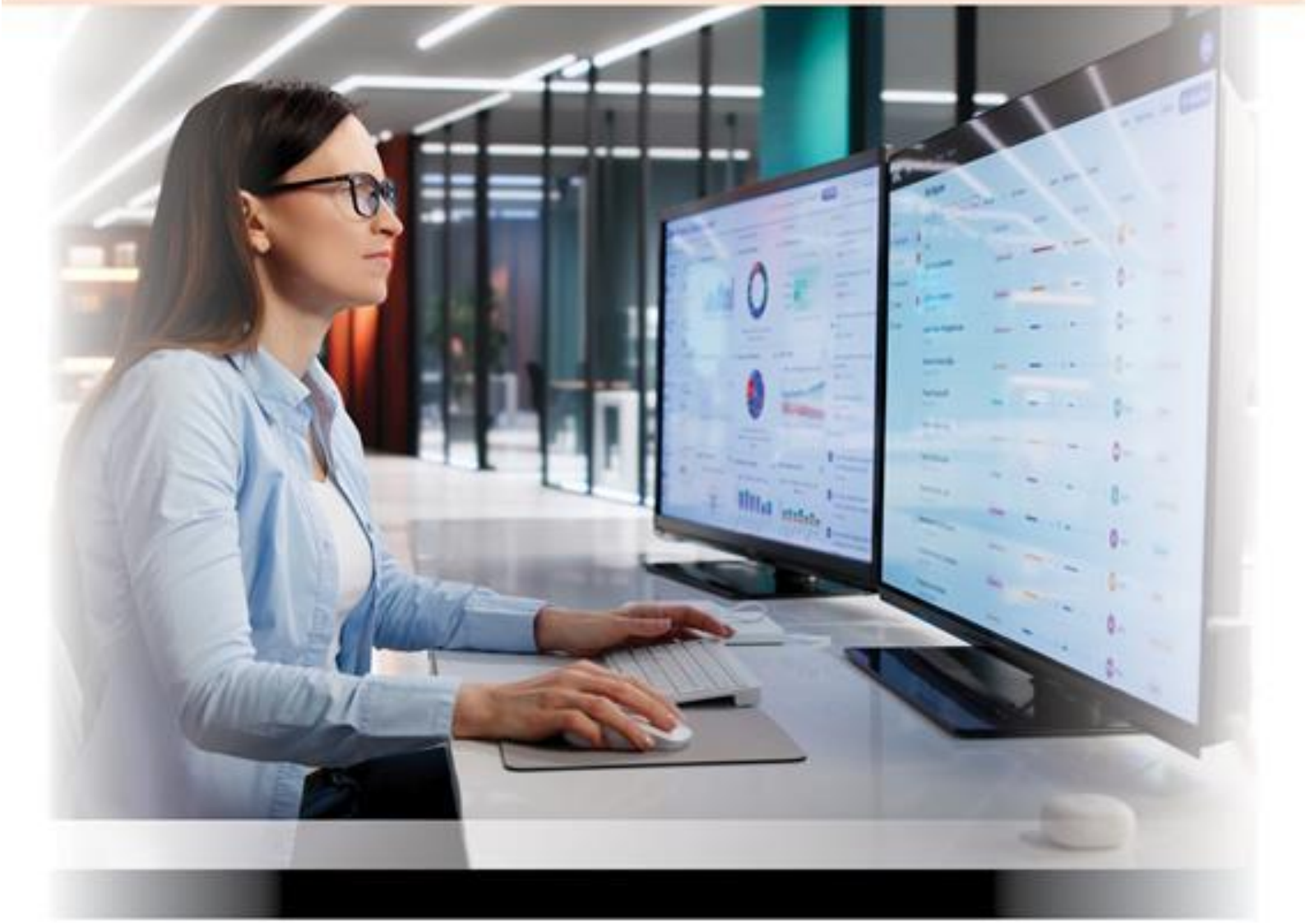
Highfield Level 4 Apprenticeship Assessment for ST0430 Regulatory Compliance Officer

Assessment Specification



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Highfield Level 4 Apprenticeship Assessment for ST0430 Regulatory Compliance Officer

Assessment Specification

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Versions:

ST0430 / v2.0

RCO v1.0

How to use this Assessment Specification

Welcome to the Highfield Apprenticeship Assessment Specification for the Regulatory Compliance Officer assessment.

Highfield is an independent awarding organisation that has been approved to assess and quality assure the Level 4 Regulatory Compliance Officer apprenticeship assessment.

The assessment specification is designed to outline all you need to know about the assessments for this apprenticeship and will also provide an overview of the delivery requirements.

Introduction

Standard overview

The main purpose of regulatory compliance is to ensure that organisations operate within the boundaries of the regulations that they are subject to.

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

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.

In their daily work, an employee in this organisation interacts with key stakeholders, regulators, clients, customers, suppliers and employees within other business functions internally. They use these interactions to build and manage relationships and to provide excellent service in helping individuals perform within their regulatory landscape.

An employee in this occupation will be responsible for obtaining information and data and using digital skills to make risk assessments as to the extent to which businesses and individuals meet regulations and standards for a specific sector.

Entry requirements

Apprentices must follow the entry requirements as set out in the UK Government Apprenticeship funding rules.

There are no additional entry requirements for this standard.

English and maths qualifications

Apprentices must follow the English and maths formal qualification requirements as set out in the UK Government Apprenticeship funding rules.

Mandatory qualification

There is no mandatory qualification set for this apprenticeship.

Assessment roadmap

There is no stipulated order of assessment methods. Apprentices may be assessed at any appropriate point during their apprenticeship.

Assessment organisations must design apprenticeship assessments to include at least one **project.**

Any additional assessment must be selected from the following list of methods to ensure the assessment outcomes are met in full:

- **interview**
- **professional discussion**
- **question and answer**
- **presentation**
- **additional project**
- **portfolio**

Highfield approach

The knowledge and skills statements form the assessment criteria and are mapped to the relevant pass or distinction performance descriptors within each performance category. These statements define the evidence apprentices must demonstrate to achieve the required standard, ensuring assessment decisions are based on clearly defined requirements and expected levels of performance.

This approach supports the validity, objectivity and consistency of assessment while reducing the risk of over-assessment or under-assessment. No separate assessment criteria are created, ensuring apprentices are assessed only against the knowledge and skills specified in the assessment plan, without introducing additional requirements or assessing areas beyond the intended scope.

Highfield's approach to assessing this standard is for apprentices, in agreement with the training provider and employer, to select one of the following models:

Model A

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

The project with question and answer (Q&A) can either be assessed and administered by Highfield or the training provider.

Highfield will assess the professional discussion.

Model B

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

The project with question and answer (Q&A) can either be assessed and administered by Highfield or the training provider.

Highfield will assess the presentation with Q&A.

To take the assessments, the apprentice must be registered with Highfield.

If you have any questions regarding these assessment components, please contact the Highfield customer engagement team.

Assessor and internal quality assurance (IQA) guidance

Assessors

Assessors for this apprenticeship **must** meet the following:

- have knowledge of the subject. Examples to demonstrate subject knowledge include, but are not limited to:
    - a current CV detailing sector experience
    - an up-to-date record of continuous professional development relevant to the sector
    - holding a qualification at the same level or above as the apprenticeship being assessed
- possess or be working towards a recognised assessor qualification. Examples include, but are not limited to:
    - Level 3 Certificate in Assessing Vocational Achievement
    - A1 Assess Candidate Performance Using a Range of Methods and A2 Assessing Candidates' Performance through Observation
    - D32 Assess Learner Performance and D33 Assess Learner Using Different Sources of Evidence

IQA

Internal quality assurers for this apprenticeship **must** meet the following:

- have knowledge of the subject. Examples to demonstrate subject knowledge include, but are not limited to:
    - a current CV detailing sector experience
    - an up-to-date record of continuous professional development relevant to the sector
    - holding a qualification at the same level or above as the apprenticeship being assessed
- possess or be working towards a recognised internal quality assurance qualification. For example:
    - Level 4 Award in the Internal Quality Assurance of Assessment Processes and Practice (RQF)
    - Level 4 Certificate in Leading the Internal Quality Assurance of Assessment Processes and Practice (RQF)
    - D34 or V1 Verifier Awards

It is **recommended** that IQAs hold an assessing qualification.

Continuing professional development (CPD)

It is recommended that staff assessing and quality assuring this apprenticeship are supported to maintain up-to-date sector knowledge, including best practices and relevant legislative changes. CPD records can provide clear evidence of this practice.

Countersigning

While it is a minimum requirement for centres to have the appropriately qualified workforce in place, it is understood that centres may have new staff who are working towards those requirements. During this period, centres are required to have a robust countersigning strategy in place that supports and validates unqualified assessment and quality assurance decisions until the point where they meet the requirements as detailed above.

Use of artificial intelligence (AI)

Assessments must be carried out in accordance with the published assessment plan and all work submitted must be the apprentice's own. AI tools must not be used to generate evidence in its entirety or to replace the apprentice's own judgement, performance or competence. Any use of AI must be transparent, limited and properly referenced.

Where AI has been used by the apprentice as part of normal work activity (for example, drafting a document, worksheet or PowerPoint) this may form part of the portfolio, provided that:

- The apprentice has materially authored, verified and taken responsibility for the content
- AI use is clearly declared and referenced within the work (including tool name, purpose and how outputs were verified)
- Source prompts, system settings and the portions influenced by AI are retained and available for review
- AI outputs must not substitute authentic demonstration of competence against the standard

If an AI tool is used at any stage of an assessment method (for example, to prepare a presentation outline or to organise notes), its use must be fully referenced in the submission or assessor records, and must not compromise authenticity, validity or security. Assessors must be satisfied that decisions remain rooted in the apprentice's knowledge and skills, and in direct evidence gathered through observation, questioning or professional discussion.AI tools must not be used to produce assessment evidence end-to-end, to fabricate logs/records or to simulate performance.

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Gateway to completion

Gateway to completion requirements

After apprentices have undertaken their assessment, employers and providers will need to complete the gateway to completion confirming the following:

- minimum duration has been met in line with the assessment plan.
- verifying that each performance descriptor and assessment outcome has been suitably demonstrated by the apprentice over the course of the apprenticeship.

The **gateway to completion** must be completed through the Highfield Assessment Hub.

If you require any support completing this section, please contact the Highfield customer engagement team at Highfield Assessment.

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The Regulatory Compliance Officer apprenticeship assessment

Below are the assessment outcomes from the assessment plan. Learning and assessment will be based upon the knowledge and skills statements and the associated assessment outcomes are used to assess and grade the apprentice within each assessment method.

The assessment outcomes group and summarise the knowledge and skills that must be demonstrated in assessments. All assessment outcomes must be assessed.

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

Knowledge and skills statements that are required to achieve a distinction are in *italics*.

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)

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.	
Project with question and answer (Q&A)	
Knowledge and skills statements	**Amplification**
S1: Work within **legal and regulatory frameworks** and the organisation's policies and procedures. (AK)	**Legal and regulatory frameworks** • The collection of laws, regulations, standards, policies and guidance that organisations must follow to operate lawfully and responsibly
Professional discussion or Presentation with question and answer (Q&A)	
Knowledge and skills statements	**Amplification**
K1: The role of **regulation as a tool of Government** through statutory and non-statutory measures. (AK)	**Regulation as a tool of Government** • To protect the public, provide an equal playing field for organisations to progress in, support markets, achieve policy goals and achieve high compliance standards • It sets the rules, standards and expectations that individuals, businesses and organisations must follow
K2: **Legal and regulatory frameworks** and how they apply to businesses and individuals within their sector. (AK)	**Legal and regulatory frameworks** • The collection of laws, regulations, standards, policies and guidance that organisations must follow to operate lawfully and responsibly
K3: The **statutory and non-statutory regulations** relevant to their regulatory function(s). (RPA)	**Statutory and non-statutory regulations** • Statutory regulations are requirements set by law that must be followed, for example:

	○ Acts of Parliament or statutory instruments that are mandatory ○ Regulations and other secondary legislation ○ Legal duties, requirements and powers relevant to the regulatory function, such as the Health and Safety at Work etc. Act • Non-statutory regulations support regulatory compliance but are not themselves legal requirements, for example: ○ codes of practice ○ regulatory or government guidance ○ industry standards and organisational policies or procedures ○ voluntary guidelines that are not directly enforceable, such as British Standards
***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)*	**Legal and regulatory requirements of a sector** • Requirements that must be followed within the relevant sector, for example: ○ relevant legislation and regulations ○ regulatory rules, mandatory licences, requirements and conditions ○ legal duties and responsibilities, for example, financial services require a licence from the Financial Conduct Authority (FCA) **Codes of practice** • Many codes have a statutory status which courts, inspectors and tribunals might use to decide if a legal duty has been met • They provide recognised standards and guidance on how requirements should be met in a sector, for example: ○ expected standards of conduct or practice

	○ sector-specific good practice ○ guidance supporting compliance with regulatory requirements **Policies** • Guide operational decisions and protect an organisation's interests • Set out an organisation's rules, principles and expectations for meeting requirements, for example: ○ roles and responsibilities ○ expected standards and behaviours ○ approaches to managing compliance **Procedures** • Highlight standards to ensure consistency and compliance by employees and teams • Set out the steps and processes to be followed when carrying out activities, for example: ○ how specific tasks should be completed ○ checks, approvals and reporting requirements ○ record-keeping and escalation processes
*K7: The **business environment** that Regulatory Compliance Officers work in and the **effect on businesses and individuals** in their sector. (AK)*	**Business environment** • Shapes how a company operates and makes decisions • The internal and external factors that influence how businesses operate within the regulated sector, for example: ○ economic and market conditions ○ technological and industry developments ○ legal and regulatory requirements **Effect on businesses and individuals** • How the business environment can affect businesses, for example:

	○ costs and resources required to achieve and maintain compliance ○ changes to processes, products or ways of working ○ ability to operate, compete and grow ○ management leadership styles ○ how decisions are made across an organisation • How the business environment can affect individuals within the sector, for example: ○ protection of their rights, interests, health or safety ○ responsibilities and expectations placed on individuals ○ access to products, services or employment ○ skills required, attitude of workers or number of workers required

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.	
Project with question and answer (Q&A)	
Knowledge and skills statements	**Amplification**
K6: **Risk assessment** as a tool to support compliance and protect businesses and individuals. (AS)	**Risk assessment** could include: • Risk matrix (likelihood versus severity) • Risk register • Root Cause Analysis (RCA) • Political, Economic, Social, Technological, Legal and Environmental (PESTLE) analysis • Strengths, weaknesses, opportunities and threats (SWOT) analysis • Compliance audits and gap analysis • Incident and near-miss reporting systems • Heat maps • Control frameworks (for example, three lines of defence) • Use of historic performance data • Prioritising Risk for Strategy Model (PRISM)
K9: Techniques available to a regulatory compliance officer to **assess compliance**, **monitor progress** and **identify trends**. (AS)	**Assess compliance** methods could include: • audits and inspections • remote audits • reviewing documentation • evidence gathering and sampling • risk assessment • self-assessment tools • test purchases • drive-by-checks

	• external intelligence, such as a confidential public phone-in **Monitor progress** methods could include: • follow-up reviews • performance dashboards and reports • regular meetings with key departments • continuous monitoring systems • feedback loops • test purchases • regional or national data sharing **Identify trends**: • reviewing incident, complaint or near-miss data • monitoring audit outcomes over time • analysing key performance indicators (KPIs) and metrics • root cause analysis • external intelligence • sharing results together with partner organisations • cross-council intelligence sharing

K15: The purpose of **auditing and inspection** and associated **techniques**, **processes** and **documentation**. (AS)	**Auditing and inspection**
	• To assess whether regulatory, legal and organisational requirements are being met, for example:
	  ○ identifying compliance and non-compliance
	  ○ identifying risks, issues or areas for improvement
	  ○ providing evidence to inform regulatory decisions and actions
	  ○ evaluation of overall management systems
	  ○ point in time visual checks of physical conditions

	Techniques
	• Techniques used to gather and assess evidence, for example:
	  ○ observation and physical examination
	  ○ interviews and questioning
	  ○ verbal and written records
	  ○ sampling and reviewing records, documents or other evidence for accuracy
	
	Processes
	• The stages involved in conducting an audit or inspection, for example:
	  ○ planning and preparation
	  ○ risk assessment
	  ○ internal control testing
	  ○ initial business management overview or scoping meeting
	  ○ gathering, recording and evaluating evidence
	  ○ reporting findings and following up actions
	
	Documentation
	• Written or electronic records of procedures performed that support conclusions reached by an auditor or inspector
	• Documentation used to plan, evidence and record an audit or inspection, for example:
	  ○ audit or inspection plans and checklists
	  ○ evidence, notes and records
	  ○ findings, reports and action plans
	  ○ working papers

K16: **Types of internal controls** that businesses can have in place to support compliance. (AK)	**Types of internal controls** could include: • preventive controls • detective controls • corrective controls • daily compliance checks • internal audit • internal governance review structure
S2: Make informed assessments of the risk of a business or individual's **non-compliance**. (IUDM)	**Non-compliance** refers to a failure to follow and implement: • rules • laws • regulations • standards • policies • procedures • minimisation of risk • previous reaction to advice/improvement/prohibition notices
S3: Use **outcomes of risk assessment** to guide decisions, activities and targeting of resources. (IUDM)	**Outcomes of risk assessment** can be used by deciding on the following steps: • what type of intervention is needed • how urgent the issue is – likelihood/severity measures • who needs to act • what controls need improving or what new controls are required • how improvement will be monitored

S5: **Collect evidence and data related to non-compliance** using available techniques, for example investigations, audits, inspections. (AS)	**Collect evidence and data related to non-compliance**
	• Gather relevant, accurate and sufficient evidence and data to identify, establish or support potential non-compliance, for example:
	  ○ documents, records and digital data
	  ○ observations and physical evidence
	  ○ information obtained from relevant individuals (verbal, written and recorded)

S8: Assess **products and services**, including any associated internal controls to ensure they meet legal, regulatory and organisational requirements. (AS)	**Products and services** can be evaluated by using the following steps: • define the requirements • identify risks • review products/services - procurement process/country of origin • assess internal controls • analyse data • judge effectiveness • recommend improvements • monitor progress • understanding vendor/sales process
*K14: The **products and services** provided by businesses in the sector in which they operate and the potential risks to compliance associated with these. (AK)*	**Products and services** can be evaluated by using the following steps: • define the requirements • identify risks • review products/services - procurement process/country of origin • assess internal controls • analyse data • judge effectiveness • recommend improvements • monitor progress • understanding vendor/sales process

Professional discussion or Presentation with question and answer (Q&A)	
Knowledge and skills statements	**Amplification**
*K11: The **factors that affect approaches taken by businesses and individuals to compliance** and the responses of businesses and individuals to these factors. (AK)*	**Factors that affect approaches taken by businesses and individuals to compliance** could include**:** • level of risk • legal and regulatory requirements • organisational culture and values • knowledge, skills and awareness • resources and capacity • business size and structure • past experience and enforcement history • regulatory relationship and trust • financial and commercial pressures • customer and public expectations • sector-specific factors

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.	
Project with question and answer (Q&A)	
Knowledge and skills statements	**Amplification**
K8: **Intervention methods** available to businesses and individuals to secure compliance. (AS)	**Intervention methods** • Actions and approaches used to support, encourage or require businesses and individuals to achieve compliance, for example: ○ advice, guidance and education ○ warnings and agreed corrective actions ○ formal enforcement action, notices or sanctions ○ inspections, audits and mystery shoppers ○ workplace observations
***S4**: Make **proportionate and risk-based intervention choices** to ensure compliance is achieved. (AS)*	**Proportionate and risk-based intervention choices** • where responses match the seriousness, impact and nature of the non-compliance based on the level of risk posed by an organisation, activity or incident. They also represent a balanced decision based on the organisation/individual engagement with the regulator to comply.
***S6**: Take **actions to deal with non-compliance** using **proportionate interventions**. (AS)*	**Actions to deal with non-compliance** • Take appropriate action to address identified non-compliance, for example: ○ providing advice, guidance or warnings ○ requiring corrective or remedial action ○ taking or recommending formal enforcement action ○ clarifying consequences and level of risk ○ ensuring root cause identification is clear

	Proportionate interventions
	• Select interventions that are appropriate to the circumstances, considering:
	  ○ the nature and seriousness of the non-compliance
	  ○ the level of risk or potential harm
	  ○ compliance history and response to previous interventions
	  ○ must have equality with the exact level of need, threat or risk without being excessive or restrictive

Professional discussion or Presentation with question and answer (Q&A)	

S7: **Monitor progress** made by businesses and individuals against **assessed risks**. (AS)	**Monitor progress**
	• Review the actions taken by businesses and individuals to address assessed risks, for example:
	  ○ checking completion of agreed or required actions
	  ○ measuring against goals, key performance indicators (KPIs) or dashboard tracking
	  ○ reviewing evidence of improvements or corrective actions
	  ○ conducting follow-up checks, inspections or reviews
	  ○ monitoring the effectiveness of the organisation's own review process
	
	Assessed risks
	• Compare progress with the risks previously identified and assessed, considering:
	  ○ whether the level or likelihood of risk has reduced or increased
	  ○ whether identified risks have been adequately controlled or addressed
	  ○ whether further action or intervention is required

	○ whether changes since a previous audit have presented new risks
*K10: How regulation and the way it is enforced can **impact on the businesses regulated**. (AK)*	**Impact on the businesses regulated** • Costs, resources and administrative requirements • Changes to processes, products, services or ways of working • Business operations, reputation and ability to compete or grow • Proportionate or disproportionate burden on the business • Ability and opportunity to achieve compliance • Financial, operational or reputational consequences of enforcement action • It allows a level playing field, which prevents unfair competition and dishonest practice or activity, meaning both consumers and workers are protected
*K12: **Statutory and non-statutory interventions** available to a Regulatory Compliance Officer to assess and respond to identified non-compliance. (AS)*	**Statutory and non-statutory interventions:** • statutory interventions could include: ○ improvement notices/compliance notices ○ prohibition notices ○ statutory orders/directions ○ fines and penalties ○ reviewing licences and submitting additional conditions ○ revoking, suspending or refusing licences ○ prosecution ○ statutory inspections or audits ○ unannounced visits • non-statutory interventions could include: ○ verbal or written advice ○ warning letters/advisory notes ○ training, workshops or guidance sessions ○ informal resolution/negotiation ○ information sharing and engagement

	○ action plans ○ signposting to other partner organisations ○ updates to changes in legislation ○ mock inspections ○ shadow work practice observations

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.	
Project with question and answer (Q&A)	
Knowledge and skills statements	**Amplification**
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)	**Types of data** could include: • quantitative data • qualitative data • structured data • unstructured data • primary data • secondary data • manual paper/historical • electronic **Methods to analyse data** could include: • trend analysis • comparative analysis • root cause analysis (RCA) • thematic analysis • statistical analysis • risk scoring • visualisation tools • gap analysis • sampling • stakeholder data sharing

S10: Take a **systematic approach to data curation** and apply **data quality controls** to ensure the **correct use of data-driven findings**. (IUDM)	**Systematic approach to data curation**
	• Organise and manage data in a consistent and structured way, for example:
	  ○ collecting and selecting relevant data
	  ○ organising, storing and maintaining data
	  ○ reviewing and updating data as required
	  ○ ensuring a clear lifestyle-based framework can be seen
	  ○ ensuring file integrity can be verified
	  ○ ensuring any missing context can be obtained from data creators
	
	Data quality controls
	• Apply checks and rules to ensure data is suitable and reliable for use, and validate the system to ensure:
	  ○ accuracy and completeness
	  ○ consistency and reliability
	  ○ currency and relevance
	
	Correct use of data-driven findings
	• Use findings appropriately when drawing conclusions or making decisions, for example:
	  ○ interpreting findings within the context of the available data
	  ○ ensuring data is clean and relevant
	  ○ recognising limitations, gaps or potential errors in the data
	  ○ ensuring conclusions are supported by the data
	  ○ avoiding personal bias and inaccurate assumptions

S11: Identify **patterns** and **trends** in compliance issues. (RA)	**Patterns** could include: • similar types of incidents happening repeatedly • recurring complaints about a particular issue • frequent non-conformance in the same process or team • the same control failures appearing in multiple audits • consistent training gaps across certain roles **Trends** could include: • upward trends • downward trends • stable trends • seasonal or cyclical trends

S15: Use **digital technologies to manage**, **share and store information** and to communicate with others. (CC)	**Digital technologies to manage, share and store information**:
	• managing could include:
	  ○ case management systems (CMS)
	  ○ document management systems (DMS)
	  ○ compliance and audit software
	  ○ risk management tools
	  ○ hardware provision – office and mobile
	• sharing could include:
	  ○ secure email and messaging, such as Docusign
	  ○ collaboration platforms, for example, Teams and Zoom
	  ○ portals and secure file transfer
	  ○ video conferencing tools
	• storing could include:
	  ○ cloud storage
	  ○ local/network drives
	  ○ databases
	  ○ archiving systems

*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)*	**Data** should be: • sourced from reliable places that details information that is specifically needed for the task at hand • accessed in a structured, secure and authorised way • curated through cleaning, categorising, validating, analysing and then selecting • presented in a clear, accessible and decision-ready format • in compliance with data protection/General Data Protection Regulation (GDPR) legislation • a mix of qualitative/quantitative

***S9**: **Use and analyse data**, making decisions about the **relevance, quality and accuracy** to inform **evidence-based and objective risk assessments**. (IUDM)*	**Use and analyse data**
	• Review and interpret available data to identify information relevant to the risk assessment, for example:
	  ○ trends, patterns and anomalies
	  ○ compliance history and previous findings
	  ○ data from inspections, audits or investigations
	  ○ considering how effective the business is at its own data analysis
	
	Relevance, quality and accuracy
	• Evaluate data before using it to inform a risk assessment, considering:
	  ○ whether it is relevant to the risk being assessed
	  ○ reliability, quality and credibility of the source
	  ○ accuracy, completeness and currency of the data
	  ○ whether it can be trusted for decision-making
	
	Evidence-based and objective risk assessments
	• Use appropriate data and evidence to assess risk objectively, for example:

	○ identifying the nature and potential impact of the risk ○ assessing the likelihood and severity of harm ○ reaching conclusions based on evidence rather than assumptions or personal opinion ○ ensuring bias has been eliminated ○ ensuring consistency is seen throughout
Professional discussion or Presentation with question and answer (Q&A)	
K19: **Legal, regulatory and organisational requirements related to data storage, retention and sharing**. (RPA)	**Legal, regulatory and organisational requirements related to data storage, retention and sharing:** • legal could include: ○ lawful basis, such as General Data Protection Regulation (GDPR) ○ data minimisation and retention protocols ○ accuracy ○ storage limitation (retention) ○ integrity and confidentiality (security) ○ rights of individuals ○ lawful sharing ○ complying with internal standard operating procedures ○ manual paper and electronic records • regulatory could include: ○ Information Commissioner's Office (ICO) ○ Sector-specific regulators ○ GDPR policy of external organisations and regulators • organisational could include: ○ policies and procedures ○ secure storage and breach management ○ retention schedules ○ data sharing processes, such as data subject access request policies

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.	
Project with question and answer (Q&A)	
Knowledge and skills statements	**Amplification**

S12: **Promote the importance of compliance** and their organisation's role in supporting compliance. (CC)	**Promote the importance of compliance**
	• Key in building trust with customers and employees
	• Communicate the value and benefits of meeting regulatory requirements, for example:
	  ○ protecting business, individuals and the wider public from legal penalties, reputational damage and financial losses
	  ○ reducing risks, harm and instances of non-compliance
	  ○ supporting appropriate standards and responsible business practices

Professional discussion or Presentation with question and answer (Q&A)	
K5: The **roles and responsibilities of partner organisations** and their interrelationships. (CC)	**Roles and responsibilities of partner organisations** could include: • setting regulatory standards and enforcing compliance • issuing licences, approvals or registrations • monitoring industry practices through audits, inspections or reporting requirements • investigating complaints, incidents or suspected breaches • providing guidance, codes of practice and sector-specific advice • taking enforcement action • working together on joint investigations to maximise sector powers and address non-compliance • regular network meetings to share trends, changes in legislation or shadow visit findings

K13: The need to provide **compliance support** to businesses and individuals they work with. (CC)	**Compliance support** could include the following: • advice and guidance • training and education • tools and templates • communication and engagement • monitoring and feedback • collaboration and partnership working • practical problem-solving support • signposting to other partner organisations
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)	**The value of feedback** presents itself with the following benefits: • improves performance and skills • supports compliance and quality • enhances communication and relationships • supports personal and professional development • drives organisational improvement • improves customer satisfaction • informs on progress of personal capabilities
K22: **Principles of customer service** and their application to interacting with key stakeholders when carrying out duties. (CC)	**Principles of customer service** could include: • professionalism • clarity and effective communication • responsiveness • fairness and impartiality • empathy and respect • confidentiality and data protection (GDPR) • accuracy and reliability • positive problem-solving • accessibility and inclusivity • continuous improvement • equality, diversity and inclusion

S14: Communicate with **stakeholders** including businesses, individuals and regulators. (CC)	**Stakeholders** could include: • regulators • regulated entities • customers • partner organisations • senior decision-makers
*K21: **Communication methods** and techniques, including digital technologies used to extract and convey information to different audiences in different situations. (CC)*	**Communication methods** could include: • verbal communication • written communication • digital and online communication • non-verbal communication, for example, eye contact, active listening and body language • visual communication • formal communication • informal communication
*S13: Build and maintain **good working relationships with stakeholders** and tailor their approach to the needs and circumstances of those they interact with. (CC)*	**Good working relationships with stakeholders** can be built and maintained using the following methods**:** • clear communication • professional behaviour • reliability and consistency • understanding others' needs • collaboration • transparency • empathy and active listening • integrity and independence • working together to achieve the same regulatory aims and outputs • cross-departmental working • cross-external council data sharing/engagement of Primary Authority Partnerships

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.	
Project with question and answer (Q&A)	
Knowledge and skills statements	**Amplification**

*S17: Use **workload management techniques** to plan, organise and prioritise own tasks and manage time effectively. (RA)*	**Workload management techniques**
	• Use techniques to manage workload effectively, for example:
	  ○ tasks lists, calendars and scheduling tools
	  ○ setting deadlines and allocating time to tasks
	  ○ reviewing and adjusting workload and priorities
	  ○ knowledge of workload capacity before adding tasks
	  ○ considering balance so not to overload certain individuals
	  ○ considering protection of a buffer capacity, such as 20% for any new work
	  ○ reviewing advantages and disadvantages of multi-tasking

Professional discussion or Presentation with question and answer (Q&A)	
K24: **Techniques for managing a caseload** and own wellbeing. (RA)	**Techniques for managing a caseload** could include: • prioritisation • time and risk management • case tracking systems • clear documentation • effective communication • working within boundaries • regular review of caseload • self-management and professional resilience • resource sharing • knowledge and experience balance

S16: Follow and apply equity, diversity and inclusion rules and procedures when making **evidence-based decisions** and **interacting with stakeholders**. (RPA)	**Evidence-based decisions**
	• Apply equity, diversity and inclusion requirements when making decisions, for example:
	  ○ basing decisions on relevant and objective evidence
	  ○ recognising and mitigating potential bias
	  ○ applying requirements fairly and consistently
	  ○ evaluating the intervention's impact, such as inclusive recruitment and structured training
	
	Interacting with stakeholders
	• Apply equity, diversity and inclusion principles when working with stakeholders, for example:
	  ○ respecting individual differences and needs
	  ○ adapting communication or approach where appropriate
	  ○ providing fair and inclusive access to information and support
	  ○ being empathetic and actively collaborating

*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)*	**Equity, diversity and inclusion** • Equity - recognising different needs and providing appropriate support to achieve fair and equal outcomes • Diversity - recognising and valuing differences and demographic characteristics between people, and embracing visible and invisible traits such as race, gender, age, religion, sexual orientation and background • Inclusion - enabling people to feel valued and safe to participate, contribute and be treated with respect **Impact on the organisation and its stakeholders** • Equal opportunities and fair treatment • Preventing discrimination, harassment and victimisation

	• Reasonable adjustments and accessibility are considered and applied
	• Dismantles systemic barriers and values diverse perspectives
	
	Impact of unconscious bias
	• How attitudes or assumptions outside conscious awareness can influence:
	  ○ judgements and decision-making
	  ○ interactions with colleagues and stakeholders
	  ○ fairness and consistency of regulatory activities

***K25**: **Ethical practices** that seek to preserve the trust of stakeholders including the need for fairness, accountability and transparency. (RA)*	**Ethical practices** could include: • integrity and honesty • impartiality and fairness • confidentiality and data protection (GDPR) • accountability and responsibility • transparency • professional conduct • respect and dignity • avoiding conflicts of interest • ethical use of power • commitment to continuous improvement

Behaviours
B1: Works sustainably ensuring resources are used efficiently and responsibly **B2: Acts in a professional manner with integrity and confidentiality.** **B3: Works flexibly and adapts to circumstances**
Behaviours must be verified by the employer and confirmed on the gateway to completion section in the Highfield Assessment Hub.

Performance Categories		
Performance category	**Pass grading descriptor**	**Distinction grading descriptor**
Applied Knowledge	Applies regulatory frameworks and compliance principles accurately to complete routine compliance tasks. (**K1**, **K2**, K16, **S1**)	Applies comprehensive knowledge of regulatory frameworks to analyse and resolve complex compliance scenarios, adapting approaches appropriately. *(**K4**, K7, K10, K11, K14)*
Applied Skills	Uses audits, inspections and risk assessments to identify and address non-compliance consistently, following established procedures and guidance. (**K6**, K8, **K9**, **K15**, **S5**, **S7**, S8)	Selects and adapts compliance techniques to suit different contexts and organisational needs, working independently to resolve challenges and proposing improvements to processes. *(K12, **S4**, **S6**)*
Regulatory and Procedural Awareness	Maintains awareness of current regulatory, requirements, codes of practice and organisational requirements by routinely checking authoritative sources and applying new or amended requirements correctly. (**K3**, K19, S16)	Proactively monitors the regulatory landscape, identifies implications for the organisation, and adapts compliance approaches in response to change. *(K23)*
Communication and Collaboration	Communicates compliance requirements clearly using appropriate methods and collaborates with businesses, individuals and partner organisations to support compliance. (K5, K13, K22, S12, **S14**, S15)	Adapts communication style and methods to different audiences and contexts, influences stakeholders to secure compliance outcomes, and coordinates collaborative initiatives. *(K21, S13)*
Information Use and Decision Making	Collects relevant compliance evidence systematically and evaluates it accurately to support decision-making on straightforward cases. (K17, K20, **S2**, **S3**, S10)	Critically evaluates diverse, incomplete or conflicting evidence, identifies gaps and biases, and makes sound judgements on complex compliance decisions that balance multiple regulatory considerations. *(K18, **S9**)*
Responsibility and Autonomy	Works independently on routine compliance cases within clear parameters, manages workload effectively, and supports team colleagues when needed. (K24, S11)	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. *(**K25**, S17)*

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Assessing the project with question and answer (Q&A)

The project with question and answer (Q&A) consists of two components:

- the completion of a project
- a question and answer session

The project with Q&A can be conducted and assessed by either the training provider or Highfield.

Project

The project may be started and completed at any point during the apprenticeship. It is recommended that the apprentice has completed at least **12 weeks** of their apprenticeship before commencing the project to ensure they have had sufficient opportunity to develop the knowledge and skills required to undertake the activity effectively.

If Highfield are conducting and assessing the project with Q&A assessment method, the project should be shared with Highfield **at least five working days** before the question and answer session. This is to allow the independent assessor time to review and mark the project, and to prepare questions for the question and answer session. If the training provider chooses to assess the project with Q&A, the project must be submitted alongside the Q&A evidence for EQA sampling.

The employer should ensure the apprentice has sufficient time and access to the necessary resources to plan, undertake and complete the project as part of their normal work activities.

The project must be based on a real workplace activity that is relevant to the regulatory compliance officer role. It should provide the apprentice with the opportunity to demonstrate the application of the required knowledge and skills statements through the planning, delivery, completion and evaluation of a defined piece of regulatory or compliance-related work.

The project outcome should be presented in the form of a written report, supported where appropriate by workplace evidence, such as emails, meeting documentation, templates, schedules, spreadsheets or screenshots. Supporting evidence should illustrate the apprentice's contribution and support the written report but will not be assessed independently.

As a minimum, the project report should include:

- an introduction to the workplace context and project
- the purpose, scope and objectives of the project
- how the project was planned, including activities, resources and timescales
- consideration of any regulatory and organisational requirements for the project

- how the project was delivered and any relevant risks that were managed

- how relevant stakeholders were engaged and communicated with
- the outcomes, impact and evaluation of the project
- reflections on lessons learnt and future practice

Highfield recommends that the written report is approximately **4,000 words**, although the focus should be on providing sufficient evidence to demonstrate the required knowledge and skills rather than meeting a specific word count. Appendices, references, diagrams, screenshots and supporting evidence are not included within this recommended word count.

The project report should be completed by the apprentice unaided. The report must be uploaded in PDF format and must be accompanied by the **Written Submission Sheet**, which is available to download from the Highfield Assessment website. On the Written Submission Sheet, the apprentice must verify that the submitted report is the apprentice's own work.

The project must be compiled alongside a project mapping document. This can be downloaded from our website. The project mapping document must be fully completed including a declaration by the apprentice to confirm that the project is valid and attributable to the apprentice.

The independent assessor will assess the submitted project report against the relevant knowledge and skills statements and prepare questions for the question and answer session.

Question and answer

There will be a minimum of **three questions** asked by an assessor in **30 minutes**.

The question and answer session will assess the knowledge and skills statements as stipulated in this specification.

The question and answer session will aim to close off all knowledge and skills statements not achieved/identified in the project alone and will aim to cover the range of knowledge and skills statements to ensure full coverage of the apprenticeship assessment.

Apprentices can refer to and illustrate their answers with evidence from their project during the question and answer session.

The question and answer session may be delivered online or in person and should be taken in controlled conditions in line with Highfield's invigilation policy. It will last up to a maximum of **30 minutes**.

Before the assessment

Employers/training providers should:

- give the apprentice time to work on their project during their apprenticeship
- ensure the apprentice knows the date, time and location of the assessment
- brief the apprentice on the areas that will be assessed by the project with Q&A (outlined on the following pages)
- encourage the apprentice to reflect on their experience and learning during their apprenticeship to understand what is required to meet the requirements of this assessment method
- be prepared to provide clarification to the apprentice, and signpost them to relevant parts of their apprenticeship experience as preparation for this assessment

Grading the project with Q&A

Apprentices will be marked against statements included in the tables on the following pages (under 'Project with question and answer (Q&A) criteria').

- To achieve a **pass**, apprentices must achieve all of the knowledge and skills statements required to achieve a pass
- To achieve a **distinction**, apprentices must achieve all of the knowledge and skills statements required to achieve a pass and distinction
- **Unsuccessful** apprentices will not have achieved all of the knowledge and skills statements required to achieve a pass

Project with question and answer (Q&A) mock assessment

It is the employer/training provider's responsibility to prepare apprentices for their assessment. Highfield recommends that the apprentice experiences a mock project with Q&A assessment in preparation for the real thing. The mock provides an opportunity to review the project and practise responding to questions against the same knowledge and skills statements that will be used by the independent assessor. The most appropriate form of mock project with Q&A will depend on the apprentice's setting and the resources available at the time.

In designing a mock assessment, the employer/training provider should include the following elements in its planning:

- review whether the project provides sufficient evidence to demonstrate the required knowledge and skills, and identify any areas where additional evidence, explanation or clarification may strengthen the project.
- provide constructive developmental feedback that supports the apprentice in improving the quality of their final submission.
- allow the apprentice sufficient time to reflect on the feedback and, where appropriate, refine their project before submitting the final version for assessment.
- the mock question and answer session should take place in a suitable location.
- a **30-minute** time slot should be available to complete the question and answer session.
- consider a video or audio recording of the mock question and answer session and allow it to be available to other apprentices, especially if it is not practicable for the employer/training provider to carry out a separate mock assessment with each apprentice.
- ensure that the apprentice's project and performance is reviewed and assessed by a competent trainer/assessor, and that feedback is shared with the apprentice to complete the learning experience. Mock assessment sheets are available to download from the Highfield Assessment website and may be used for this purpose.
- use structured, 'open' questions that do not lead the apprentice but allows them to express their knowledge and experience in a calm and comfortable manner. For example:
    1. How do your organisation's policies and procedures influence the way you carry out compliance activities? (AO1 - **S1**)
    2. What is the purpose of carrying out an audit or inspection as part of regulatory compliance? (AO2 - **K15**)
    3. What information or support can your organisation provide to help businesses or individuals achieve compliance? (AO5 - S12)

Feedback should support the apprentice in understanding how they can strengthen the evidence presented within their project. Feedback may include observations on the completeness of the evidence, the clarity of the information presented and opportunities to better demonstrate the relevant knowledge and skills. Feedback must not compromise the authenticity of the apprentice's work. The employer/training provider must not complete, rewrite or otherwise contribute to the content of the project on the apprentice's behalf.

Project with question and answer (Q&A) criteria

Throughout the project and the subsequent **30-minute** question and answer session, the assessor will review the apprentice's competence against the knowledge and skills statements outlined below.

Apprentices should prepare for the project with Q&A by considering how the knowledge and skills statements can be met.

AO1: Regulatory and Legal Frameworks
To pass, the following must be evidenced.
S1: Work within legal and regulatory frameworks and the organisation's policies and procedures. (AK)

AO2: Risk Identification and Assessment
To pass, the following must be evidenced.
K6: Risk assessment as a tool to support compliance and protect businesses and individuals. (AS)
K9: Techniques available to a regulatory compliance officer to assess compliance, monitor progress and identify trends. (AS)
K15: The purpose of auditing and inspection and associated techniques, processes and documentation. (AS)
K16: Types of internal controls that businesses can have in place to support compliance. (AK)
S2: Make informed assessments of the risk of a business or individual's non-compliance. (IUDM)
S3: Use outcomes of risk assessment to guide decisions, activities and targeting of resources. (IUDM)
S5: Collect evidence and data related to non-compliance using available techniques, for example investigations, audits, inspections. (AS)
S8: Assess products and services, including any associated internal controls to ensure they meet legal, regulatory and organisational requirements. (AS)
To gain a distinction, the following must be evidenced.
K14: The products and services provided by businesses in the sector in which they operate and the potential risks to compliance associated with these. (AK)

AO3: Compliance Interventions and Enforcement
To pass, the following must be evidenced.
K8: Intervention methods available to businesses and individuals to secure compliance. (AS)
To gain a distinction, the following must be evidenced.
S4: Make proportionate and risk-based intervention choices to ensure compliance is achieved. (AS)   ***S6: Take actions to deal with non-compliance using proportionate interventions. (AS)***

AO4: Data and Evidence Management
To pass, the following must be evidenced.
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)   S10: Take a systematic approach to data curation and apply data quality controls to ensure the correct use of data-driven findings. (IUDM)   S11: Identify patterns and trends in compliance issues. (RA)   S15: Use digital technologies to manage, share and store information and to communicate with others. (CC)
To gain a distinction, the following must be evidenced.
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)   ***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
To pass, the following must be evidenced.
S12: Promote the importance of compliance and their organisation's role in supporting compliance. (CC)

AO6: Ethics, Equity and Professional Practice
To gain a distinction, the following must be evidenced.
S17: Use workload management techniques to plan, organise and prioritise own tasks and manage time effectively. (RA)

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Assessing the professional discussion

This section only applies to apprentices who select Model A as their assessment approach, as agreed with the training provider and employer. If the apprentice, training provider and employer wish to use Model B, please see the 'Assessing the presentation with question and answer (Q&A)' section.

In the professional discussion, the independent assessor will ask the apprentice questions to assess their competence against the relevant knowledge and skills statements outlined in this specification. Employers are allowed to be present, however, this is optional.

Highfield will assess the professional discussion.

The professional discussion will last up to a maximum of **60 minutes**. The independent assessor will ask a minimum of **six questions**.

The professional discussion may be delivered online or in person and should be taken in controlled conditions in line with Highfield's invigilation policy.

Before the assessment

Employers/training providers should:

- ensure the apprentice knows the date, time and location of the assessment
- brief the apprentice on the areas that will be assessed by the professional discussion (outlined on the following pages)
- encourage the apprentice to reflect on their experience and learning during their apprenticeship to understand what is required to meet the requirements of this assessment method

Grading the professional discussion

Apprentices will be marked against statements included in the tables on the following pages (under 'Professional discussion criteria').

- To achieve a **pass**, apprentices must achieve all of the knowledge and skills statements required to achieve a pass
- To achieve a **distinction**, apprentices must achieve all of the knowledge and skills statements required to achieve a pass and distinction
- **Unsuccessful** apprentices will not have achieved all of the knowledge and skills statements required to achieve a pass

Professional discussion mock assessment

It is the employer/training provider's responsibility to prepare apprentices for their assessment. Highfield recommends that the apprentice experiences a mock professional discussion in preparation for the real thing. The most appropriate form of mock professional discussion will depend on the apprentice's setting and the resources available at the time.

In designing a mock assessment, the employer/training provider should include the following elements in its planning:

- the mock professional discussion should take place in a suitable location.
- a **60-minute** time slot should be available to complete the professional discussion.
- consider a video or audio recording of the mock professional discussion and allow it to be available to other apprentices, especially if it is not practicable for the employer/training provider to carry out a separate mock assessment with each apprentice.
- ensure that the apprentice's performance is assessed by a competent trainer/assessor, and that feedback is shared with the apprentice to complete the learning experience. Mock assessment sheets are available to download from the Highfield Assessment website and may be used for this purpose.
- use structured, 'open' questions that do not lead the apprentice but allows them to express their knowledge and experience in a calm and comfortable manner. For example:
    1. How do you determine which legal or regulatory requirements are relevant to a particular situation? (AO1 - **K2**)
    2. What factors can influence how an individual responds when a compliance issue is identified? (AO2 - *K11*)
    3. What information would help you judge whether agreed compliance actions are progressing as expected? (AO3 - **S7**)
    4. What factors determine when information should be retained or disposed of? (AO4 - K19)
    5. How can effective co-ordination between partner organisations support compliance outcomes? (AO5 - K5)
    6. How would you demonstrate that a decision was based on evidence rather than assumptions about a stakeholder? (AO6 - S16)

Professional discussion criteria

Throughout the **60-minute** professional discussion, the assessor will review the apprentice's competence against the knowledge and skills statements outlined below.

Apprentices should prepare for the professional discussion by considering how the knowledge and skills statements can be met.

AO1: Regulatory and Legal Frameworks
To pass, the following must be evidenced.
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)**
To gain a distinction, the following must be evidenced.
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
To gain a distinction, the following must be evidenced.
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
To pass, the following must be evidenced.
S7: Monitor progress made by businesses and individuals against assessed risks. (AS)
To gain a distinction, the following must be evidenced.
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
To pass, the following must be evidenced.
K19: Legal, regulatory and organisational requirements related to data storage, retention and sharing. (RPA)

AO5: Stakeholder Engagement and Communication
To pass, the following must be evidenced.
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)**
To gain a distinction, the following must be evidenced.
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
To pass, the following must be evidenced.
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)
To gain a distinction, the following must be evidenced.
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)***

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Assessing the presentation with question and answer (Q&A)

This section only applies to apprentices who select Model B as their assessment approach, as agreed with the training provider and employer. If the apprentice, training provider and employer wish to use Model A, please see the 'Assessing the professional discussion' section.

In the presentation with question and answer (Q&A), the apprentice delivers a presentation to an independent assessor. The independent assessor will ask questions after the presentation during the Q&A session. It gives the apprentice the opportunity to demonstrate the knowledge and skills statements mapped to this assessment method. Employers are allowed to be present, however, this is optional.

Highfield will assess the presentation with Q&A.

The presentation must be based on a real workplace activity that is relevant to the regulatory compliance officer role. It should provide the apprentice with the opportunity to demonstrate the application of the required knowledge and skills statements included within this assessment method.

The presentation should be shared with Highfield **at least five working days** before the assessment method takes place. This is to allow the independent assessor time to review and mark the presentation, and to prepare questions for the question and answer session.

The presentation should cover the knowledge and skills statements outlined for this assessment method within the following assessment outcomes:

- regulatory and legal frameworks
- risk identification and assessment
- compliance interventions and enforcement
- data and evidence management
- stakeholder engagement and communication
- ethics, equity and professional practice

The apprentice must notify Highfield of any technical requirements for the presentation. During the presentation, the apprentice must have access to:

- audio-visual presentation equipment
- a flip chart and writing and drawing materials
- a computer

The presentation with Q&A will last up to a maximum of **60 minutes**. Highfield recommends that this will typically include a presentation of **20 minutes** and a question and answer session lasting for **40 minutes**, but this is flexible depending on the length and quality of the presentation. The independent assessor will ask a minimum of **four questions**.

The presentation with Q&A may be delivered online or in person and should be taken in controlled conditions in line with Highfield's invigilation policy.

Before the assessment

Employers/training providers should:

- give the apprentice time to work on their presentation during their apprenticeship
- brief the apprentice on the areas that will be assessed by the presentation with Q&A (outlined on the following pages)
- encourage the apprentice to reflect on their experience and learning during their apprenticeship to understand what is required to meet the standard and identify real-life examples
- be prepared to provide clarification to the apprentice, and signpost them to relevant parts of their apprenticeship experience as preparation for this assessment

Grading the presentation with Q&A

Apprentices will be marked against statements included in the tables on the following pages (under 'Presentation with question and answer (Q&A) criteria').

- To achieve a **pass**, apprentices must achieve all of the knowledge and skills statements required to achieve a pass
- To achieve a **distinction**, apprentices must achieve all of the knowledge and skills statements required to achieve a pass and distinction
- **Unsuccessful** apprentices will not have achieved all of the knowledge and skills statements required to achieve a pass

Presentation with question and answer (Q&A) mock assessment

It is the employer/training provider's responsibility to prepare apprentices for their assessment. Highfield recommends that the apprentice completes a mock presentation with question and answer (Q&A) assessment before submitting their final presentation for assessment. The mock assessment provides an opportunity for the employer/training provider to review the presentation against the same knowledge and skills statements that will be used by the independent assessor to assess the final submission.

In planning and conducting a mock presentation with Q&A assessment, the employer/training provider should:

- review whether the presentation provides sufficient evidence to demonstrate the required knowledge and skills, and identify any areas where additional evidence, explanation or clarification may strengthen the presentation.
- provide constructive developmental feedback that supports the apprentice in improving the quality of their final submission.
- allow the apprentice sufficient time to reflect on the feedback and, where appropriate, refine their presentation before submitting the final version for assessment.
- the mock presentation with Q&A should take place in a suitable location.
- a **60-minute** time slot should be available to complete the presentation with Q&A.
- consider a video or audio recording of the mock presentation with Q&A and allow it to be available to other apprentices, especially if it is not practicable for the employer/training provider to carry out a separate mock assessment with each apprentice.
- ensure that the apprentice's presentation and performance is reviewed and assessed by a competent trainer/assessor, and that feedback is shared with the apprentice to complete the learning experience. Mock assessment sheets are available to download from the Highfield Assessment website and may be used for this purpose.
- use structured, 'open' questions that do not lead the apprentice but allows them to express their knowledge and experience in a calm and comfortable manner. For example:
    1. How do legal and regulatory frameworks influence your compliance activities? (AO1 - **K2**)
    2. What factors can affect a business or individual's approach to compliance? (AO2 - *K11*)
    3. How can providing support prevent non-compliance? (AO5 - K13)
    4. How do you monitor progress and deadlines across your caseload? (AO6 - K24)

Feedback should support the apprentice in understanding how they can strengthen the evidence presented within their presentation. Feedback may include observations on the completeness of the evidence, the clarity of the information presented and opportunities to better demonstrate the relevant knowledge and skills. Feedback must not compromise the authenticity of the apprentice's work. The employer/training provider must not complete, rewrite or otherwise contribute to the content of the presentation on the apprentice's behalf.

Presentation with question and answer (Q&A) criteria

Throughout the 60-minute presentation and question and answer session, the assessor will review the apprentice's competence against the knowledge and skills statements outlined below.

Apprentices should prepare for the presentation with question and answer (Q&A) by considering how the knowledge and skills statements can be met.

AO1: Regulatory and Legal Frameworks
To pass, the following must be evidenced.
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)**
To gain a distinction, the following must be evidenced.
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
To gain a distinction, the following must be evidenced.
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
To pass, the following must be evidenced.
S7: Monitor progress made by businesses and individuals against assessed risks. (AS)
To gain a distinction, the following must be evidenced.
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
To pass, the following must be evidenced.
K19: Legal, regulatory and organisational requirements related to data storage, retention and sharing. (RPA)

AO5: Stakeholder Engagement and Communication
To pass, the following must be evidenced.
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)**
To gain a distinction, the following must be evidenced.
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
To pass, the following must be evidenced.
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)
To gain a distinction, the following must be evidenced.
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)***

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Grading

The apprenticeship is graded pass, distinction or fail.

To achieve a pass, the apprentice is required to pass both the project with Q&A and their chosen additional assessment method.

To achieve a distinction, the apprentice is required to achieve a distinction in both the project with Q&A and their chosen additional assessment method.

The overall grade for the apprentice is determined using the matrix below.

Project with Q&A	Professional discussion or Presentation with Q&A	Overall grade awarded
Fail any of the assessment methods		**Fail**
Pass	Pass	**Pass**
Pass	Distinction	**Pass**
Distinction	Pass	**Pass**
Distinction	Distinction	**Distinction**

Resit and retake guidance

Resits and retakes are permitted for this standard to ensure apprentices are provided with a fair opportunity to demonstrate competence.

Apprentices may undertake a resit or retake following an unsuccessful outcome, or after achieving a pass grade where they wish to improve their result, including up to distinction.

A resit is a further attempt without additional learning, while a retake is a further attempt following a period of additional learning.

There is no cap on the number of resits or retakes that an apprentice can undertake. Where a failed assessment method is resat or retaken, it will be resat or retaken in full.

Where a learner or apprentice has achieved a pass or higher grade and wishes to improve their result, Highfield will permit **unlimited grade improvement attempts typically to be taken within three months of the original result being issued**, unless the relevant assessment plan, qualification specification or regulatory framework states otherwise.

Grade improvement attempts may take the form of either a resit or retake, depending on whether additional learning has taken place.

The final grade awarded will be based on the highest grade achieved during the permitted improvement period.

Following the expiry of the three-month period, no further grade improvement attempts will be permitted unless required by the applicable assessment plan or extenuating circumstances.

Please call the Highfield scheduling team to arrange the resit or retake. The Assessment Feedback Report will contain feedback on areas for development and resit or retake guidance.

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