

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

Mock Assessment Materials

Viva (Interview and Professional Discussion)

Regulation			
Ref	Assessment Criteria (Pass)	Achieved	Not achieved
R7	Can explain the role of regulation as a tool of Government		
R8	Can describe the legal frameworks and powers relevant to their role		
R9	Can explain the law and where it applies to businesses' customers		
R10	Can describe the legislation relevant to their regulatory function(s)		
R11	Can explain the role and responsibilities of partner organisations and their interrelationships		
R12	Can explain the architecture of regulatory frameworks and their role within it		
Ref	Assessment Criteria (Merit)	Achieved	Not achieved
R13	Can explain the role of regulation as a tool of Government and illustrate with relevant examples		
R14	Can describe the legal frameworks and powers relevant to their role and illustrate with relevant examples		
R15	Can explain the law and where it applies to businesses' customers and illustrate with relevant examples		
R16	Can describe the legislation relevant to their regulatory function(s) and illustrate with relevant examples		
R17	Can explain the role and responsibilities of partner organisations and their interrelationships and illustrate with relevant examples		
R18	Can explain the architecture of regulatory frameworks and their role within it and illustrate with relevant examples		

Ref	Assessment Criteria (Distinction)	Achieved	Not achieved
R19	<i>Can explain the role of regulation as a tool of Government and apply to the broader regulatory environment</i>		
R20	<i>Can describe the legal frameworks and powers relevant to their role and apply to the broader regulatory environment</i>		
R21	<i>Can explain the law and where it applies to businesses' customers and apply to the broader regulatory environment</i>		
R22	<i>Can describe the legislation relevant to their regulatory function(s) and apply to the broader regulatory environment</i>		
R23	<i>Can explain the role and responsibilities of partner organisations and their interrelationships and apply to the broader regulatory environment</i>		
R24	<i>Can explain the architecture of regulatory frameworks and their role within it and apply to the broader regulatory environment</i>		

Risk assessment			
Ref	Assessment Criteria (Pass)	Achieved	Not achieved
RA2	Can explain how to use risk assessment to support compliance		
Ref	Assessment Criteria (Merit)	Achieved	Not achieved
RA3	Can explain how to use risk assessment to support compliance and illustrate with relevant examples		
Ref	Assessment Criteria (Distinction)	Achieved	Not achieved
RA4	<i>Can explain how to use risk assessment to support compliance and apply to the broader regulatory environment</i>		

Business stakeholders and their compliance needs			
Ref	Assessment Criteria (Pass)	Achieved	Not achieved
BS5	Can describe the business environment they interact with		
BS6	Can describe how regulation and the way it is enforced can impact on the businesses regulated		
BS7	Can describe the factors that affect business approaches to compliance		
BS8	Can demonstrate understanding of the need to provide compliance support to businesses they work with		
Ref	Assessment Criteria (Merit)	Achieved	Not achieved
BS9	Can describe the business environment they interact with and illustrate with relevant examples		
BS10	Can describe how regulation and the way it is enforced can impact on the businesses regulated and illustrate with relevant examples		
BS11	Can describe the factors that affect business approaches to compliance and illustrate with relevant examples		
BS12	Can demonstrate understanding of the need to provide compliance support to businesses they work with and illustrate with relevant examples		
Ref	Assessment Criteria (Distinction)	Achieved	Not achieved
BS13	<i>Can describe the business environment they interact with and apply to the broader regulatory environment</i>		
BS14	<i>Can describe how regulation and the way it is enforced can impact on the businesses regulated and apply to the broader regulatory environment</i>		
BS15	<i>Can describe the factors that affect business approaches to compliance and apply to the broader regulatory environment</i>		
BS16	<i>Can demonstrate understanding of the need to provide compliance support to businesses they work with and apply to the broader regulatory environment</i>		

Understand businesses they work with			
Ref	Assessment Criteria (Pass)	Achieved	Not achieved
UB1	Can demonstrate how they would engage constructively with business and tailor their approach to businesses that they interact with		
UB2	Can demonstrate how they would take account of the provisions of statutory codes in order to engage effectively with businesses		
Ref	Assessment Criteria (Merit)	Achieved	Not achieved
UB3	Can demonstrate with relevant examples how they would engage constructively with business and tailor their approach to businesses that they interact with		
UB4	Can demonstrate with relevant examples how they would take account of the provisions of statutory codes in order to engage effectively with businesses		
Ref	Assessment Criteria (Distinction)	Achieved	Not achieved
UB5	<i>Can demonstrate how they would engage constructively with business and tailor their approach to businesses that they interact with and show how they would apply this skill in other regulatory environments</i>		
UB6	<i>Can demonstrate how they would take account of the provisions of statutory codes in order to engage effectively with businesses, and show how they would apply this skill in other regulatory environments</i>		

Plan their activities			
Ref	Assessment Criteria (Pass)	Achieved	Not achieved
PA4	Can demonstrate how they would work as part of a team building and maintaining good working relationships with both business and regulator stakeholders		
Ref	Assessment Criteria (Merit)	Achieved	Not achieved
PA5	Can demonstrate with relevant examples how they would work as part of a team building and maintaining good working relationships with both business and regulator stakeholders		
Ref	Assessment Criteria (Distinction)	Achieved	Not achieved
PA6	<i>Can demonstrate how they would work as part of a team building and maintaining good working relationships with both business and regulator stakeholders, and show how they would apply this skill in other environments</i>		

Choose appropriate interventions			
Ref	Assessment Criteria (Pass)	Achieved	Not achieved
A11	Can demonstrate how they would make appropriate intervention choices to have the greatest impact on supporting compliance		
A12	Can demonstrate how they would take a proportionate approach to intervention choice		
A13	Can demonstrate how they would work effectively with other organisations		
Ref	Assessment Criteria (Merit)	Achieved	Not achieved
A14	Can demonstrate with relevant examples how they would make appropriate intervention choices to have the greatest impact on supporting compliance		
A15	Can demonstrate with relevant examples how they would take a proportionate approach to intervention choice		
A16	Can demonstrate with relevant examples how they would work effectively with other organisations		
Ref	Assessment Criteria (Distinction)	Achieved	Not achieved
A17	<i>Can demonstrate how they would make appropriate intervention choices to have the greatest impact on supporting compliance, and show how they would apply this skill in other regulatory environments</i>		
A18	<i>Can demonstrate how they would take a proportionate approach to intervention choice, and show how they would apply this skill in other regulatory environments</i>		
A19	<i>Can demonstrate how they would work effectively with other organisations, and show how they would apply this skill in other regulatory environments</i>		

Check compliance			
Ref	Assessment Criteria (Pass)	Achieved	Not achieved
CC13	Can demonstrate how they would prepare appropriately for checks on compliance		
CC14	Can demonstrate how they would conduct interventions in a proportionate manner		
CC15	Can demonstrate how they would be responsive to the circumstances encountered		
CC16	Can demonstrate how they would make informed assessments of compliance and risk		
CC17	Can demonstrate how they would follow-up on checks on compliance in an appropriate manner		
Ref	Assessment Criteria (Merit)	Achieved	Not achieved
CC18	Can demonstrate with relevant examples how they would prepare appropriately for checks on compliance		
CC19	Can demonstrate with relevant examples how they would conduct interventions in a proportionate manner		
CC20	Can demonstrate with relevant examples how they would be responsive to the circumstances encountered		
CC21	Can demonstrate with relevant examples how they would make informed assessments of compliance and risk		
CC22	Can demonstrate with relevant examples how they would follow-up on checks on compliance in an appropriate manner		
Ref	Assessment Criteria (Distinction)	Achieved	Not achieved
CC23	<i>Can demonstrate how they would prepare appropriately for checks on compliance, and show how they would apply this skill in other regulatory environments</i>		
CC24	<i>Can demonstrate how they would conduct interventions in a proportionate manner, and show how they would apply this skill in other regulatory environments</i>		
CC25	<i>Can demonstrate how they would be responsive to the circumstances encountered, and show how they would apply this skill in other regulatory environments</i>		

CC26	<i>Can demonstrate how they would make informed assessments of compliance and risk, and show how they would apply this skill in other regulatory environments</i>		
CC27	<i>Can demonstrate how they would follow-up on checks on compliance in an appropriate manner, and show how they would apply this skill in other regulatory environments</i>		

Respond to non-compliance			
Ref	Assessment Criteria (Pass)	Achieved	Not achieved
NC6	Can demonstrate how they work with partner organisations to support proportionate, risk based responses to non-compliance		
NC7	Can demonstrate how they would conduct thorough investigations of non-compliance and allegations of non-compliance		
NC8	Can demonstrate how they would provide appropriate support for those adversely affected by non-compliance		
Ref	Assessment Criteria (Merit)	Achieved	Not achieved
NC9	Can demonstrate with relevant examples how they work with partner organisations to support proportionate, risk based responses to non-compliance		
NC10	Can demonstrate with relevant examples how they would conduct thorough investigations of non-compliance and allegations of non-compliance		
NC11	Can demonstrate with relevant examples how they would provide appropriate support for those adversely affected by non-compliance		
Ref	Assessment Criteria (Distinction)	Achieved	Not achieved
NC12	<i>Can demonstrate how they work with partner organisations to support proportionate, risk based responses to non-compliance and show how they would apply this skill in other regulatory environments</i>		
NC13	<i>Can demonstrate how they would conduct thorough investigations of non-compliance and allegations of non-compliance and show how they would apply this skill in other regulatory environments</i>		
NC14	<i>Can demonstrate how they would provide appropriate support for those adversely affected by non-compliance and show how they would apply this skill in other regulatory environments</i>		

Evaluate			
Ref	Assessment Criteria (Pass)	Achieved	Not achieved
EV1	Can demonstrate how they would monitor and report on their activities and performance		
EV2	Can demonstrate how they would evaluate their activities in relation to their regulatory objectives and their organisation's strategic priorities		
Ref	Assessment Criteria (Merit)	Achieved	Not achieved
EV3	Can demonstrate with relevant examples how they would monitor and report on their activities and performance		
EV4	Can demonstrate with relevant examples how they would evaluate their activities in relation to their regulatory objectives and their organisation's strategic priorities		
Ref	Assessment Criteria (Distinction)	Achieved	Not achieved
EV5	<i>Can demonstrate how they would monitor and report on their activities and performance, and show how they would apply this skill in other regulatory environments</i>		
EV6	<i>Can demonstrate how they would evaluate their activities in relation to their regulatory objectives and their organisation's strategic priorities, and show how they would apply this skill in other regulatory environments</i>		

Collaboration			
Ref	Assessment Criteria (Pass)	Achieved	Not achieved
C1	Can demonstrate how they have worked collaboratively and built professional relationships with colleagues and partner organisations		
Ref	Assessment Criteria (Merit)	Achieved	Not achieved
C2	Can demonstrate how they have worked collaboratively and built professional relationships with colleagues and partner organisations and describe the benefits		
Ref	Assessment Criteria (Distinction)	Achieved	Not achieved
C3	<i>Can demonstrate how they have worked collaboratively and built professional relationships with colleagues and partner organisations and describe how the benefits could be achieved in other regulatory environments</i>		

Quality service delivery			
Ref	Assessment Criteria (Pass)	Achieved	Not achieved
QS1	Can demonstrate how they have delivered a quality service by having a customer focussed mind set		
Ref	Assessment Criteria (Merit)	Achieved	Not achieved
QS2	Can demonstrate how they have delivered a quality service by having a customer focussed mind set and describe the benefits		
Ref	Assessment Criteria (Distinction)	Achieved	Not achieved
QS3	<i>Can demonstrate how they have delivered a quality service by having a customer focussed mind set and describe how the benefits could be achieved in other regulatory environments</i>		

Leadership and communication			
Ref	Assessment Criteria (Pass)	Achieved	Not achieved
LC1	Can demonstrate how they have led by example		
Ref	Assessment Criteria (Merit)	Achieved	Not achieved
LC2	Can demonstrate how they have led by example and describe the benefits		
Ref	Assessment Criteria (Distinction)	Achieved	Not achieved
LC3	<i>Can demonstrate how they have led by example and describe how the benefits could be achieved in other regulatory environments</i>		

Change and improvement			
Ref	Assessment Criteria (Pass)	Achieved	Not achieved
CI1	Can demonstrate how they have been creative and open to change		
Ref	Assessment Criteria (Merit)	Achieved	Not achieved
CI2	Can demonstrate how they have been creative and open to change and describe the benefits		
Ref	Assessment Criteria (Distinction)	Achieved	Not achieved
CI3	<i>Can demonstrate how they have been creative and open to change and describe how the benefits could be achieved in other regulatory environments</i>		