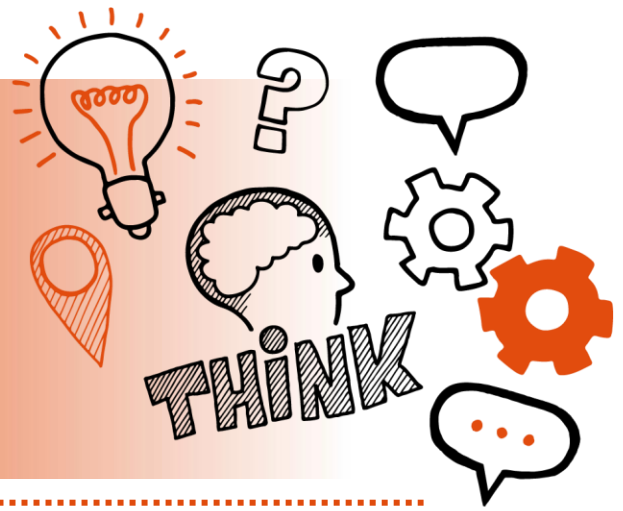


Think about
Professional discussion
underpinned by a portfolio
Level 4 ST0430 Regulatory
Compliance Officer V1.1



On the day of this assessment you will carry out:



A 60-minute professional discussion underpinned
by a portfolio



Remote or face-to-face



In a suitable, controlled environment free from
distraction



With an end-point assessor



Key point

You will have already submitted your portfolio of evidence, which is
not formally assessed, but can be used to illustrate your answers.



Do

- Review the criteria associated with the professional discussion underpinned by a portfolio - this can be found in the EPA Kit and in the table at the end of this document
- Review relevant legislations, regulations 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 10 questions and any follow-up questions that your assessor may ask



Don't

- Forget to bring your ID
- Forget to plan
- Forget to bring your portfolio to refer to during the professional discussion



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

- If you do not achieve a pass result on the professional discussion underpinned by a portfolio, you can re-sit this assessment





Use the table below to plan and prepare for the professional discussion underpinned by a portfolio

(P) indicates pass criteria

(D) indicates distinction criteria

Assessment criteria	Key points to remember
Legislation	
<p>(P) Articulate how you work within legal and regulatory frameworks and follow the policies, procedures and codes of practice which apply to businesses and individuals within your sector while considering the role of regulation as a governmental tool, using statutory and non-statutory measures and addressing legal and regulatory interrelationships (K1, K2, K3, K4, S1)</p>	



(P) Outline the techniques you use to collect evidence and data that is related to non-compliance and use this to identify patterns and trends (S5, S11)

(D) Justify the techniques you use to collect evidence and data to identify patterns and trends in non-compliance (S5, S11)



Personal Management and Development

(P) Outline the techniques you use for managing a caseload and your own wellbeing, working flexibly and adapting to changing circumstances in line with organisational policies and procedures (K24, B3)

(P) Identify the workload management techniques you use to plan, organise and prioritise own tasks and manage time effectively, using resources sustainably in line with organisational policies and procedures (S17, B1)



Communication

(P) Justify why you take account of the legal, regulatory and organisational requirements related to data storage, retention and sharing when using digital technologies to manage, share and store information when communicating with others (K19, S15)

(P) Explain the value of feedback from those you regulate to inform future activities (K20)

(P) Outline the communication methods and techniques including digital technologies you use to extract and convey information to businesses, individuals and regulators (K21, S14)



(D) Evaluate the importance of choice of communication method or technique in conveying information to businesses, individuals and regulators in different situations (K21, S14)

V1.0

