

# **Highfield Level 4 End-Point Assessment for ST0430 Regulatory Compliance Officer**

## **Bank of Practical Observation Briefs**

### **Practical Brief 1 (OBS-RCO4001) – Selling Illicit/Smuggled Tobacco Products**

You are a regulatory compliance officer working for a local council's trading standards service. You have received intelligence from the owner of a local retail shop alleging that another retailer is selling what he believes to be illicit or smuggled tobacco products.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

### **Practical Brief 2 (OBS-RCO4002) – GDPR Breach: Motor Insurance**

You are a regulatory compliance officer, working for a large motor insurance broker. You have received anonymous information from one of your employees alleging that the claims department is disclosing customers' personal details to an external personal injury claims company without the customers' consent.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

### **Practical Brief 3 (OBS-RCO4003) – Selling Alcohol Without a Licence**

You are a regulatory compliance officer, working for a local council's licensing service. You have received a complaint from a member of the public that they believe their corner shop has started selling beer and wine without a licence.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

### **Practical Brief 4 (OBS-RCO4004) – Regulated Waste: Operating Without a Permit**

You are a regulatory compliance officer, working for a regulated waste permitting authority. You have received a complaint from an established waste disposal company that they believe one of their competitors is transporting waste without the appropriate permit(s) and taking business away from them.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

### **Practical Brief 5 (OBS-RCO4005) – Fly Tipping**

You are a regulatory compliance officer, working for a local council's environmental health service. You have received a complaint from a member of the public regarding repeated fly tipping in the local area and the complainant has named a local business as being responsible.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

### **Practical Brief 6 (OBS-RCO4006) – Noise Complaint Against a Tenant**

You are a regulatory compliance officer, working for a local council's housing service. You have received a noise complaint from a neighbour of a tenant regarding frequent late-night parties and other noisy behaviour.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

### **Practical Brief 7 (OBS-RCO4007) – Food Premises with Pest Infestation**

You are a regulatory compliance officer, working for the local council's environmental health service. You have received a complaint from a member of the public who claims they saw mouse droppings on the floor of their local sandwich shop.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

### **Practical Brief 8 (OBS-RCO4008) – Awarding Organisation: Poor Training Quality at Approved Centre**

You are a regulatory compliance officer working for a regulated awarding organisation. You have received an allegation from a learner who has recently undertaken a qualification at one of your approved centres. The learner has contacted you confidentially as they want to make you aware of some poor-quality training practices that they witnessed at the centre during the delivery and assessment of their qualification. They claim that minimal training was provided and that learners were talking to each other during their exam.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

### **Practical Brief 9 (OBS-RCO4009) – Investigating Gas Theft**

You are a regulatory compliance officer working for a major energy supplier. Your service area is responsible for detecting, preventing and investigating the theft and illegal use of natural gas. Data analysis during an internal audit identifies a consumer where there is a high risk of gas theft and the consumer is selected for investigation.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

### **Practical Brief 10 (OBS-RCO4010) – Housing in Disrepair**

You are a regulatory compliance officer working for a local council's private sector housing enforcement team. You have been allocated a service request from the tenant of private rented property alleging that their house is in a state of disrepair. The matters raised specifically include:

- central heating not working
- cold temperatures inside the property
- damp and mould inside the property

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

### **Practical Brief 11 (OBS-RCO4011) – Taxi Licensing**

You are a regulatory compliance officer working in a local authority licensing service. Your duties include taxi/private hire driver, operator and vehicle licensing. You have been tasked with investigating a report of a taxi driver denying an elderly blind person entry to their licensed vehicle as they were accompanied by their assistance dog. The driver has since driven away, leaving them stranded at the side of the road.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

### **Practical Brief 12 (OBS-RCO4012) – Commercial Statutory Nuisance**

You are a regulatory compliance officer working for a local council's regulatory services department. You have received a complaint from a member of the public alleging that their household is routinely disturbed by late night and early morning deliveries to a large supermarket located in close proximity to the complainant's property. The supermarket is part of a multinational company which has a large number of retail outlets located throughout the country. The complainant's property is located on a large residential housing estate which is situated close to a retail park where the supermarket is one of several large retail outlets.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

### **Practical Brief 13 (OBS-RCO4013) – Environmental Permitting: Pollution (Petrol Stations)**

You are a regulatory compliance officer working in the Pollution Control service area of a local council. Your duties include Environmental Permitting for Part A2 and B installations (current Environmental Permitting Regulations). You have been tasked with planning and carrying out a compliance monitoring and inspection programme for all 35 petrol stations located within the local council's district. *(Assume the local council is the regulator).*

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

**Practical Brief 14 (OBS-RCO4014) – Environmental Permitting: Pollution (Generic)**

You are a regulatory compliance officer working in the Pollution Control service area of a local council. Your duties include Environmental Permitting for Part A2 and B installations (current Environmental Permitting Regulations). You have been tasked with planning and carrying out a compliance monitoring and inspection programme for all of the permitted sites within the local council's district. *(Assume the local council is the regulator).*

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

**Practical Brief 15 (OBS-RCO4015) – Health and Safety: Incident Investigation**

You are a regulatory compliance officer working for a local council's workplace health and safety enforcement service. You have been made aware of a worker at a local distribution warehouse who has suffered a head injury resulting in unconsciousness after being struck by an item of stock falling from the high-level racking. The accident was reported by the injured person's employer online via the Incident Contact Centre.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

**Practical Brief 16 (OBS-RCO4016) – Residential Housing**

You are a regulatory compliance officer working for a residential housing association. Your duties include monitoring fire precautions and detection systems in a variety of residential settings, ranging from single household family homes to multi-occupied high rise residential buildings. Some of the accommodation is sheltered housing for people who are normally able to live independently but need occasional help or support.

You have been tasked with planning and carrying out a compliance monitoring and inspection programme of the fire safety arrangements in all the associations housing stock.

**Practical Brief 17 (OBS-RCO4017) – Underage Sales**

You are a regulatory compliance officer working for a local council's trading standards service, you receive intelligence from the owner of a local retail shop alleging that another local retailer is selling cigarettes and alcohol to people under the age of 18, including local school children. The source of the intelligence states that it is starting to adversely impact on his business because local children now avoid his shop, as they know they will be refused age-restricted goods.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

### **Practical Brief 18 (OBS-RCO4018) – Houses in Multiple Occupation (HMO) Licensing**

You are a regulatory compliance officer working in the private sector housing team at a local council. You have received intelligence via a colleague in another service area, that they are dealing with an accumulation of domestic refuse at the rear of a large domestic house, which leads you believe that the house is potentially being operated as an unlicensed HMO.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

### **Practical Brief 19 (OBS-RCO4019) – Level Crossing Safety**

You are a regulatory compliance officer working for the Office of Rail and Road (ORR). Your duties include undertaking proactive inspections on a range of priority topics set out in ORR's annual business plan. Level crossing safety is a priority topic identified for proactive inspection. The area that you are responsible for has a significant number of mainline level crossings but there are also some that are located on a heritage railway.

You have been tasked with planning and carrying out a compliance monitoring and inspection programme of level crossing safety.

### **Practical Brief 20 (OBS-RCO4020) – Rail Maintenance Depots**

You are a regulatory compliance officer working for the Office of Rail and Road (ORR). Your duties include undertaking proactive inspections on a range of priority topics set out in ORR's annual business plan. This year, depot health and safety is one of the topic areas identified for proactive inspection. The area that you are responsible for has a significant number of light maintenance depots, the majority of which are in the mainline sector. However, there are also a couple in the non-mainline heritage sector.

You have been tasked with planning and carrying out a compliance monitoring and inspection programme of level crossing safety.

### **Practical Brief 21 (OBS-RCO4021) – Selling Fireworks Without Appropriate Licence**

You are a regulatory compliance officer working for the trading standards department of a local council. You have received a report about a retailer who is storing more than the allowed number of fireworks, classed as hazard-type 3 explosives, without the appropriate licence.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

**Practical Brief 22 (OBS-RCO4022) – Overhanging Tree on Road Sign**

You are a regulatory compliance officer working for the Environmental Health department within a local council. A motorist has submitted a concern regarding an overhanging tree that is covering a speed limit sign on a local public highway.

You have been tasked with carrying out a site visit and investigating the issue, ensuring any necessary work has been carried out.

**Practical Brief 23 (OBS-RCO4023) – Water Temperature Concern**

You are a regulatory compliance officer working for a large organisation in the health and safety department. You are carrying out your monthly routine checks on sentinel outlets and discover that one of these outlets has a temperature reading of 23°C.

You have been tasked with investigating the concern, ensuring immediate precautions are taken and remedial actions completed so that the appropriate action is taken.

**Practical Brief 24 (OBS-RCO4024) – Smoking of Shisha in Enclosed Space**

You are a regulatory compliance officer working within the licensing team of a local government organisation. You have received a report from a local resident that a shop selling Shisha pipes have set up an enclosed gazebo in their rear courtyard where customers are smoking Shisha.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

**Practical Brief 25 (OBS-RCO4025) – Due Diligence Checks for Money Laundering**

You are a regulatory compliance officer working for an estate agency. On carrying out your regular checks, you notice that one property transaction looks suspicious as it's a cash purchase and well above the price expected for that type of property. The responsible person in the team has failed to escalate this according to procedure and failed to follow up with the seller. You have noticed that the responsible person within the team has also failed to request a copy of the seller's passport or other acceptable form of ID.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

**Practical Brief 26 (OBS-RCO4026) – Regulatory Services: Water Supply Investigation**

You are a regulatory compliance officer working in the regulatory services department of a local council. You have received a report from Public Health England that two local residents have been infected with E.coli, with early suspicions that it could be related to their water supply.

You are tasked with carrying out a formal investigation involving residents, owners of property and any relevant external organisations and reporting back to the Drinking Water Inspectorate so that the appropriate action is taken.

### **Practical Brief 27 (OBS-RCO4027) – Gas Safety Checks**

You are a regulatory compliance officer within a local housing association. It is your organisation's responsibility to ensure that relevant gas safety regulations are adhered to. As part of your annual audit, you have noted that there are several properties that are overdue an annual gas safety check.

You are tasked with looking into this matter, liaising with all relevant stakeholders, and taking appropriate action to ensure your organisation is compliant.

### **Practical Brief 28 (OBS-RCO4028) – Chemical Discharge**

You are a regulatory compliance officer working for a chemical manufacturing company. You have noticed on your regular sewer checks that chemical levels exceed the discharge limit applied to your organisation.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

### **Practical Brief 29 (OBS-RCO4029) – Failure to Meet Minimum Standards for Horticultural Produce**

You are a regulatory compliance officer working for the inspectorate responsible for horticultural marketing compliance. During a routine inspection at a wholesale market, you notice a labelling error on some fresh fruit and vegetable products.

You have been tasked with investigating the issue and liaising with the relevant stakeholders so that the appropriate action is taken.

### **Practical Brief 30 (OBS-RCO4030) – Individual Learner Record (ILR) Discrepancies**

You are a regulatory compliance officer working for an apprenticeship training provider who are regulated by the Department for Education (DfE). On carrying out an internal audit you notice some discrepancies between documentation submitted and information on your learner management system which may lead to non-compliance against funding rules.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

### **Practical Brief 31 (OBS-RCO4031) – Suspected Unauthorised Housing Development**

You are a regulatory compliance officer working for the local council's trading standards service. You receive intelligence from the owner of a local retail shop alleging that another retailer is selling what he believes to be illicit or smuggled tobacco products.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

### **Practical Brief 32 (OBS-RCO4032) – Data Protection Impact Assessment**

You are a regulatory compliance officer working in a local government department, supporting the information governance function. In supporting a department with a Data Protection Impact Assessment, you have noticed that their proposed data processing approach will mean that they are non-compliant with the current General Data Protection Regulations and Data Protection Act.

You are tasked with working with the department to identify the issue and ensure they are fully compliant.

### **Practical Brief 33 (OBS-RCO4033) – Driver and Vehicle Standards Agency (DVSA): Compliance Checks**

You are a regulatory compliance officer working for the Driver and Vehicle Standards Agency (DVSA). You are carrying out your remote routine checks on operator compliance and identify that one of their drivers appears to be non-compliant with the working time regulations.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

### **Practical Brief 34 (OBS-RCO4034) – Claims Management**

You are a regulatory compliance officer working for a claims management company. You are carrying out some call monitoring and have a concern that one of the agents may not be complying with the vulnerable customer requirements of the organisation, potentially breaching the FCA guidelines.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

### **Practical Brief 35 (OBS-RCO4035) – Animal Transport Concern**

You are a regulatory compliance officer working for the Animal and Plant Health Agency (APHA). You have received a report that there is a suspected commercial carrier of animals without the necessary operating license and that animals are not being kept in suitable conditions during transport.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.



**Practical Brief 36 (OBS-RCO4036) – Suspected Illegal Animal Import**

You are a regulatory compliance officer working for the Animal and Plant Health Agency (APHA). During routine vehicle checks at port you spot some very young puppies in the back of a van being kept in poor conditions. The owner of the vehicle has been asked to transport them into the country.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

**Practical Brief 37 (OBS-RCO4037) – Animal Welfare Concern**

You are a regulatory compliance officer working in the animal welfare department of a local authority. Upon a routine inspection of a local livestock holding, you have concerns about the conditions in which some animals are kept.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

**Practical Brief 38 (OBS-RCO4038) – Audit Management Checks**

You are a regulatory compliance officer working as part of an audit management company. Upon conducting some regular checks, you have noticed that customer due diligence checks have not been conducted correctly.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

**Practical Brief 39 (OBS-RCO4039) – Gambling Operations**

You are a regulatory compliance officer working for a gambling operator. Upon carrying out your internal compliance checks, you have noticed that marketing communications have been sent to customers who have excluded themselves from these communications.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

**Practical Brief 40 (OBS-RCO4001) – Non-Removable Batteries**

You are a regulatory compliance officer working for the Office of Product Safety and Standards. You have received a complaint from a consumer who has purchased a product online where the batteries are non-removable.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

**Practical Brief 41 (OBS-RCO4041) – Alternative Fuel Compliance**

You are a regulatory compliance officer working for the Office of Product Safety and Standards. On one of your routine inspections of an alternative fuel site, you notice that the dispensers do not have the required labelling in place.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

**Practical Brief 42 (OBS-RCO4042) – Product Standards: Timber**

You are a regulatory compliance officer working for the Office of Product Safety and Standards. Upon carrying out some routine checks you come across a trader who cannot provide information about where timber has been purchased from.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

**Practical Brief 43 (OBS-RCO4043) – Product Standards: Electrical Appliance**

You are a regulatory compliance officer working for the Office of Product Safety and Standards. You have received a complaint from a consumer who has purchased a product online where the wires are exposed and do not look safe.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

**Practical Brief 44 (OBS-RCO4001) – Driver and Vehicle Licensing Agency (DVSA):****Overweight Vehicle**

You are a regulatory compliance officer working for the Driver and Vehicle Standards Agency (DVSA). You are carrying out your remote routine checks on operators and have identified that one of their vehicles appears to be over the maximum weight limit.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

**Practical Brief 45 (OBS-RCO4045) – Unregistered Livestock**

You are a regulatory compliance officer working for the Rural Payments Agency. On one of your routine inspections at a farm you notice there are livestock which you have no record of and are not ear-tagged.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

**Practical Brief 46 (OBS-RCO4046) – Fund Breach**

You are a regulatory compliance officer working for an outsourced fund administration service. You are conducting your regular monitoring activities and notice that there is a potential breach of rules with one or more of the funds you are reviewing.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

**Practical Brief 47 (OBS-RCO4047) – Food Allergen Information**

You are a regulatory compliance officer working for a food distribution company. You notice on a regular audit that one of the products your company have sourced does not contain food allergen information on their labelling.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

**Practical Brief 48 (OBS-RCO4048) – Health and Safety Risk Assessments**

You are a regulatory compliance officer working in a large organisation and responsible for ensuring health and safety information is up to date and risk assessments are completed. During your regular checks, you have noticed that one department has not updated their risk assessments and returned these to you.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

**Practical Brief 49 (OBS-RCO4049) – Food Manufacturing Regulatory Audit**

You are a regulatory compliance officer working for a food manufacturer. You are preparing for an external regulatory audit and notice that records are not up to date in relation to training and relevant safety data.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

**Practical Brief 50 (OBS-RCO4050) – Regulatory Submission Issue: Pharmaceutical Industry**

You are a regulatory compliance officer working for a pharmaceutical company. In preparation for a regulatory submission you notice that the patient information leaflet included with the product is incorrect.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

**Practical Brief 51 (OBS-RCO4051) – Estate Services Inspection**

You are a regulatory compliance officer working in a local government organisation within the housing department. Your role is to support the housing department with health and safety matters relating to communal areas. You have noticed, on a routine inspection, that repairs required from a previous reported accident have not been completed.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

**Practical Brief 52 (OBS-RCO4052) – Environmental Permitting: Pollution (Controlled Watercourse)**

You are a regulatory compliance officer working in the Environment Agency in Environment Management. Your duties include investigating breaches of Environmental Permitting for Section 38 of the EPR (Environmental Permitting Regulations 2016). The duty officer receives a report of pollution into a river (controlled watercourse).

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

**Practical Brief 53 (OBS-RCO4053) – Plant Health Imports**

You are a regulatory compliance officer working for the Animal and Plant Health Agency (APHA). During your routine inspection of imports, there is a concern that harmful organisms may have been found on a consignment arriving from a foreign country.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

**Practical Brief 54 (OBS-RCO4054) – GDPR Breach: Conference Call Booking**

You are a regulatory compliance officer working for a court certified conference call provider. You have received information from one of your team alleging that the booking team has sent the booking for a conference call to the incorrect person.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

**Practical Brief 55 (OBS-RCO4055) – Suspicious Gambling Activity**

You are a regulatory compliance officer working for a pool betting service. You have noticed during your compliance monitoring that there may have been some suspicious betting activity that has not been escalated correctly.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

**Practical Brief 56 (OBS-RCO4056) – Electrical Product Documentation Concern**

You are a regulatory compliance officer working for the Office of Product Safety and Standards. You have been carrying out routine documentation checks and have noticed that there could be some errors and omissions in the technical documentation for a product.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

**Practical Brief 57 (OBS-RCO4057) – Connected Care Software Concern**

You are a regulatory compliance officer working for an organisation who provide software solutions for connected care to the NHS. On one of your routine checks, you have discovered a client's practices may not be in line with the NHS Data Digital Security and Protection Toolkit which may result in a misuse of data.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

**Practical Brief 58 (OBS-RCO4058) – Event Safety Concern**

You are a regulatory compliance officer working for a local authority licensing department. You have received a report of an accident which took place on site during the setup of the event with one of the site workers.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

**Practical Brief 59 (OBS-RCO4059) – Unlicensed Event**

You are a regulatory compliance officer working for a local authority public protection department. You have received reports of tickets being sold for what appears to be a large event in a public space despite no event notification being received.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

**Practical Brief 60 (OBS-RCO4060) – Product Safety and Standards Concern**

You are a regulatory compliance officer working for the Office for Product Safety and Standards. During your monitoring activities you notice that one of your UK users has not submitted the correct documentation

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

### **Practical Brief 61 (OBS-RCO4061) – Failure to Adhere to International Civil Aviation Organisation (ICAO) Guidelines**

You are a regulatory compliance officer working for the Civil Aviation Authority (CAA). You have received reports of a customer who is not currently complying with ICAO guidelines in relation to annexes.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

### **Practical Brief 62 (OBS-RCO4062) – Quality Management Systems**

You are a regulatory compliance officer with responsibility for ensuring compliance with a recognised quality management system within your organisation. Whilst contributing to an internal audit, you have noticed a couple of areas of potential non-compliance.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

### **Practical Brief 63 (OBS-RCO4063) – Civil Aviation Authority (CAA)**

You are a regulatory compliance officer working for the Civil Aviation Authority. During an audit, you have noticed that a company is not consistent in keeping and maintaining appropriate records across a range of activities. In reviewing previous audit reports, you find this has been raised previously but it has not been rectified fully.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

### **Practical Brief 64 (OBS-RCO4064) – Unsafe Storage of Hazardous Materials**

You are a regulatory compliance officer working for the Transport Authority. A local mechanic informs you that his employer is no longer using Safety Data sheets to record the handling of hazardous material and that waste oil drums on the premises are being incorrectly stored.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

### **Practical Brief 65 (OBS-RCO4065) – Water Treatment Equipment Malfunction**

You are a regulatory compliance officer working for the Environment Agency. You have been informed that operators at a local water treatment plant have failed to notify your department of an equipment malfunction within the mandated 7-day period and are now in breach of their permit conditions.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

### **Practical Brief 66 (OBS-RCO4066) – Environment Agency: Local Complaints**

You are a regulatory compliance officer working for the Environment Agency. You are reviewing a permit application for a site but have been made aware of local complaints relating to pollution coming from the site in question.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

### **Practical Brief 67 (OBS-RCO4067) – Environment Agency: Sewage Plant Wastewater Sampling**

You are a regulatory compliance officer who monitors waste management companies for the Environment Agency. During a routine inspection of a local sewage treatment plant, you learn that the employer has failed to report the results of a wastewater sampling that showed levels of ammoniacal nitrogen have risen above the 5mg/L threshold.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

### **Practical Brief 68 (OBS-RCO4068) – Environment Agency: Unauthorised Waste Exports**

You are a regulatory compliance officer who monitors waste management companies for the Environment Agency. You have received a complaint from a waste management firm who believes one of their competitors has exported intentionally mislabeled waste to a prohibited country.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

### **Practical Brief 69 (OBS-RCO4069) – Improper Handling of Personal Data**

You are a regulatory compliance officer working for the Education and Skills Funding Agency. You have been notified by a student at a local training provider that their contact details and address, as well as those of their classmates, have been made publicly available.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

### **Practical Brief 70 (OBS-RCO4070) – Community Protection Notice Non-Compliance**

You are a regulatory compliance officer working for a local council. You receive a complaint from a member of the public who informs you that their neighbour's dog has attacked their pet for the third time, and that they are failing to comply with the reasonable measures laid out in the community protection notice they were served.

You are tasked with determining the extent of the non-compliance, compiling your findings before presenting them to the relevant stakeholders, and enforcing the appropriate regulatory response.

**Practical Brief 71 (OBS-RCO4071) – Repeated Statutory Nuisance**

You are a regulatory compliance officer working for the local council as an Environmental Health technical support officer. You receive a complaint from a local resident who informs you that their neighbour has repeatedly used loudspeakers to hold street parties late into the night and has ignored the warning notices they were previously served by the council.

You are tasked with looking into the complaint, taking appropriate action, and reporting to the necessary stakeholders.

**Practical Brief 72 (OBS-RCO4072) – Air Carrier Non-Compliance**

You are a regulatory compliance officer working for the Civil Aviation Authority. During a routine audit you are notified by a whistle-blower that their employer is failing to comply with several of the Standards and Recommended Practices (SARPs) laid out in International Civil Aviation Organisation (ICAO) Annex 19.

You are required to verify whether the air carrier in question is non-compliant, enforce the appropriate regulatory response, and present a report of your findings to the relevant stakeholders.

**Practical Brief 73 (OBS-RCO 4073) – Waste Management Audit**

You are a regulatory compliance officer working for the Environment Agency in the waste regulation and enforcement department. While conducting an audit of a local waste management company, you find that the majority of the paperwork on file is incomplete.

You are tasked with ascertaining the extent of the non-compliance, compiling a report of your findings ready to present to the relevant stakeholders, and enacting the appropriate regulatory response.

**Practical Brief 74 (OBS-RCO4074) – Consumer Rights Act Non-Compliance**

You are a regulatory compliance officer working for the local council in the Trading Standards enforcement department. You receive a complaint from a member of the public alleging that a second-hand car dealership in their area knowingly sold them a car of an unsatisfactory standard, failed to provide the correct documentation on point of sale, and neglected to perform repairs on the vehicle as required by the Consumer Rights Act (2015).

You are tasked with establishing the extent of the non-compliance, compiling a report ready to present to the relevant stakeholders and enforcing the appropriate regulatory response.



**Practical Brief 75 (OBS-RCO4075) – Falsified Registration Information**

You are a regulatory compliance officer working for the Environment Agency. During a routine audit of a waste carrier, you learn that they submitted false information during the registration process and are in violation of the Controlled Waste Regulations (1999).

You are tasked with confirming that a breach has occurred, enacting the necessary regulatory actions, and presenting a report of your findings to the relevant stakeholders.

**Practical Brief 76 (OBS-RCO4076) – Food Safety Non-Compliance**

You are a regulatory compliance officer working for the Trading Standards agency. You receive a complaint from a member of the public who informs you that they suffered an allergic reaction after being served allergens in a meal they were told would be adjusted in order to fit their specific dietary requirements.

You are tasked with investigating the validity of the claim, compiling a report of your findings ready to present to the relevant stakeholders, and enforcing the appropriate regulatory response.

**Practical Brief 77 (OBS-RCO4077) – Breach of Food Safety Regulations**

You are a regulatory compliance officer working for the Trading Standards agency. You receive a complaint from an employee at a local restaurant who claims that the proprietor has instructed the head chef to use foodstuffs that are past their use-by date in meals that are being served to the general public.

You are tasked with investigating the validity of the claim, compiling a report of your findings ready to present to the relevant stakeholders, and enforcing the appropriate regulatory response.

**Practical Brief 78 (OBS-RCO4078) – Overpriced Home Renovations**

You are a regulatory compliance officer working for the local council. You receive a complaint from a member of the public claiming that the building contractor they hired to renovate their property overcharged them and carried out work that was not agreed upon during the tender process.

You are tasked with investigating the concern, presenting a report of your findings to the relevant stakeholders and enacting the appropriate response.

**Practical Brief 79 (OBS-RCO4079) – Consumer Rights Breach**

You are a regulatory compliance officer working for the local council in the Trading Standards enforcement department. You receive a complaint from a member of the public alleging that a second-hand car dealership in their area knowingly sold them a car of an unsatisfactory standard, and falsified documents to mislead the customer on the vehicles service history.

You are tasked with establishing the extent of the non-compliance, compiling a report ready to present to the relevant stakeholders, and enforcing the appropriate regulatory response.

**Practical Brief 80 (OBS-RCO4080) – Reasonable Adjustment Non-Compliance**

You are a regulatory compliance officer working at a regulatory authority in Education Regulation. The commissioner has raised concerns over the application of reasonable adjustments in a major Awarding Organisation after receiving information suggesting that it failed to sufficiently outline the provisions put in place for customers requiring additional support with their examinations.

You have been tasked with establishing the degree of noncompliance, compiling a report of your findings ready to present to the relevant stakeholders, and enforcing the appropriate regulatory response.

**Practical Brief 81 (OBS-RCO4081) – Unattended Car in Local Town Centre**

You are a regulatory compliance officer working for the local council as a civil enforcement officer. During a routine patrol of the town centre, you encounter an unattended car whose windows have been broken.

You are tasked with gathering the pertinent information ready to present to the relevant stakeholders and putting the appropriate regulatory response in place.

**Practical Brief 82 (OBS-RCO4082) – Environment Agency: Obligated Packaging Producer Non-Compliance**

You are a regulatory compliance officer working for the Environment Agency in the enforcement of Producer Responsibility regulations. You receive an anonymous tip from a member of the public notifying you of an obligated packaging producer who has failed to register. As a result, they have also failed to comply with the rules governing the recycling of packaging.

You are tasked with compiling a report of your findings ready to report to the relevant stakeholders and taking the relevant regulatory action.

**Practical Brief 83 (OBS-RCO4083) – Insurance Fraud**

You work for an insurance broker who provides life insurance policies. Your colleague informs you that they suspect one of their customers has finalised a policy on behalf of someone who was not present on the call at the time of signing.

You are tasked with establishing the extent of the noncompliance, compiling a report of your findings ready to present to the relevant stakeholders, and enforcing the appropriate regulatory response.

**Practical Brief 84 (OBS-RCO4084) – Failure to Maintain Information Security Policies**

You are a regulatory compliance officer working at an IT service provider. During a routine check of the information security policies, you notice that they haven't been reviewed at pre-arranged intervals and may now contain inaccurate information.

You are tasked with establishing the extent of the non-compliance, compiling a report of your findings ready to present to the relevant stakeholders, and enacting the appropriate regulatory response.

**Practical Brief 85 (OBS-RCO4085) – Failure to Meet Quarterly Returns Data Deadline**

You are a regulatory compliance officer working for the environment agency. You are notified by one of your colleagues that one of the businesses you regulate has failed to submit quarterly returns data by the statutory deadline.

You are tasked with establishing the validity of the claim, compiling a report of your findings ready to present to the relevant stakeholders and enacting the appropriate regulatory response.

**Practical Brief 86 (OBS-RCO4086) – Updates Not Made To Fob System**

You are a regulatory compliance officer working for an IT solution and Service Provider. One of your colleagues has recently transferred roles within the company but has not had their access level updated on the fob system and is unable to access parts of the building required for their job role.

You are tasked with gathering the pertinent information ready to present to the relevant stakeholders and putting the appropriate regulatory response in place.

**Practical Brief 87 (OBS-RCO4087) – Unenforceable Customer Agreements**

You are a regulatory compliance officer working for a financial services company. You are notified by a colleague that one of the recently signed customer agreements is unenforceable.

You are tasked with establishing the extent of the non-compliance, compiling a report of your findings ready to present to the relevant stakeholders, and enacting the appropriate regulatory response.

**Practical Brief 88 (OBS-RCO4088) – Environment Agency: Incorrect Site Exemption Permits**

You are a regulatory compliance officer working for the Environment Agency. Whilst conducting a routine audit, you learn that the site you are visiting does not have the correct site exemption permits in place.

You are tasked with gathering the pertinent information ready to present to the relevant stakeholders and putting the appropriate regulatory response in place.

**Practical Brief 89 (OBS-RCO4089) – Counterfeit E-cigarettes**

You are a regulatory compliance officer working for the council. Your department have received an anonymous tip from a member of the public alleging that counterfeit e-cigarettes are being sold in a popular newsagent in the local area.

You are tasked with establishing the extent of the non-compliance, compiling a report of your findings ready to present to the relevant stakeholders and enacting the appropriate regulatory response.

**Practical Brief 90 (OBS-RCO4090) – Road Closure**

You are a regulatory compliance officer working for a large construction company. You have received complaints from residents and businesses from the local area that no advance warning was given before beginning road works and construction, and that diversions, as a result, are causing huge delays.

You have been tasked with investigating these complaints and liaising with relevant stakeholders with the goal of taking appropriate action where necessary.

**Practical Brief 91 (OBS-RCO4091) – Ancient Woodland**

You are a regulatory compliance officer working for a large construction company. You have received a complaint from the woodland trust that a stockpile of topsoil has been stored a few metres away from the edge of an ancient woodland. Residents and campaigners have reported that no protective fencing had been installed before work to remove the topsoil began.

You are tasked with investigating the reports and informing the relevant stakeholders so that appropriate action can be taken where necessary.

### **Practical Brief 92 (OBS-RCO4092) – Overt CCTV in Covert Operations**

You are a regulatory compliance officer working with the Home Office. It has been brought to your attention that a local police force has been using overt closed-circuit television (CCTV) cameras for covert and pre-planned surveillance operations, without receiving authorisation from the Regulation of Investigatory Powers Act (RIPA).

You have been tasked with looking into these reports and liaising with relevant stakeholders to ensure that appropriate action is taken.

### **Practical Brief 93 (OBS-RCO4093) – Releasing Data**

You are a regulatory compliance officer working for a CCTV hub. You have been made aware of allegations that data has been sent to the police by staff that work in the hub. This data was obtained from public CCTV cameras that are used by the hub and was released without following the appropriate processes.

You have been assigned to judge whether the appropriate processes and procedures were followed, and to liaise with relevant stakeholders.

### **Practical Brief 94 (OBS-RCO4094) – Overnight Roadworks**

You are a regulatory compliance officer working for National Highways. You have discovered that multiple overnight closures on several of the UK's busiest motorways have not provided the public with adequate warning of the works commencing, causing major disruption around some of the country's largest towns and cities.

You have been given the task of understanding why ample warning signage was not put in place and liaising with the necessary stakeholders to explain why.

### **Practical Brief 95 (OBS-RCO4095) – Roadworker Personal Protective Equipment (PPE)**

You are a regulatory compliance officer working for National Highways. You have been informed that roadworkers on motorways have not been wearing full PPE when moving around the site and working with heavy machinery.

You have been tasked with looking into these reports and liaising with relevant stakeholders to ensure that appropriate action is taken.

### **Practical Brief 96 (OBS-RCO4096) – Raised Ironworks**

You are a regulatory compliance officer working for a local council. Work has recently been completed on the installation of cycle lanes throughout the town centre. However, reports have come in that poor road reinstatements have meant that raised ironworks have been causing damage to vehicles driving on the newly surfaced road.

You have been tasked with investigating these complaints and liaising with relevant stakeholders with the goal of taking appropriate action where necessary.

### **Practical Brief 97 (OBS-RCO4097) – Street Works Permit**

You are a regulatory compliance officer working for the Department for Transport. You have been made aware of small, temporary roadworks taking place in a town centre. The residents challenged the works, and it has since been revealed that the undertakers of the works do not have the appropriate permit.

You have been tasked with investigating these complaints and liaising with relevant stakeholders with the goal of taking appropriate action where necessary.

### **Practical Brief 98 (OBS-RCO4098) – GDPR Breach: Health and Social Care Medical Information**

You are a regulatory compliance officer working for a health and social care company. You have been made aware that the medical information of patients within the company's care is being handled inappropriately by staff and medical professionals.

You have been tasked with looking into these reports and liaising with relevant stakeholders to ensure that appropriate action is taken.

### **Practical Brief 99 (OBS-RCO4099) – Care Plans**

You are a regulatory compliance officer working for a health and social care company. The families of patients have complained that the approved care plans for their relatives have not been followed, which is causing distress, both to the patients and their families.

You have been tasked with looking into these complaints and liaising with relevant stakeholders with the goal of taking appropriate action where necessary.

### **Practical Brief 100 (OBS-RCO4100) – Asbestos Removal**

You are a regulatory compliance officer working with the local council. You have been made aware of allegations that a demolition company has been working on buildings containing asbestos and has been removing asbestos from the property without holding the appropriate license to do so.

You have been tasked with looking into these allegations and working with relevant stakeholders to take appropriate action where necessary.

### **Practical Brief 101 (OBS-RCO4101) – Gas Certification**

You are a regulatory compliance officer working for a local council. You have been informed that a local gas company has not been providing suitable gas certification to customers when installing appliances for businesses in the local area, nor have they been carrying out inspections on an annual basis.

You have been tasked with investigating this information and liaising with relevant stakeholders with the goal of taking appropriate action where necessary.

**Practical Brief 102 (OBS-RCO4102) – Data Processing**

You are a regulatory compliance officer working for an automobile company. You have been made aware that customer data is not being appropriately stored, used or deleted by a supplier in line with the signed data processing agreement.

You have been tasked with looking into these reports and liaising with relevant stakeholders to ensure that appropriate action is taken.

**Practical Brief 103 (OBS-RCO4103) – Supplier Key Performance Indicators (KPIs)**

You are a regulatory compliance officer working for a car rental company. You have discovered that a supplier to the business has not been accurately recording, and subsequently reporting, accurate key performance indicators (KPI's), on any of the services that have been outsourced to them by your rental company.

You have been tasked with further investigating what has been found and liaising with relevant stakeholders to ensure that appropriate action is taken.

**Practical Brief 104 (OBS-RCO4104) – Contract Review**

You are a regulatory compliance officer working for a not-for-profit social enterprise in the employment sector. The previous employee failed to perform a full review of, and update, a Participant's Action Plan every 4 weeks, leading to intervention by the Department for Work and Pensions (DWP).

You have been tasked with highlighting any non-compliance found and actioning this accordingly in line with the DWP's expectations and liaising with other stakeholders to ensure that appropriate action is taken.

**Practical Brief 105 (OBS-RCO4105) – Customer Service Standards**

You are a regulatory compliance officer working for a charity in the employment sector. The Department for Work and Pensions (DWP) monitor the performance of the contract with the charity through the customer service standards and have found that it has not been adhered to by the charity.

You have been given the task of working alongside the DWP and other relevant stakeholders to assess areas of non-compliance and complete a performance improvement plan (PIP) with a view to ensuring appropriate action is taken.

**Practical Brief 106 (OBS-RCO4106) – Testing Failure**

You are a regulatory compliance officer working for a construction product regulator. You have undertaken a programme of testing of a construction product in relation to one of the essential characteristics of the product. You receive testing results which indicate that the product performs to a lower performance than the manufacturer has declared on the declaration of performance for the product.

You have been tasked with investigating any non-compliance and liaising with relevant stakeholders to ensure the appropriate action is taken.

**Practical Brief 107 (OBS-RCO4107) – Assessment and Verification of Constancy of Performance (AVCP)**

You are a regulatory compliance officer working for a construction product regulator. It has been brought to your attention that a construction product manufacturer is not manufacturing their product using the correct AVCP system required by the designated standard applicable to the product.

You have been tasked with investigating any non-compliance and liaising with relevant stakeholders to ensure the appropriate action is taken.

**Practical Brief 108 (OBS-RCO4108) – Learner Off-the-Job Training Hours**

You are a regulatory compliance officer working for an audit company. As part of your role, you conduct audits of training providers who teach apprenticeships to enable them to meet Education and Skills Funding Agency (EFSA) funding requirements. It has come to your attention while completing an audit that learners have not completed sufficient off-the-job training hours as part of their course.

You have been tasked with investigating why this is the case, assessing whether any non-compliance has occurred on the part of the training provider and liaising with the relevant stakeholders to ensure that the appropriate action is taken.

**Practical Brief 109 (OBS-RCO4109) – Insufficient Evidence of Reasonable Adjustments**

You are a regulatory compliance officer working for a further education audit company. It is reported that support funding that has been claimed for by training providers to support some of their learners includes insufficient evidence of a plan of support. This has resulted in the claim for reasonable adjustments being questioned, in addition to whether they are necessary.

You have been tasked with looking into these reports to assess whether any non-compliance has taken place and liaising with the relevant stakeholders and authorities to ensure that the appropriate action is taken.



**Practical Brief 110 (OBS-RCO4110) – Incorrect Immigration Permissions**

You are a regulatory compliance officer working for a university. It has been brought to your attention that a student attending the university has entered the UK using e-gates but has not applied for entry clearance as a student visa holder prior to travelling to the UK and, therefore, does not hold the correct immigration permissions.

You have been tasked with investigating these reports and providing support to the student and the university regarding the matter, as well as liaising with the relevant stakeholders so that appropriate action can be taken.

**Practical Brief 111 (OBS-RCO4111) – Withdrawal of Visa Sponsorship**

You are a regulatory compliance officer working with a UK university, providing support to staff and international students. You have been made aware of a student visa holder that has ceased studying for a period exceeding 60 days. The university has failed to make the required report to the Home Office explaining the withdrawal of sponsorship for the student's immigration visa.

You have been tasked with making inquiries into the reports, working with the relevant stakeholders and regulatory bodies to correct any non-compliance and ensuring that appropriate action is taken.

**Practical Brief 112 (OBS-RCO4112) – Breach of S106 Agreement**

You are a regulatory compliance officer working for a local council. It has been brought to your attention that a property developer has breached their S106 agreement imposed by the council by not paying the agreed financial contributions when planning permission was originally approved.

You have been tasked with investigating non-compliance by the developer on behalf of the council and liaising with the relevant stakeholders so that appropriate action can be taken.

**Practical Brief 113 (OBS-RCO4113) – Community Infrastructure Levy (CIL) Non-Payment**

You are a regulatory compliance officer working with a local council. As part of your role, you must investigate the status of development schemes that have commenced without paying CIL. During your investigations, you have found that a developer has failed to pay CIL on time and is continuing to delay the payment to the council.

You have been tasked with working with the relevant stakeholders involved to assess non-compliance and ensure that the appropriate action is taken.

**Practical Brief 114 (OBS-RCO4114) – Obstruction of a Public Right of Way**

You are a regulatory compliance officer working for a local council. You have recently been made aware by tourists and people that live in the local area that a popular walking route via a public right of way has been blocked by construction material that is being used on a nearby site. The materials allow for no access to the path in either direction.

You have been tasked with investigating these reports by working with any relevant stakeholders to assess and correct any non-compliance that is found to ensure that appropriate action is taken.

**Practical Brief 115 (OBS-RCO4115) – Housing Development Over a Public Right of Way**

You are a regulatory compliance officer working for a local council. A planning application has been submitted by a large housing developer that has not taken into consideration the footpaths and public rights of way (PROW) surrounding the local area. The plans would involve closing the PROWs for a sustained period, causing disruption to residents who use them as regular walking routes.

You have been tasked with highlighting any non-compliance to the developer and liaising with the relevant stakeholders in the local area to ensure that the appropriate action is taken.

**Practical Brief 116 (OBS-RCO4116) – Failure to Arrange a Face-to-Face Meeting**

You are a regulatory compliance officer working for a charity that helps to provide job opportunities for young people. As part of the role, referrals to the charity must have a face-to-face meeting with a charity representative within 10 working days of being referred to the charity. It has been brought to your attention that the charity is arranging these meetings as late as 15 working days after referral.

You have been tasked with investigating any non-compliance by the charity and liaising with the relevant stakeholders to ensure that the appropriate action is taken.

**Practical Brief 117 (OBS-RCO4117) – Incomplete Exit Report**

You are a regulatory compliance officer working for a charity that helps provide job opportunities for young people. It has been brought to your attention that an exit report for a young person currently in work has not been completed within the last 10 working days of their time on-programme. As this is a monitored service standard, there is a risk that the contract will be deemed non-compliant by the commissioner.

You have been tasked with investigating why exit reports are not being completed on time and working with the relevant stakeholders to ensure that appropriate action is taken.

**Practical Brief 118 (OBS-RCO4118) – Report of Disrepair**

You are a regulatory compliance officer working for a local council. It has been brought to your attention that a tenant living in the area has reported disrepair within their property, notably a broken boiler, which is subsequently not producing any hot water. They have also stated that the landlord responsible has not taken action to resolve the issue.

You have been tasked with investigating the report and the lack of action from the landlord and liaising with relevant stakeholders so that appropriate action can be taken.

**Practical Brief 119 (OBS-RCO4119) – Unlicensed Property**

You are a regulatory compliance officer working for a local council. You have been made aware of a property that is currently being privately rented in the local area, and that is within the boundaries of a selective licensed area, which has not been licensed by the landlord of the property.

You have been tasked with investigating the landlord and property and working with the relevant stakeholders to ensure that appropriate action is taken.

**Practical Brief 120 (OBS-RCO4120) – Defective Drainage**

You are a regulatory compliance officer working for a local council. It has been brought to your attention that in several areas across the borough, the drainage system alongside major roads and infrastructure is either blocked or defective. This is causing issues with flooding as well as over-saturating the ground surrounding building foundations and other underground infrastructure.

You have been tasked with investigating the cause of the defective drainage and working with the relevant stakeholders to ensure that the appropriate action is taken.

**Practical Brief 121 (OBS-RCO4121) – Rodent Infestation**

You are a regulatory compliance officer working with an environmental health agency. You have been made aware of numerous complaints of vermin infestations at a derelict building close to a school in the local area, triggering an investigation into the accumulation of vermin at the premises.

You have been tasked with looking into these complaints and liaising with the relevant departments and stakeholders to ensure the appropriate action is taken.

### **Practical Brief 122 (OBS-RCO4122) – Internal Audit Non-Compliance**

You are a regulatory compliance officer working for a multi-academy trust operating throughout England. It has been brought to your attention that a school within the trust has been assessed as non-compliant during an internal audit against thematic internal audit frameworks. The responsibility of completing management actions has, therefore, been passed on to your team.

You have been tasked with investigating the areas of non-compliance found within the school and liaising with the relevant stakeholders to ensure that appropriate action is taken.

### **Practical Brief 123 (OBS-RCO4123) – Mandatory Policy Compliance**

You are a regulatory compliance officer working as a policy and assurance support officer for a multi-academy trust in England. You have been made aware of a report suggesting that a school within the trust is currently below the target compliance rate for reading. It is, therefore, necessary they accept the mandatory policies on the policy distribution system.

You have been tasked with working alongside the relevant stakeholders and the school to ensure the target compliance rate is met and that the necessary actions are taken to correct any issues.

### **Practical Brief 124 (OBS-RCO4124) – Underage Sale of Alcohol and Gambling**

You are a regulatory compliance officer working for a pub and restaurant chain. It has been brought to your attention that an establishment within the group of pubs and restaurants you preside over has been selling alcohol to underage patrons, as well as failing to check the age of those using the gambling machines on the premises.

You have been tasked with working with the relevant stakeholders to ensure that the appropriate action is taken to prevent these issues from occurring again.

### **Practical Brief 125 (OBS-RCO4125) – Publican Data Protection**

You are a legal and compliance associate working for a pub company. You have been made aware of the recruitment team not storing the personal data of its applicants in the appropriate manner, as agreed in the terms and conditions of signing up. When investigated further, you realise there is a likely possibility of a data breach should this continue.

You have been tasked with assessing any non-compliance that has occurred and liaising with the relevant stakeholders to ensure the appropriate action is taken.

**Practical Brief 126 (OBS-RCO4126) – Heavy Goods Vehicle (HGV) Missing Fridge Service**

You are a regulatory compliance officer working for the local council's trading standards service. You receive intelligence from the owner of a local retail shop alleging that another retailer is selling what he believes to be illicit or smuggled tobacco products.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

**Practical Brief 127 (OBS-RCO4127) – Trailer Missing F-Gas Inspection**

You are a regulatory compliance officer working for a HGV fleet maintenance company. During a routine inspection of a food logistics company's fleet, you notice that the temperature-controlled trailers are either missing or have out-of-date F-Gas certifications.

You are tasked with assessing why this is the case and working with the relevant stakeholders to ensure the appropriate action is taken.

**Practical Brief 128 (OBS-RCO4128) – Failure to Prove Compliance with the Data Protection Act**

You are a regulatory compliance officer working for a hotel and restaurant chain. During a routine inspection by the Information Commissioner's Office (ICO), it has been brought to your attention that the company is unable to show when and how they have been compliant with the current Data Protection Act, which could lead to fines and penalties for the company.

You have been tasked with investigating any non-compliance and liaising with the relevant stakeholders so that the appropriate action is taken.

**Practical Brief 129 (OBS-RCO4129) – Leaking of Personal Data**

You are a regulatory compliance officer working for a hotel and restaurant chain. You have been made aware of a leak regarding the personal information of guests staying at 1 of the hotels in the chain. There is concern that the leak may potentially lead to a large loss of custom, damaging the chain's reputation and finances.

You have been tasked with assessing where and how the breach has occurred and working with the relevant stakeholders to ensure that the appropriate action is taken.

**Practical Brief 130 (OBS-RCO4130) – Office of Road and Rail (ORR): Licence Breach**

You are a regulatory compliance officer working for a highway maintenance firm in the UK. You have been informed that as a result of an investigation, the Office of Road and Rail (ORR) found your company to be non-compliant and in breach of its licence.

You have been tasked with investigating any non-compliance documented in the investigation report and liaising with the relevant stakeholders and ORR to develop an improvement plan to bring the company back into compliance and ensure the appropriate action is taken.

**Practical Brief 131 (OBS-RCO4131) – Delivery Plan Non-Compliance**

You are a regulatory compliance officer working for a highway maintenance firm in the UK. It has been brought to your attention that the company has been consistently failing to conduct work on the specific dates agreed in the delivery plan. The Department for Transport (DfT) have been in contact regarding new dates.

You have been tasked with assessing how and why the company failed to meet their agreed delivery plan dates and working with the relevant stakeholders to ensure the appropriate action is taken.

**Practical Brief 132 (OBS-RCO4132) – Incorrect Pesticide Storage**

You are a regulatory compliance officer working for a health and safety regulator. Your role involves ensuring the safe storage and usage of pesticides. On a visit to a farm, you discover the owners are storing their professional-grade plant protection products (PPPs) in a non-bunded area, resulting in possible environmental risks through leaks or spillages.

You have been tasked with investigating these findings and liaising with the farm and other relevant stakeholders to ensure appropriate action is taken.

**Practical Brief 133 (OBS-RCO4133) – Unauthorised Plant Protection Products (PPPs)**

You are a regulatory compliance officer working as a pesticide enforcement officer. You have been made aware of a company regularly using PPPs that are no longer authorised. Upon further investigation, the company is also found to be using a boom sprayer for the PPPs that is 7 years old but has not been inspected.

You have been tasked with assessing the findings of the investigation, and working with the relevant stakeholders to ensure the appropriate action is taken.

**Practical Brief 134 (OBS-RCO4134) – Unregistered High-Risk Building (HRB)**

You are a regulatory compliance officer overseeing the registration of high-risk buildings (HRBs). During an inspection, you discover that an occupied building undergoing significant refurbishment has not been registered as an HRB. Further checks reveal that no application was made for work on the building, and the landlord failed to ensure compliance with registration regulations.

You are tasked with investigating the breach and addressing the situation to ensure the appropriate action is taken.

**Practical Brief 135 (OBS-RCO4135) – Prohibited Client on Building Control Application**

You are a regulatory compliance officer responsible for monitoring building control applications. During a routine review, you discover that a client listed as the responsible actor on a recent application has been placed on the Prohibitions List. As such, they are prohibited from making any building control applications. Further investigation reveals that their status had not been monitored at the regular intervals as required.

You are now tasked with assessing the breach and determining if any corrective actions need to be taken to ensure the appropriate action is taken.

**Practical Brief 136 (OBS-RCO4136) – Expired Employers Liability Insurance**

You are a regulatory compliance officer working as a regulator in a Chemicals, Explosives and Microbiological Hazards Division (CEMHD). During a routine site inspection with an inspector, you notice that the Employers Liability Compulsory Insurance (ELCI) certificate for the site has expired. The company is operating without valid insurance, which is a legal requirement.

You have been tasked with investigating the breach and working with the relevant stakeholders to ensure the site is brought back into compliance.

**Practical Brief 137 (OBS-RCO4137) – Outdated Public Information Zone (PIZ) Leaflet**

You are a regulatory compliance officer in a Chemicals, Explosives and Microbiological Hazards Division (CEMHD). While conducting sample checks of a Control of Major Accident Hazards (COMAH) site, you discover that the Public Information Zone (PIZ) leaflet has not been updated within the legally required timeframe. The leaflet now contains outdated information.

You are tasked with investigating the non-compliance and liaising with the relevant stakeholders to ensure the appropriate action is taken.

**Practical Brief 138 (OBS-RCO4138) – Unsafe Scaffolding and Debris**

You are a regulatory compliance officer working as a visiting officer in the Inspection Division. Your principal inspector has passed on a concern raised by an anonymous member of the public, involving unsafe scaffolding and roofers throwing old roof tiles from the scaffolding into an open front garden. The garden is adjacent to a public footpath frequently used by schoolchildren. No photographs are attached, and the builder is unknown.

You have been tasked with investigating any non-compliance by the building company and ensuring the appropriate actions are taken.

**Practical Brief 139 (OBS-RCO4139) – Failure to Meet Annual Returns Data Deadline**

You are a regulatory compliance officer working for the environment agency. You are notified by one of your colleagues that one of the businesses you regulate has failed to submit their annual returns data by the statutory deadline.

You are tasked with establishing the validity of the claim, compiling a report of your findings ready to present to the relevant stakeholders and enacting the appropriate regulatory response.

**Practical Brief 140 (OBS-RCO4140) – Public Right of Way Excluded from Planning Application**

You are a regulatory compliance officer working for a local council. A planning application has been submitted by a large housing developer, which initially failed to include existing public rights of way (PROWs) within the development site on their plans. Following amendments, the developer has now acknowledged the PROWs but intends to build over them, obstructing their legal route.

You have been tasked with assessing the situation, highlighting any non-compliance, and liaising with the developer and relevant stakeholders to ensure that the appropriate legal procedures are followed.

**Practical Brief 141 (OBS-RCO4141) – Unauthorised Lending Activity**

You are a regulatory compliance officer working for a local authority. You have been made aware of an individual providing personal loans without authorisation from the Financial Conduct Authority (FCA). They appear to be operating under the name of a legitimate financial firm but they are issuing credit independently, outside of any regulated permission.

You have been tasked with assessing the situation, identifying any non-compliance, and liaising with the individual and relevant stakeholders to ensure the appropriate legal procedures are followed.



**Practical Brief 142 (OBS-RCO4142) – Resident Engagement Strategy Non-Compliance**

You are a building safety management specialist working for a local council. During a review of 4 high-rise residential buildings (HRRBs), it was found that the required Building Safety Cases, including the Mandatory Occurrence Reporting Policy and Resident Engagement Strategy are either missing or out of date, meaning that the HRRBs are in potential breach of the Building Safety Act.

You have been tasked with assessing the issue, identifying gaps and working with stakeholders to ensure compliant strategies are in place.

**Practical Brief 143 (OBS-RCO4143) – Illegal Gas Works Identified During Installation**

You are a safety standards manager working for a manufacturing company, overseeing compliance across installation services. During a routine inspection, it was found that a kitchen installer had capped off a gas supply without being Gas Safe registered. You have been informed that the work was carried out without proper authorisation, posing a significant risk to health and safety.

You have been tasked with investigating the incident, ensuring the area is made safe and liaising with the Health and Safety Executive (HSE) and certification bodies to prevent recurrence and take appropriate action.

**Practical Brief 144 (OBS-RCO4144) – Unauthorised Alteration to Structural Beam**

You are a safety standards manager at a manufacturing company, responsible for ensuring safe installation practices. A site inspection revealed that an installer had cut into a structural support beam to accommodate kitchen ducting without structural approval or engineer input. This action breaches health and safety regulations and could compromise the building's integrity.

You have been tasked with assessing the risk, halting any unsafe work and co-ordinating with relevant stakeholders to ensure future compliance and remedial action takes place.

**Practical Brief 145 (OBS-RCO4145) – Suspected Asbestos Disturbance During Installation**

You are a safety standards manager at a manufacturing company, overseeing compliance on installation projects. During a recent kitchen refit in a domestic property, installers disturbed suspected asbestos insulation board while removing old units, without conducting a pre-work asbestos survey.

You have been tasked with stopping the work, initiating an investigation and liaising with the Health and Safety Executive (HSE) and other relevant stakeholders to ensure proper containment, reporting and safe removal procedures.

**Practical Brief 146 (OBS-RCO4146) – Investigation into Water Supply**

You are a regulatory compliance officer working in the regulatory services department of a local council. You receive a report from your laboratory that the water supply of two local residents is contaminated with Coliform.

You are tasked with carrying out a formal investigation involving residents, the owners of the property and any relevant external organisations and reporting back to the Drinking Water Inspectorate to ensure the appropriate action is taken.

**Practical Brief 147 (OBS-RCO4147) – Missing Driver Manual Tachograph Entries**

You work in the transport department of a kitchen design and delivery business, ensuring legal compliance across the fleet. During an internal audit, multiple drivers were found to have missing manual entries on their tachograph records for periods of other work and rest, meaning they are potentially in breach of Driver and Vehicle Standards Agency (DVSA) regulations and undermining accurate hours monitoring under the Working Time Directive.

You have been tasked with reviewing the issue, assessing any non-compliance found and working with the relevant stakeholders to ensure the appropriate action is taken.

**Practical Brief 148 (OBS-RCO4148) – Breach of Driver Hours Monitoring Procedures**

You work for the transport department of a kitchen delivery company, overseeing legal compliance for driver hours. You have been made aware of a recent internal review, which found that several drivers exceeded legal driving and working time limits, with no alerts being raised by the current monitoring system. This breaches the Working Time Directive and Driver and Vehicle Standards Agency (DVSA) regulations, risking enforcement action.

You have been tasked with investigating the oversight, identifying system or process failures and implementing corrective measures to ensure future compliance.

**Practical Brief 149 (OBS-RCO4149) – Inaccurate Off-the-Job Hours Recording**

You are a quality assurance administrator at a university, responsible for ensuring apprenticeship delivery meets Department for Education (DfE) funding rules. During a routine audit, it has been identified that several apprentices have off-the-job training hours recorded below the 20% minimum requirement, breaching funding compliance and potentially affecting future funding claims.

You have been tasked with investigating the records, identifying causes and working with the relevant stakeholders to rectify reporting and ensure full compliance.

### **Practical Brief 150 (OBS-RCO4150) – Unrecorded Breaks in Learning**

You are a quality assurance administrator at a university, ensuring apprenticeship records comply with Department for Education (DfE) funding rules. An internal review found that several learners had extended gaps in activity, but no formal breaks in learning were recorded on the individualised learner record or supported with evidence, which may impact audit outcomes.

You have been tasked with identifying any non-compliance, confirming learner status and ensuring the appropriate actions are taken to avoid non-compliance.

### **Practical Brief 151 (OBS-RCO4151) – Expired DBS Certificate Identified During Audit**

You are a compliance officer working for a care company, responsible for monitoring staff compliance across key regulatory areas. During a monthly audit, it was found that a care worker's Disclosure and Barring Service (DBS) certificate had expired and no updated check had been requested. This is a breach of Care Quality Commission (CQC) regulations and internal safeguarding procedures.

You have been tasked with assessing the non-compliance found, ensuring an urgent DBS application is processed and working with the relevant stakeholders to review audit processes to prevent recurrence.

### **Practical Brief 152 (OBS-RCO4152) – Visa Restriction Breach Identified During Audit**

You are a regulatory compliance officer working for a care company, overseeing legal checks on staff eligibility to work. A weekly audit found that a care worker on a 20-hour student visa had exceeded their permitted working hours and key visa documentation was missing from their file, meaning the company risks breaching Home Office regulations and posing a risk of subsequent enforcement action.

You have been tasked with investigating the breach, completing a risk assessment and working with relevant stakeholders to ensure the appropriate action is taken.

### **Practical Brief 153 (OBS-RCO4153) – Aircraft Airworthiness Certification**

You are a regulatory compliance officer working for the Civil Aviation Authority. As part of your responsibilities, you must ensure compliance requirements are met by a recognised major airline that is applying for a Certificate of Airworthiness relating to a newly manufactured aircraft.

You are tasked with assessing their application, supporting the physical inspection of the aircraft, taking appropriate action and reporting your findings to the relevant stakeholders before any certification can be issued.

**Practical Brief 154 (OBS-RCO4154) – Breach of Standard Licence Condition 12 Identified**

You are a compliance analyst for a power grid company, monitoring adherence to Ofgem regulations. A daily compliance report flagged a delayed response to a customer request for terms of connection, exceeding the timeframe set under Standard Licence Condition 12. This constitutes a breach of the requirement to offer timely and accurate terms for system use and connection.

You have been tasked with investigating the cause, notifying relevant stakeholders and ensuring corrective actions are implemented to maintain compliance.

**Practical Brief 155 (OBS-RCO4155) – Failure of Guaranteed Standard of Performance**

You are a compliance analyst for a power grid company, ensuring regulatory compliance in customer connections. A failure investigation report confirms that a customer did not receive their connection quote within the timeframe required under the Electricity (Connection Standards of Performance) Regulations. This breach triggers a compensation entitlement and must be reported in line with Ofgem requirements.

You have been tasked with validating the failure, ensuring payment is processed and liaising with the relevant stakeholders to prevent the situation from recurring.

**Practical Brief 156 (OBS-RCO4156) – Obstructed Emergency Escape Routes**

You are a health and safety officer working for a large furniture manufacturing company, with a nationwide network of retail outlets. You are responsible for ensuring that your contractors and employer are meeting their health and safety requirements under the current Construction (Design and Management) Regulations. You have been made aware that during an audit into some contractors working on a project, the emergency escape routes were blocked by materials.

You have been tasked with investigating the areas of non-compliance and liaising with the relevant stakeholders to ensure appropriate action is taken.

**Practical Brief 157 (OBS-RCO4157) – Insufficient Dust Control**

You are a health and safety officer working for a large furniture manufacturing company, with a nationwide network of retail outlets. You have been made aware that an operating showroom in one of the retail outlets is extremely dusty and that this is having an impact on customers, contractors and staff entering the premises.

You have been tasked with investigating why there is insufficient control of dust in the showroom and liaising with the relevant stakeholders to ensure appropriate action is taken.

### **Practical Brief 158 (OBS-RCO4158) – Overnight Roadworks (Office for Road and Rail Concern)**

You are a regulatory compliance officer working for National Highways. The ORR has raised a concern that you have discovered that multiple overnight closures on several of the UK's busiest motorways have not provided the public with adequate warning of the works commencing, causing major disruption around some of the country's largest towns and cities, and that National Highways is failing its Roadworks Timeliness and Accuracy key performance indicator (KPI).

You have been given the task of understanding why ample warning signage was not put in place, liaising with the necessary stakeholders to explain why and providing a rectification plan to the ORR.

### **Practical Brief 159 (OBS-RCO4159) – Ineligible Funding due to Residency Status**

You are a compliance officer for a metropolitan borough council, supporting the administration and compliance of adult education provision. During a routine audit, you have been informed that a learner who enrolled on a fully funded course does not meet the residency criteria set out in the Department for Education (DfE) funding rules. This makes the learner ineligible for public funding and may impact funding claims.

You have been tasked with confirming the details, notifying the nearest Combined Authority and ensuring procedures are updated to prevent future enrolment errors.

### **Practical brief 160 (OBS-RCO4160) – Breach of Joint Council of Qualifications (JCQ) exam conduct guidelines**

You are a compliance officer for a metropolitan borough council, supporting the compliance of adult education provision. During an internal observation, you have found that an exam was conducted without a qualified invigilator present and with incorrect room setup, breaching JCQ regulations. This compromises the integrity of the assessment process and may invalidate learner results.

You have been tasked with investigating the breach, notifying relevant bodies and ensuring corrective action and staff retraining are promptly completed.

### **Practical brief 161 (OBS-RCO4161) – Statutory review timescale breach identified**

You are a reviews and appeals officer within the housing demand team at a local borough council. While monitoring review outcomes, you have identified a housing register appeal that was not completed within the statutory 56-day period set out in the current Housing Act. This breach risks legal challenge under Section 204 and potential investigation by the Local Government and Social Care Ombudsman (LGSCO).

You have been tasked with investigating the cause of delay, ensuring a decision is issued immediately and reviewing internal processes to improve compliance with statutory deadlines.

**Practical brief 162 (OBS-RCO4162) – Inconsistent application of housing allocation policy**

You are a reviews and appeals officer in the housing demand team at a local borough council. During a banding appeal, you have identified that an applicant with verified severe medical needs was placed in Band 3, despite meeting the criteria for Band 1 under the council's published Housing Allocation Scheme. This inconsistency may amount to maladministration and risks being challenged through statutory appeal or investigation by the Housing Ombudsman.

You have been tasked with reviewing the case, correcting the error and ensuring policy is applied consistently across all assessments.

**Practical Brief 163 (OBS-RCO4163) – Absence of Designated Premises Supervisor (DPS) for alcohol sales**

You are a licensing manager at a hotel/restaurant within a hospitality chain, responsible for ensuring alcohol sales comply with licensing laws. During a routine internal check, it was discovered that the premises was operating without a named DPS in place, in breach of the current Licensing Act. This is a serious offence that could result in enforcement by the local police and potential licence suspension.

You have been tasked with immediately suspending alcohol sales, notifying licensing solicitors and submitting the appropriate variation application to reinstate legal compliance.

**Practical Brief 164 (OBS-RCO4164) – Ineligible Funding due to Residency Status**

You are a compliance officer for a metropolitan borough council, supporting the administration and compliance of adult education provision. During a routine audit, you have been informed that a learner who enrolled on a fully funded course does not meet the residency criteria set out in the Department for Education (DfE) funding rules. This makes the learner ineligible for public funding and may impact funding claims.

You have been tasked with confirming the details, notifying the nearest Combined Authority and ensuring procedures are updated to prevent future enrolment errors.

**Practical Brief 165 (OBS-RCO4165) – Breach of Joint Council of Qualifications (JCQ) Exam Conduct Guidelines**

You are a compliance officer for a metropolitan borough council, supporting the compliance of adult education provision. During an internal observation, you have found that an exam was conducted without a qualified invigilator present and with incorrect room setup, breaching JCQ regulations. This compromises the integrity of the assessment process and may invalidate learner results.

You have been tasked with investigating the breach, notifying relevant bodies and ensuring corrective action and staff retraining are promptly completed.

### **Practical Brief 166 (OBS-RCO4166) – Statutory Review Timescale Breach Identified**

You are a reviews and appeals officer within the housing demand team at a local borough council. While monitoring review outcomes, you have identified a housing register appeal that was not completed within the statutory 56-day period set out in the current Housing Act. This breach risks legal challenge under Section 204 and potential investigation by the Local Government and Social Care Ombudsman (LGSCO).

You have been tasked with investigating the cause of delay, ensuring a decision is issued immediately and reviewing internal processes to improve compliance with statutory deadlines.

### **Practical Brief 167 (OBS-RCO4167) – Inconsistent Application of Housing Allocation Policy**

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You have been tasked with immediately suspending alcohol sales, notifying licensing solicitors and submitting the appropriate variation application to reinstate legal compliance.

### **Practical Brief 169 (OBS-RCO4169) – Incorrect Apprentice Registration**

You are an apprenticeship compliance manager for a passenger transport operator, responsible for overseeing levy usage. A recent audit identified that several apprentices were incorrectly registered on the Digital Apprenticeship Service (DAS) account, with mismatched programme standards and inaccurate start dates. This breaches Department for Education (DfE) funding rules and could result in clawback or data lock errors.

You have been tasked with investigating the discrepancies, correcting learner records and implementing controls to prevent future registration errors across all apprenticeship cohorts.

**Practical Brief 170 (OBS-RCO4170) – Inaccurate Apprenticeship Financial Records**

You are an apprenticeship compliance manager for a passenger transport operator. During a routine review, discrepancies were found between apprenticeship financial records and actual Digital Apprenticeship Service (DAS) drawdowns, with missing evidence for employer contributions and payment schedules. This is a breach of ESFA funding rules and risks audit failure or funding recovery.

You have been tasked with reconciling all financial records, ensuring complete audit trails are in place and strengthening internal processes for future compliance.

**If none of the briefs above are suitable for your apprentice, please contact Highfield as soon as possible.**