Think about

Presentation with Question and Answer (Q&A)

Level 4 ST0430 Regulatory Compliance Officer v2.0



On the day of this assessment you will carry out:

- Typically includes a presentation of 20 minutes and a Q&A session lasting for 40 minutes
- Remote or face-to-face
- In a suitable assessment environment free from distractions or influence
- Will be assessed by Highfield

Key point

The timings included in the presentation with Q&A are flexible depending on the length and quality of the presentation you deliver.

Do

- Review the knowledge and skills statements associated with the presentation with Q&A - these can be found in the Assessment Specification and in the table at the end of this document
- Review relevant legislation, regulations, codes of conduct and your organisation's policies and procedures
- Ensure a quiet room is available and that there are no interruptions
- Be prepared to answer at least four questions during the Q&A session

Don't

- Forget to bring your ID
- Forget to plan
- Forget to refer to your prior learning and experiences during the Q&A session

Next steps

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

Resits or retakes

- You may resit or retake following an unsuccessful outcome



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

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

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

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

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

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

Assessment criteria	Key points to remember
AO1: Regulatory and Legal Frameworks	
(P) K1: The role of regulation as a tool of Government through statutory and non-statutory measures. (AK)	



(P) K2: Legal and regulatory frameworks and how they apply to businesses and individuals within their sector. (AK)	
(P) K3: The statutory and non-statutory regulations relevant to their regulatory function(s). (RPA)	
(D) 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)	
(D) 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	
(D) 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	
(P) S7: Monitor progress made by businesses and individuals against assessed risks. (AS)	
(D) K10: How regulation and the way it is enforced can impact on the businesses regulated. (AK)	
(D) 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	
(P) K19: Legal, regulatory and organisational requirements related to data storage, retention and sharing. (RPA)	
AO5: Stakeholder Engagement and Communication	
(P) K5: The roles and responsibilities of partner organisations and their interrelationships. (CC)	
(P) K13: The need to provide compliance support to businesses and individuals they work with. (CC)	
(P) 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)	



(P) K22: Principles of customer service and their application to interacting with key stakeholders when carrying out duties. (CC)	
(P) S14: Communicate with stakeholders including businesses, individuals and regulators. (CC)	
(D) K21: Communication methods and techniques, including digital technologies used to extract and convey information to different audiences in different situations. (CC)	
(D) 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	
(P) K24: Techniques for managing a caseload and own wellbeing. (RA)	
(P) S16: Follow and apply equity, diversity and inclusion rules and procedures when making evidence-based decisions and interacting with stakeholders. (RPA)	
(D) 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)	
(D) K25: Ethical practices that seek to preserve the trust of stakeholders including the need for fairness, accountability and transparency. (RA)	



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