

Paper Code: M-EPA-RCO4001

Level
4

Regulatory Compliance Officer EPA Mock Knowledge Exam

Information for registered centres

The seal on this examination paper must only be broken by the candidate at the time of the examination. Under no circumstances should a candidate use an unsealed examination paper.

Information for candidates

Under no circumstances should you, the candidate, use an unsealed examination paper.

This examination consists of **40 multiple-choice**, and **10 short-answer** questions.

The exam is worth **60 marks**, with a Pass being **36 marks**, Merit **42 marks**, and Distinction **48 marks**.

The duration of this examination is **90 minutes**.

You are **NOT** allowed any assistance to complete the answers.

You must use a pencil to complete the answer sheet - pens must **NOT** be used.

When completed, please leave the **examination answer sheet (EAS)** on the desk.

EXAMINATION ANSWER SHEET (EAS) INSTRUCTIONS:

For each question, fill in **ONE** answer **ONLY**.

If you make a mistake, ensure you erase it thoroughly.

You must mark your choice of answer by shading in **ONE** answer circle only.

Please mark each choice like this:

01 A B C D **ANSWER COMPLETED CORRECTLY**

Examples of how NOT to mark your examination answer sheet (EAS). These will not be recorded.

01 A B C D **DO NOT** partially shade the answer circle
ANSWER COMPLETED INCORRECTLY

01 A B C D **DO NOT** use ticks or crosses
ANSWER COMPLETED INCORRECTLY

01 A B C D **DO NOT** use circles
ANSWER COMPLETED INCORRECTLY

01 A B C D **DO NOT** shade over more than one answer circle
ANSWER COMPLETED INCORRECTLY

EXAMINATION ANSWER BOOKLET INSTRUCTIONS

Please carefully read the examination questions and clearly write your answers in the Examination Answer Booklet provided.

All candidates **MUST** sign the Examination Answer Sheet (EAS) in the bottom right-hand corner of the page before leaving the examination room.

1

A proposed new law is called a:

- A. bill
- B. white paper
- C. green paper
- D. statement of policy

2

Regulators can increase consistency, compliance confidence and free up regulatory resources by:

- A. increasing the number of prosecutions
- B. increasing the number of compliance checks
- C. providing business operators with assured advice and guidance
- D. treating all business operators the same

3

Within a community, what is the **most** effective means of safeguarding vulnerable residents from becoming victims of crime?

- A. Ensuring that they stay inside at all times
- B. Getting all regulatory bodies to work alongside community groups in a coordinated way
- C. Encouraging the community to fight back using the best local knowledge they have available
- D. Making it clear that it is the responsibility of social workers to do their job effectively

4

In terms of likelihood and hazard, the risk of an explosion aboard an oil rig is classed as:

- A. high likelihood, high hazard
- B. high likelihood, low hazard
- C. low likelihood, high hazard
- D. low likelihood, low hazard

5

Within the criminal justice system of England and Wales, a summary only offence is one that:

- A. may be tried in either the Magistrates' Court or the Crown Court
- B. can be tried only in the High Court (Queen's Bench Division)
- C. can be tried only in the Magistrates' Court
- D. can be tried only in the Crown Court

6

Regulatory activities should be carried out in a way that is accountable. Which of the following is an example of accountable regulation?

- A. Taking a different approach with different businesses
- B. Ignoring low-risk activities to allow resources to be directed at the higher risks
- C. Regulator's having clear policies and reporting mechanisms against which they can be judged
- D. Businesses understanding what is expected of them

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Which of these statements **best** describes why customers have certain rights when dealing with a business?

- A. Customers are potentially vulnerable to exploitation
- B. Businesses would exploit customers if they could get away with it
- C. Customers need to have rights in case they change their mind
- D. Customers are very robust and rarely open to exploitation

8

Which of the following is true of regulation?

- A. It is always enforced by centrally by the state
- B. It allows as well as prevents
- C. It is not used to control behaviour
- D. It does not have desired outcomes

9

Which of the following is **not** a common criteria used to assess the likelihood of compliance of a business?

- A. Current level of compliance
- B. Confidence in management
- C. Compliance history
- D. Business size

10

The sales team of an insurance company are misleading their customers about rights to a cooling off period. As the compliance officer for the business, what is the **primary** action you would take?

- A. Advise them to be a bit more careful about how they convey this information
- B. Suggest that they re-take the training that covered this point
- C. Control the situation by insisting that cooling off periods are always communicated clearly
- D. Warn them about the possible implications if the regulator finds out

11

Employers can be held vicariously liable for the criminal acts of its employees. Which of the following statements **best** describes a situation where this can occur?

- A. The employee downloads child pornography on a work computer
- B. The employee steals money from a visitor to the office
- C. The employee distributes recruitment material that discriminates against female applicants
- D. The employee chants racial abuse at a football match

12

In order to achieve compliance, business operators **must** be:

- A. highly educated
- B. motivated to comply
- C. profit making
- D. regularly inspected

13

In relation to regulatory compliance, which statement **best** describes the principle of proportionality?

- A. A way to control regulators who prosecute too often
- B. A means by which business can fight back against too much 'red tape'
- C. It ensures regulators can still prosecute for even minor breaches of the law
- D. A balanced assessment of how best to effectively reduce regulatory risks

14

Which of the following is **not** a power given to a regulator?

- A. The power to inspect premises
- B. The power to purchase goods and services
- C. The power to take photographs
- D. The power to summons a witness to attend court

15

Which of the following is **not** an example of compliance support?

- A. Information
- B. A fine
- C. Advice
- D. Guidance

16

Something with the potential to cause harm is known as:

- A. a risk
- B. a hazard
- C. an accident
- D. a control measure

17

UK law dictates that we all drive on the left-hand side of the road. Which statement best supports the reason we have this law?

- A. This is an example of red tape that should be abolished
- B. This is an example where strict adherence to the law is absolute
- C. This is an example of where greater flexibility is required in how this law is enforced
- D. This is an example of how to reduce the number of vehicles on the road

18

It is important to know whether an offence requires 'Mens Rea' in order to:

- A. provide evidence that the offender had a guilty mind
- B. know whether a breach of the laws has occurred
- C. allow for damages to be awarded in the County Court
- D. ensure there can be no appeal to the High Court

19

Which of these factors is a **positive** reason why a businesses comply with regulations?

- A. To gain a marketing advantage
- B. To lower costs
- C. To decrease their staff wage bill
- D. To force competitors out of business

20

A company employs drivers to deliver goods to residents. In which of these situations can the company be liable for an offence committed by an employee?

- A. The employee stealing goods that they should deliver
- B. The employee driving a company van without insurance
- C. The employee assaulting a civilian driver who crashes into him
- D. The employee failing to secure goods in an agreed safe location

21

A benefit of the primary authority scheme is that:

- A. businesses are more likely to be prosecuted
- B. regulators target all risk areas
- C. the cost is born by the regulator
- D. businesses can be more confident they are compliant

22

Which of the following is a possible reason why a business may unintentionally fail to comply?

- A. the regulatory requirements are complex
- B. the business does not 'buy in' to being regulated
- C. the severity of possible sanction is low
- D. the business has analysed the cost of compliance against the possible cost of non-compliance and opted not to comply

23

Risk assessment is **most** important to regulatory compliance officers because:

- A. it is a fee-earning opportunity
- B. it can help them target their resources effectively
- C. it is a way to check whether a crime has been committed
- D. it is a way of understanding what is important to their customers

24

Which of the following is a principle that regulators are legally obliged to have regard to when performing their role?

- A. Being unpredictable
- B. Being random
- C. Being consistent
- D. Having empathy

25

Which of the following is a right that all customers have?

- A. The right to a written apology
- B. The right to free delivery of goods
- C. The right to a refund for faulty goods
- D. The right to return unwanted goods

26

The principle of enforcement consistency means that:

- A. all businesses should be treated in exactly the same way
- B. a particular activity should always be inspected by the same inspector
- C. similar circumstances should be treated in similar ways
- D. only certain activities should be inspected

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Regulatory activities should be targeted only at cases in which action is required. This means:

- A. taking action that is appropriate to the circumstances
- B. taking similar approaches in similar circumstances
- C. businesses understanding what is expected of them
- D. focusing on the activities that present the highest risks

28

Consultation documents produced by the Government on legislative proposals are known as:

- A. green papers
- B. acts of parliament
- C. regulations
- D. white papers

29

According to the law, regulatory activities should be carried out in a way which is:

- A. proportionate
- B. covert
- C. random
- D. inconsistent

30

Which statement **best** describes the purpose of the Health and Safety at Work etc. Act 1974?

- A. It provides details of all safety and security incidents that have occurred in a workplace
- B. It sets out requirements for all products to be safe in their normal or reasonably foreseeable usage
- C. It controls air pollution from offices, factories and domestic fires
- D. It ensures that no accidents will occur while at work

31

The 5 principles of effective regulatory delivery are:

- A. people, competency, performance, knowledge and risk
- B. proportionality, accountability, consistency, targeting and transparency
- C. accept, transfer, mitigate, control and review
- D. plan, investigate, analyse, evaluate and report

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Which of the following statements **best** describes why regulatory compliance officers assess risks?

- A. To prevent all accidents and instances of non-compliance occurring
- B. To assess whether value for money is being achieved
- C. To reduce the likelihood of non-compliance occurring
- D. To determine who is at fault

33

There are legal consequences associated with being a director of a company. Which of these statements **best** describes this?

- A. Company directors automatically become a member of the local chamber of commerce
- B. Company directors can be held criminally liable if they consent, connive or act negligently
- C. Company directors can be sued even if they took all reasonable precautions
- D. Company directors must pay money into a bond in case the company goes into liquidation

34

Good businesses seek to respect the rights of their customers. The **most** appropriate way to demonstrate this is to:

- A. require all complaints to be put in writing
- B. provide a link to the Small Claims Court application form
- C. refer all complainants to their nearest Citizens Advice Service
- D. make their complaints procedure easily accessible

35

Business ownership can take many forms including sole trader, partnership or limited liability company. Which statement **best** describes why regulatory compliance officers need to know about this?

- A. To investigate which legal entity committed a breach of contract or an offence
- B. To understand who is profiting from the business
- C. To know whether it is worth suing the company or not
- D. To understand the business' hierarchy and pay structure

36

A very reputable company is found to be non-compliant in one area of a newly changed law. Which of these statements is the **most** likely reason why this would occur?

- A. The company believes they can get away with it due to their previous reputation
- B. The company sees the extra profit as outweighing the likely fines
- C. The company was not aware of the detail of the new law
- D. The company does not need to retain its reputation and existing customers

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What needs to follow when an unacceptable level of risk has been identified?

- A. A re-evaluation of the risk assessment criteria
- B. A control or intervention to reduce that risk
- C. Time to reflect and evaluate
- D. A report to the meeting of the directors before the year end

38

Which of the following statements is true of regulation?

- A. Regulation does not protect workers
- B. Compliance is usually optional
- C. Regulation is detrimental to the environment
- D. Regulation supports businesses to grow

39

A local independent business asks for your help about how to communicate food allergen information to its customers. What would you call the support you provide?

- A. Signposting
- B. Information
- C. Guidance
- D. Referral

40

Which statement **best** describes the purpose of The Equality Act 2010?

- A. It sets out the different ways in which it is unlawful to treat someone
- B. It provides guidelines regarding socio-economic inequalities
- C. It sets out fundamental human rights and freedoms that everyone in the UK is entitled to
- D. It governs animal rights including their welfare and a ban on animal cruelty

Short Answer Questions

41

Describe what is meant by the term 'competency'.

(2 marks)

42

Identify 2 possible steps that a regulatory inspector may be required to take to access a premises.

(2 marks)

43

Identify 2 reasons for carrying out checks on regulatory compliance.

(2 marks)

44

Identify 2 reasons why alternative approaches such as advice and education, rather than inspections, can be a more efficient means of attaining compliance.

(2 marks)

45

Identify 2 reasons why is it important for regulators to have a clear understanding of the roles and responsibilities of partner organisations.

(2 marks)

46

In the context of risk-based approaches to regulatory delivery, explain the meaning of the terms 'risk' and 'hazard'.

(2 marks)

47

Outline 2 areas of which inspectors must have a clear understanding to effectively contribute towards their organisation's regulatory objectives.

(2 marks)

48

Outline 2 examples of why it is important for inspectors to make notes during a compliance check or investigation.

(2 marks)

49

There are several ways in which regulatory compliance can be checked. Identify 2 examples.

(2 marks)

50

Visits are often made to check for compliance. Give one example of a circumstance when it would be appropriate to make an **announced** visit and another example of a circumstance when it would be appropriate to make an **unannounced** visit.

(2 marks)









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