

Regulatory Compliance Officer EPA Mock Knowledge Exam Mark Scheme (M-EPA-RCO4001)

Answers for the multiple-choice questions (Q1-Q40) on the Regulatory Compliance Officer mock exam (M-EPA-RCO4001) are:

Question	Correct answer
1	A
2	C
3	B
4	C
5	C
6	C
7	A
8	B
9	D
10	C
11	C
12	B
13	D
14	D
15	B
16	B
17	B
18	A
19	A
20	B

Question	Correct answer
21	D
22	A
23	B
24	C
25	C
26	C
27	D
28	A
29	A
30	B
31	B
32	C
33	B
34	D
35	A
36	C
37	B
38	D
39	C
40	A

Answers for the multiple-choice questions (Q41-Q50) on the Regulatory Compliance Officer mock exam (M-EPA-RCO4001) are:

Question Number:	Question:	Marking guidance, answers include:
41	Describe what is meant by the term 'competency'. (2 marks)	2 marks awarded for accurate description of competency. (1 mark for a partially correct or incomplete answer) The term 'competency' is used to encompass a range of knowledge and skills which can be acquired in a variety of ways. This might be through attending recognised training courses or achieving qualifications but might equally be through 'on-the-job' learning and development.
42	Identify 2 possible steps that a regulatory inspector may be required to take to access a premises. (2 marks)	1 mark awarded for each valid point made (max 2) Obtain a warrant. Produce evidence of their authorisation (warrant/ID card). Give advance notice of their intention to gain entry. Arrive at a reasonable time.
43	Identify 2 reasons for carrying out checks on regulatory compliance. (2 marks)	1 mark awarded for each valid reason made (max 2) To ensure/secure compliance with the law. To ensure risks are properly controlled. To ensure individuals/corporations/consumers/workers/animals/the environment/the economy are protected.
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)	1 mark awarded for each valid reason made (max 2) Better use of scarce resources. Allow resources to be directed at higher risk activities. Encourages sustained compliance. Most operators want to comply but either don't know how or have misunderstood requirements. Operators are motivated in different ways.

<p>45</p>	<p>Identify 2 reasons why is it important for regulators to have a clear understanding of the roles and responsibilities of partner organisations. (2 marks)</p>	<p>1 mark awarded for each valid reason made (max 2)</p> <p>Partner organisations are important because they can assist inspectorates in achieving their objectives. Sometimes, partner organisations offer the only effective means of achieving the desired objectives.</p> <p>Inspectors need to understand, in general, the importance of partner organisations. They also need to know which partner organisations are key partners for the inspectorate they work for.</p> <p>They need to understand the roles and responsibilities of these key partners and how these relate to the inspectorate’s role and responsibilities. This will help them to understand how to work effectively with these key partners.</p>
<p>46</p>	<p>In the context of risk-based approaches to regulatory delivery, explain the meaning of the terms ‘risk’ and ‘hazard’. (2 marks)</p>	<p>1 mark for accurately defining risk</p> <p>1 mark for accurately defining hazard</p> <p>Risk: the chance or possibility of danger, loss, injury or other adverse consequence or to accept such a chance.</p> <p>Hazard: is anything with the potential to cause harm. This is a wide definition that includes objects, substances, conditions, processes, premises and activities. The level of a hazard will be determined by the nature of the harm it can cause (in terms of its severity) and the extent of that harm (e.g. in terms of the number of people that could be affected).</p>
<p>47</p>	<p>Outline 2 areas of which inspectors must have a clear understanding to effectively contribute towards their organisation’s regulatory objectives. (2 marks)</p>	<p>1 mark awarded for each valid point made (max 2)</p> <p>Understanding of the role and purpose of their organisation – including powers and responsibilities.</p> <p>Understanding of their organisation’s current priorities and how their own work contributes to this.</p> <p>Understanding what businesses have to comply with.</p> <p>Understanding how businesses can comply.</p>

<p>48</p>	<p>Outline 2 examples of why it is important for inspectors to make notes during a compliance check or investigation. (2 marks)</p>	<p>1 mark awarded for each valid example provided (max 2) To ensure best practice when gathering evidence. To ensure accuracy. The value of contemporaneous notes is greatly enhanced evidentially if they are taken in a certain way (PACE). To ensure continuity of evidence. To allow past recollections to be revised.</p>
<p>49</p>	<p>There are several ways in which regulatory compliance can be checked. Identify 2 examples. (2 marks)</p>	<p>1 mark awarded for each valid example provided (max 2) Inspections. Requiring operators to provide certain information to the regulator. Reactive investigations into complaints and or accidents.</p>
<p>50</p>	<p>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)</p>	<p>1 mark awarded for a valid example of when to make an announced visit. 1 mark awarded for a valid example of when to make an unannounced visit. Announced - Announced inspections are the best option for the assessment, the organisation, and for its preconditions for good care. Evidence shows that an unannounced inspection leads to a reduction of the regulatory burden. Unannounced - in an emergency, where there is a serious risk of harm to public or animal health or where providing notice obstructs the purpose of the inspection/visit). If following notice, the owner or occupier of premises refuses to grant entry, or it is suspected that consent will be refused then a warrant should be obtained to gain entry. Where it can be shown that doing so would defeat the purpose of a visit/inspection and undermine enforcement.</p>