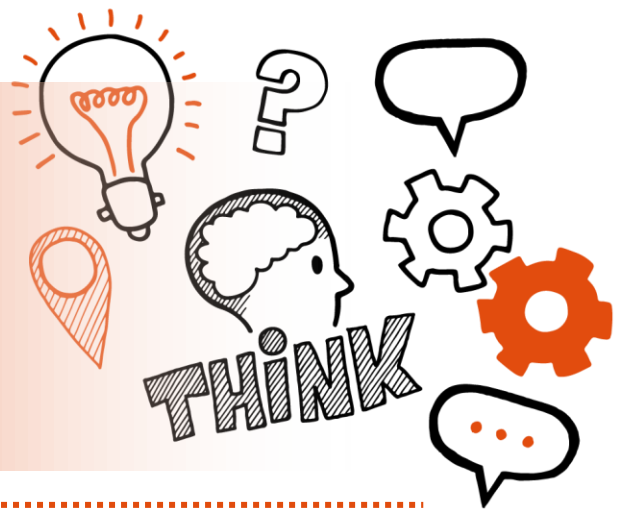


Think about

Observation of professional
practice

Level 4 ST0430 Regulatory
Compliance Officer v1.0



On the day of this assessment you will carry out:



A 120-minute observation



Face-to-face



In a suitable, controlled environment free from
distractions or influence



With an end-point assessor



Key point

You will be required to undertake 6 simulated tasks to demonstrate your abilities in the following:

1. Planning and preparing for a regulatory intervention
2. Carrying out regulatory activities
3. Analysing information gathered
4. Providing initial guidance or feedback
5. Evaluating findings and formal reporting
6. Following up actions and monitoring



Do

- Review the criteria associated with the observation of professional practice - this can be found in the EPA Kit and in the table at the end of this document
- Select an appropriate scenario from those available to you with the support of your employer
- Use the planner to plan how you will demonstrate the skills you have that are associated with the observation of professional practice
- Be prepared to reflect on your on-programme personal development and learning



Don't

- Forget to bring your ID
- Forget to plan
- Forget to relax and enjoy your assessment



Next steps

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



Results

- If you do not achieve a pass result on the observation of professional practice, you can retake the assessment





Use the table below to plan and prepare for the observation of professional practice

(P) indicates pass criteria

(M) indicates merit criteria

(D) indicates distinction criteria

| Assessment criteria | Key points to remember |
|--|------------------------|
| Evaluation | |
| (P) Demonstrate in your practice how you gather and utilise feedback from stakeholders | |
| (M) Demonstrate in your practice how you gather and utilise feedback from stakeholders. Actions to be taken in response to the feedback are identified and explained | |



(D) Demonstrate in your practice how you gather and utilise feedback from stakeholders. Implications of feedback are understood and predicted

Deliver a service

(P) Demonstrate in your practice that you can plan and deliver compliance support services in line with business expectation

(P) Demonstrate in your practice that you can carry out activities in line with your organisation's regulatory outcomes



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| <p>(P) Demonstrate in your practice that you can work within your organisation's policies and procedures and the law (NB failure to demonstrate compliance will result in a failure of the End-point Assessment) – <i>is also marked as merit and distinction if achieved</i></p> | |
| <p>(M) Demonstrate in your practice that you can plan and deliver compliance support services in excess of business expectation. This could be delivered ahead of schedule or you can offer a range of compliance solutions</p> | |
| <p>(M) Demonstrate in your practice that you can carry out activities in line with your organisation's regulatory outcomes and identify industry best practice and outline how it can be applied in the situation</p> | |



(D) Demonstrate in your practice that you 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

(D) Demonstrate in your practice that you can carry out activities in line with your organisation's regulatory outcomes clearly identify business benefits and improvements to wider consumer or environmental protection

Risk assess

(P) Demonstrate in your practice that you can assess regulatory risks and use risk assessment



(M) Demonstrate in your practice that you can assess regulatory risks and use risk assessment. Analyse the risks identified and suggest appropriate actions or mitigation

(D) Demonstrate in your practice that you can assess regulatory risks and use risk assessment. Evaluate the risks in a wider context, draw and explain conclusions appropriate to the situation

Collect and analyse data

(P) Demonstrate in your practice that you can gather, analyse, use and share data to inform risk assessment



(M) Demonstrate in your practice that you can gather, analyse, use and share data to inform risk assessment, and have developed your practice within your own role as a consequence

(D) Demonstrate in your practice that you can gather, analyse, use and share data to inform risk assessment, and have developed your data gathering and analysis in a wider context

Plan their activities

(P) Demonstrate in your practice that you can plan your compliance support activities so as to deliver your responsibilities efficiently



(M) Demonstrate in your practice that you can plan your compliance support activities so as to deliver your responsibilities efficiently and have developed your practice within your own role as a consequence

(D) Demonstrate in your practice that you can plan your compliance support activities so as to deliver your responsibilities efficiently and have developed your transferable skills in a wider context

Check compliance

(P) Demonstrate in your practice that you can conduct interventions in a proportionate manner



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| <p>(P) Demonstrate in your practice that you can be responsive to the circumstances encountered</p> | |
| <p>(P) Demonstrate in your practice that you can make informed assessments of compliance and risk</p> | |
| <p>(P) Demonstrate in your practice that you can follow-up on checks on compliance in an appropriate manner</p> | |



(M) Demonstrate in your practice that you can conduct interventions in a proportionate manner and have developed your practice within your own role as a consequence

(M) Demonstrate in your practice that you can be responsive to the circumstances encountered and have developed your practice within your own role as a consequence

(M) Demonstrate in your practice that you make informed assessments of compliance and risk and have developed your rationale and understanding of the assessment process



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| <p>(M) Demonstrate in your practice that you can follow-up on checks on compliance in an appropriate manner and have developed your rationale and understanding of follow-up checks</p> | |
| <p>(D) Demonstrate in your practice that you can conduct interventions in a proportionate manner and give support and advice likely to mitigate future incidents of non-compliance</p> | |
| <p>(D) Demonstrate in your practice that you can be responsive to the circumstances encountered and can show an understanding of the wider implications and potential consequences</p> | |



(D) Demonstrate in your practice that you 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

(D) Demonstrate in your practice that you 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

Support compliance

(P) Demonstrate in your practice that you can promote the importance of compliance and your organisation's role in supporting compliance



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| <p>(P) Demonstrate in your practice that you can provide information and guidance that is needed by businesses and/or those you regulate</p> | |
| <p>(P) Demonstrate in your practice that you can provide the tailored advice that is needed by businesses where appropriate</p> | |
| <p>(M) Demonstrate in your practice that you can promote the importance of compliance and your organisation's role in supporting compliance and integrate the promotion of the importance of compliance into your practice</p> | |



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| <p>(M) Demonstrate in your practice that you can provide information and guidance that is needed by businesses and/or those you regulate and have integrated the provision of information and guidance into your own practice</p> | |
| <p>(M) Demonstrate in your practice that you can provide the tailored advice that is needed by businesses where appropriate and have developed the specificity, timeliness and appropriateness of the advice</p> | |
| <p>(D) Demonstrate in your practice that you can promote the importance of compliance and your organisation's role in supporting compliance and can use a variety of methods to promote the importance of compliance within your own practice</p> | |



(D) Demonstrate in your practice that you can provide information and guidance that is needed by businesses and/or those you regulate and use a broader range of sources and methods including, for example, signposting to other regulators

(D) Demonstrate in your practice that you can provide the tailored advice that is needed by businesses where appropriate and communicate the rationale, potential outcomes and consequences of following the advice

Respond to non-compliance

(P) Demonstrate in your practice that you can plan and deliver compliance support services in line with business expectation



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| <p>(P) Demonstrate in your practice that you can take appropriate actions to deal with non-compliance using a wide range of interventions</p> | |
| <p>(M) Demonstrate in your practice that you 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</p> | |
| <p>(M) Demonstrate in your practice that you can plan and deliver take appropriate actions to deal with non-compliance using a wide range of interventions and have developed your practice within your own role as a consequence – <i>is also marked as a distinction if achieved</i></p> | |



(D) Demonstrate in your practice that you 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

Effective decision making

(P) Demonstrate in your practice that you can make sound decisions based on effective appraisal of the information available

(M) Demonstrate in your practice that you can make sound decisions based on effective appraisal of the information available and have developed your practice within your own role as a consequence



(D) Demonstrate in your practice that you can make sound decisions based on effective appraisal of the information available compliance and have developed your appreciation of the consequences of your decision making

IT and digital

(P) Demonstrate in your practice that you can use IT systems to manage, share and store information in accordance with data protection requirements where appropriate

(P) Demonstrate in your practice that you can use digital technologies to communicate with and support partner organisations and regulated entities



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| <p>(P) Demonstrate in your practice that you can use digital competencies to support the regulation of online markets</p> | |
| <p>(M) Demonstrate in your practice that you 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</p> | |
| <p>(M) Demonstrate in your practice that you can use digital technologies to communicate with and support partner organisations and regulated entities and have developed your understanding of the merits of different types of communication</p> | |



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| <p>(M) Demonstrate in your practice that you can use digital competencies to support the regulation of online markets and have developed your understanding of different modes of regulation for on-line markets</p> | |
| <p>(D) Demonstrate in your practice that you can use IT systems to manage, share and store information in accordance with data protection requirements where appropriate and can show how your broader regulatory practice can be enhanced by IT</p> | |
| <p>(D) Demonstrate in your practice that you can use digital technologies to communicate with and support partner organisations and regulated entities and have developed your ability to use a variety of digital technologies to optimise your communications</p> | |



(D) Demonstrate in your practice that you can use digital competencies to support the regulation of online markets and develop a variety of digital competences to optimally regulate digital markets

Delivery at pace

(P) Demonstrate in your practice that you plan and deliver compliance support services in line with business expectation

(M) Demonstrate in your practice that you 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



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| <p>(D) Demonstrate in your practice that you plan and deliver compliance support services in line with business expectation and have developed your ability to optimise your use of time and the prioritisation of tasks</p> | |
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