

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

Mock Assessment Materials

Observation of Professional Practice

Evaluation			
Ref	Assessment Criteria (Pass)	Achieved	Not achieved
E1	Demonstrate in their practice how they gather and utilise feedback from stakeholders		
Ref	Assessment Criteria (Merit)	Achieved	Not achieved
E2	Demonstrate in their practice how they gather and utilise feedback from stakeholders. Actions to be taken in response to the feedback are identified and explained		
Ref	Assessment Criteria (Distinction)	Achieved	Not achieved
E3	<i>Demonstrate in their practice how they gather and utilise feedback from stakeholders. Implications of feedback are understood and predicted</i>		

Deliver a service			
Ref	Assessment Criteria (Pass)	Achieved	Not achieved
DS1	Demonstrate in their practice that they can plan and deliver compliance support services in line with business expectation		
DS2	Demonstrate in their practice that they can carry out activities in line with their organisation's regulatory outcomes		
DS3*	Demonstrate in their practice that they can work within the organisation's policies and procedures and the law (NB failure to demonstrate compliance will result in a failure of the End-point Assessment)		
Ref	Assessment Criteria (Merit)	Achieved	Not achieved
DS4	Demonstrate in their practice that they can plan and deliver compliance support services in excess of business expectation. This could be delivered ahead of schedule or they can offer a range of compliance solutions.		
DS5	Demonstrate in their practice that they can carry out activities in line with their organisation's regulatory outcomes and identify industry best practice and outline how it can be applied in the situation		
DS3*	Demonstrate in their practice that they can work within the organisation's policies and procedures and the law (NB failure to demonstrate compliance will result in a failure of the End-point Assessment)		
Ref	Assessment Criteria (Distinction)	Achieved	Not achieved
DS6	<i>Demonstrate in their practice that they can plan and deliver compliance support services in excess of business expectation this could include describing the compliance environment and the wider consequences of non-compliance appropriate to the situation.</i>		
DS7	<i>Demonstrate in their practice that they can carry out activities in line with their organisation's regulatory outcomes clearly identify business benefits and improvements to wider consumer or environmental protection</i>		
DS3*	<i>Demonstrate in their practice that they can work within the organisation's policies and procedures and the law (NB failure to demonstrate compliance will result in a failure of the End-point Assessment)</i>		

DS3* - please note, this criterion transcends all 3 grade boundaries. Therefore, if achieved, this will be marked as a pass, merit **and** distinction so the final grade for the observation can be calculated accurately. The criterion itself will only need to be achieved once.

Risk assess			
Ref	Assessment Criteria (Pass)	Achieved	Not achieved
RA5	Demonstrate in their practice that they can assess regulatory risks and use risk assessment		
Ref	Assessment Criteria (Merit)	Achieved	Not achieved
RA6	Demonstrate in their practice that they can assess regulatory risks and use risk assessment. Analyse the risks identified and suggest appropriate actions or mitigation		
Ref	Assessment Criteria (Distinction)	Achieved	Not achieved
RA7	<i>Demonstrate in their practice that they can assess regulatory risks and use risk assessment. Evaluate the risks in a wider context, draw and explain conclusions appropriate to the situation.</i>		

Collect and analyse data			
Ref	Assessment Criteria (Pass)	Achieved	Not achieved
CA1	Demonstrate in their practice that they can gather, analyse, use and share data to inform risk assessment		
Ref	Assessment Criteria (Merit)	Achieved	Not achieved
CA2	Demonstrate in their practice that they can gather, analyse, use and share data to inform risk assessment, and have developed their practice within their own role as a consequence		
Ref	Assessment Criteria (Distinction)	Achieved	Not achieved
CA3	<i>Demonstrate in their practice that they can gather, analyse, use and share data to inform risk assessment, and have developed their data gathering and analysis in a wider context</i>		

Collect and analyse data			
Ref	Assessment Criteria (Pass)	Achieved	Not achieved
PA1	Demonstrate in their practice that they can plan their compliance support activities so as to deliver their responsibilities efficiently		
Ref	Assessment Criteria (Merit)	Achieved	Not achieved
PA2	Demonstrate in their practice that they can plan their compliance support activities so as to deliver their responsibilities efficiently and have developed their practice within their own role as a consequence		
Ref	Assessment Criteria (Distinction)	Achieved	Not achieved
PA3	<i>Demonstrate in their practice that they can plan their compliance support activities so as to deliver their responsibilities efficiently and have developed their transferable skills in a wider context</i>		

Check compliance			
Ref	Assessment Criteria (Pass)	Achieved	Not achieved
CC1	Demonstrate in their practice that they can conduct interventions in a proportionate manner		
CC2	Demonstrate in their practice that they can be responsive to the circumstances encountered		
CC3	Demonstrate in their practice that they can make informed assessments of compliance and risk		
CC4	Demonstrate in their practice that they can follow-up on checks on compliance in an appropriate manner		
Ref	Assessment Criteria (Merit)	Achieved	Not achieved
CC5	Demonstrate in their practice that they can conduct interventions in a proportionate manner and have developed their practice within their own role as a consequence		
CC6	Demonstrate in their practice that they can be responsive to the circumstances encountered and have developed their practice within their own role as a consequence		
CC7	Demonstrate in their practice that they make informed assessments of compliance and risk and have developed their rationale and understanding of the assessment process		
CC8	Demonstrate in their practice that they can follow-up on checks on compliance in an appropriate manner and have developed their rationale and understanding of follow-up checks		
Ref	Assessment Criteria (Distinction)	Achieved	Not achieved
CC9	<i>Demonstrate in their practice that they can conduct interventions in a proportionate manner and give support and advice likely to mitigate future incidents of non-compliance</i>		
CC10	<i>Demonstrate in their practice that they can be responsive to the circumstances encountered and can show an understanding of the wider implications and potential consequences</i>		
CC11	<i>Demonstrate in their practice that they can make informed assessments of compliance and risk and use a broader range of methods to assess the compliance and risks in a wider context</i>		
CC12	<i>Demonstrate in their practice that they can follow-up on checks on compliance in an appropriate manner and have developed the use of a broader range of methods to assess the risks in a wider context</i>		

Support compliance			
Ref	Assessment Criteria (Pass)	Achieved	Not achieved
SC1	Demonstrate in their practice that they can promote the importance of compliance and their organisation's role in supporting compliance		
SC2	Demonstrate in their practice that they can provide information and guidance that is needed by businesses and/or those they regulate		
SC3	Demonstrate in their practice that they can provide the tailored advice that is needed by businesses where appropriate		
Ref	Assessment Criteria (Merit)	Achieved	Not achieved
SC4	Demonstrate in their practice that they can promote the importance of compliance and their organisation's role in supporting compliance and integrate the promotion of the importance of compliance into their practice		
SC5	Demonstrate in their practice that they can provide information and guidance that is needed by businesses and/or those they regulate and have integrated the provision of information and guidance into their own practice		
SC6	Demonstrate in their practice that they can provide the tailored advice that is needed by businesses where appropriate and have developed the specificity, timeliness and appropriateness of the advice		
Ref	Assessment Criteria (Distinction)	Achieved	Not achieved
SC7	<i>Demonstrate in their practice that they can promote the importance of compliance and their organisation's role in supporting compliance and can use a variety of methods to promote the importance of compliance within their own practice</i>		
SC8	<i>Demonstrate in their practice that they can provide information and guidance that is needed by businesses and/or those they regulate and use a broader range of sources and methods including, for example, signposting to other regulators</i>		
SC9	<i>Demonstrate in their practice that they can provide the tailored advice that is needed by businesses where appropriate and communicate the rationale, potential outcomes and consequences of following the advice</i>		

Respond to non-compliance			
Ref	Assessment Criteria (Pass)	Achieved	Not achieved
NC1	Demonstrate in their practice that they can plan and deliver compliance support services in line with business expectation		
NC2	Demonstrate in their practice that they can take appropriate actions to deal with non-compliance using a wide range of interventions		
Ref	Assessment Criteria (Merit)	Achieved	Not achieved
NC3	Demonstrate in their practice that they can plan and deliver compliance support services in line with business expectation and have developed the specificity, timeliness and appropriateness of their communication with businesses that have failed to comply		
NC4*	Demonstrate in their practice that they can plan and deliver take appropriate actions to deal with non-compliance using a wide range of interventions and have developed their practice within their own role as a consequence		
Ref	Assessment Criteria (Distinction)	Achieved	Not achieved
NC5	<i>Demonstrate in their practice that they can plan and deliver compliance support services in line with business expectation and communicate the rationale, potential outcomes and consequences of failing to comply with advice</i>		
NC4*	<i>Demonstrate in their practice that they can plan and deliver take appropriate actions to deal with non-compliance using a wide range of interventions and have developed their practice within their own role as a consequence</i>		

NC4* - please note, this criterion transcends all 3 grade boundaries. Therefore, if achieved, this will be marked as a merit **and** distinction so the final grade for the observation can be calculated accurately. The criterion itself will only need to be achieved once.

Effective decision-making			
Ref	Assessment Criteria (Pass)	Achieved	Not achieved
DM1	Demonstrate in their practice that they can make sound decisions based on effective appraisal of the information available		
Ref	Assessment Criteria (Merit)	Achieved	Not achieved
DM2	Demonstrate in their practice that they can make sound decisions based on effective appraisal of the information available and have developed their practice within their own role as a consequence		
Ref	Assessment Criteria (Distinction)	Achieved	Not achieved
DM3	<i>Demonstrate in their practice that they can make sound decisions based on effective appraisal of the information available compliance and have developed their appreciation of the consequences of their decision making</i>		

IT and digital			
Ref	Assessment Criteria (Pass)	Achieved	Not achieved
IT1	Demonstrate in their practice that they can use IT systems to manage, share and store information in accordance with data protection requirements where appropriate		
IT2	Demonstrate in their practice that they can use digital technologies to communicate with and support partner organisations and regulated entities		
IT3	Demonstrate in their practice that they can use digital competencies to support the regulation of online markets		
Ref	Assessment Criteria (Merit)	Achieved	Not achieved
IT4	Demonstrate in their practice that they can use IT systems to manage, share and store information in accordance with data protection requirements where appropriate and understand the implications of IT for the broader regulatory practice		
IT5	Demonstrate in their practice that they can use digital technologies to communicate with and support partner organisations and regulated entities and have developed their understanding of the merits of different types of communication		
IT6	Demonstrate in their practice that they can use digital competencies to support the regulation of online markets and have developed their understanding of different modes of regulation for on-line markets		
Ref	Assessment Criteria (Distinction)	Achieved	Not achieved
IT7	<i>Demonstrate in their practice that they can use IT systems to manage, share and store information in accordance with data protection requirements where appropriate and can show how their broader regulatory practice can be enhanced by IT</i>		
IT8	<i>Demonstrate in their practice that they can use digital technologies to communicate with and support partner organisations and regulated entities and have developed their ability to use a variety of digital technologies to optimise their communications</i>		
IT9	<i>Demonstrate in their practice that they can use digital competencies to support the regulation of online markets and develop a variety of digital competences to optimally regulate digital markets</i>		

Delivery at pace			
Ref	Assessment Criteria (Pass)	Achieved	Not achieved
DP1	Demonstrate in their practice that they plan and deliver compliance support services in line with business expectation		
Ref	Assessment Criteria (Merit)	Achieved	Not achieved
DP2	Demonstrate in their practice that they plan and deliver compliance support services in line with the requirements of the role and are aware of the need to prioritise tasks and complete within specified timeframes		
Ref	Assessment Criteria (Distinction)	Achieved	Not achieved
DP3	<i>Demonstrate in their practice that they plan and deliver compliance support services in line with business expectation and have developed their ability to optimise their use of time and the prioritisation of tasks</i>		