



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

End-Point Assessment Kit



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

EPA Kit

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### Versions:

ST0430 / v1.0 / AP02

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# How to use this EPA Kit

Welcome to the Highfield End-Point Assessment Kit for the Regulatory Compliance Officer apprenticeship standard.

Highfield is an end-point assessment organisation that has been approved to offer and carry out end-point assessments for the Level 4 Regulatory Compliance Officer apprenticeship standard.

This guide is designed to outline all you need to know about the end-point assessments for this standard and will also provide an overview of the on-programme delivery requirements. In addition, advice and guidance for trainers on how to prepare apprentices for the end-point assessment are included. The approaches suggested are not the only way in which an apprentice may be prepared for their assessments, but trainers may find them helpful.

## **In this kit, you will find:**

- an overview of the standard and any on-programme requirements
- a section focused on amplification
- guidance on how to prepare the apprentice for gateway
- detailed information on which part of the standard is assessed by which assessment method
- suggestions on how to prepare the apprentice for each part of the end-point assessment
- a section focused on the end-point assessment method where the assessment criteria are presented in a format suitable for carrying out 'mock' assessments

# Introduction

## Standard overview

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Within the public sector, compliance officers either work to perform regulatory service functions within local authorities, such as environmental health, fire safety, licensing or trading standards, but may also work within monitoring compliance teams within national regulators, such as the Food Standards Agency (FSA), Health and Safety Executive (HSE), Department for the Environment Food and Rural Affairs (DEFRA) or the Register of Regulated Qualifications (Ofqual). In the private sector, officers will typically be involved in supporting compliance activities within a range of businesses and liaising with frontline regulators. Additionally, officers will provide monitoring and oversight of the compliance-related activities of the wider supply chain to assure product and process quality and safety as well as legality. Typical activities that may be carried out by a fully competent employee include, but are not limited to:

- assessing the extent to which a business meets the requirements of the law and/or relevant audit standards
- working with businesses to help them comply with relevant legislation in their sector and/or meet the requirements of private standards, for example, International Organisation for Standardisations (ISO)
- providing information, guidance and advice to businesses on how to comply with legislation or meet audit requirements in their sectors
- collecting and analysing business data to build a picture of business compliance
- conducting risk assessments and highlighting hazards which may result in non-compliance by the business
- auditing and monitoring business compliance in relation to the regulations which apply to a specific sector
- writing reports following inspections or audits
- liaising with businesses/regulators to resolve any issues of non-compliance
- managing relationships with businesses and providing customer service
- dealing with complaints from consumers and other businesses and investigating them

## On-programme requirements

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Although learning, development and on-programme assessment are flexible and the process is not prescribed, the following is the recommended baseline expectation for an apprentice to achieve full competence in line with the Regulatory Compliance Officer apprenticeship standard:

It is anticipated that apprentices will usually take 18-24 months to complete this apprenticeship and it is recommended that they participate in training, development and on-going review activities. The training programme leading to end-point assessment should cover the breadth and depth of the standard using suggested on-programme assessment methods that integrate the knowledge, skills and behaviour components, and which ensure that the apprentice is sufficiently prepared to undertake the end-point assessment. Training, development and ongoing review activities should include:

- achievement of level 2 English and maths. If the apprentice began their apprenticeship training before their 19th birthday, they will still be subject to the mandatory requirement to study towards and achieve English and maths. The requirements for English and maths are optional for apprentices aged 19+ at the start of their apprenticeship training.
- an induction which is specific to their workplace
- study days and training courses relating to the technical specialisms of their employer
- mentoring support
- structured one-to-one reviews of their progress with their employer and/or training provider

These are recommendations only as training providers and employers may choose to deliver the knowledge, skills and behaviours included in the apprenticeship standard in different ways.

### Work-based portfolio

During the on-programme training, apprentices will need to gather evidence for the work-based portfolio that supports the Viva (interview and professional discussion). The portfolio is gathered to ensure the apprentice's competence across various tasks in the workplace that are required to undertake the role of a regulatory compliance officer in public, private and voluntary sector settings. The work-based portfolio must include reflective accounts completed by the apprentice which demonstrate their learning and application of knowledge in practice, core regulatory competencies and their values and behaviours. This will include:

- logbooks of work undertaken
- performance review records
- evidence of competences and occupational tasks being completed successfully

- a work-based project of 2,000 words

The apprentice should document their knowledge and skills development as well as their approach to the workplace (the values and behaviours) through the evidence contained within the portfolio.

At least 1 component of the portfolio should include a work-based project specific to the technical regulatory field in which the apprentice works which showcases their abilities to embed core regulatory competencies and technical regulatory specialisms in their engagement and interactions with regulated entities. This project should be 2,000 words (+/- 10%), excluding any appendices or annexes.

Examples of projects include the following topics:

- the use of risk assessment as a tool to support compliance
- how the organisation can work effectively with other organisations to promote and support compliance
- the production of advice and guidance to support compliance for business
- the impact that changes to legislation in your sector will have on your employer
- the reason for an increase in complaints and proposing action to address this
- opportunities to implement new ways of working because of the introduction of new technology
- some social change that is happening and whether your service needs to adapt because of this

We recommend structuring the project report into clear sections to make best use of the word count. The following format may be used, but other layouts will also be acceptable.

- Title page consisting of the project report's title, apprentice name, date of birth, employer, word count and submission date
- Executive summary consisting of an overview of the project, a brief summary of its findings and a brief summary of any recommendations/next steps
- Introduction consisting of the aim of the project and reasoning for the proposed work project and starting point, the project's background and an outline of theories or research conducted
- Body consisting of the planning and findings of the project, as well as a discussion of the findings with headings and sub-headings that reflect the content of each section
- Conclusion consisting of a summary of the key findings and any recommendations or future steps
- References consisting of any material used to support the project that was not the apprentice's work
- Appendix consisting of information to support the project report but not essential to the explanation. This section is **not** included in the overall word count

## **Use of artificial intelligence (AI) in the EPA**

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Assessments must be carried out in accordance with the published assessment plan and all work submitted must be the apprentice's own. AI tools must not be used to generate evidence in its entirety or to replace the apprentice's own judgement, performance or competence. Any use of AI must be transparent, limited and properly referenced.

Where AI has been used by the apprentice as part of normal work activity (for example, drafting a document, worksheet or PowerPoint) this may form part of the portfolio provided that:

The apprentice has materially authored, verified and taken responsibility for the content:

- AI use is clearly declared and referenced within the work (include tool name, purpose and how outputs were verified)
- Source prompts, system settings and the portions influenced by AI are retained and available for review
- AI outputs must not substitute for authentic demonstration of competence against the standard

If an AI tool is used at any stage of an assessment method (for example, to prepare a presentation outline or to organise notes), its use must be fully referenced in the submission or assessor records, and must not compromise authenticity, validity or security. Assessors must be satisfied that decisions remain rooted in the apprentice's knowledge, skills and behaviours, and in direct evidence gathered through observation, questioning and professional discussion.

AI tools must not be used to produce assessment evidence end-to-end, to fabricate logs/records or to simulate performance.

## **Additional, relevant on-programme qualification**

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There are no mandatory qualifications for apprentices for this standard, however, employers may wish to include relevant qualifications to help structure the on-programme delivery.

## **Readiness for end-point assessment**

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For an apprentice to be ready for the end-point assessments:

- the apprentice must have achieved level 2 English and maths. The requirements for English and maths are mandatory for all apprentices aged between 16-18 at the start of their apprenticeship training. The requirements for English and maths are optional for apprentices aged 19+ at the start of their apprenticeship training.

- the apprentice must have gathered a **work-based portfolio** against the required elements to be put forward to be used as the basis for the viva (interview and professional discussion).
- at least 1 component of the work-based portfolio should include a **work-based project** specific to the technical regulatory field in which the apprentice works. The project should be 2000 words (+/- 10%), plus appendices or annexes, which is submitted with the work-based portfolio at gateway.
- the report must be accompanied by a written submission sheet, which is available to download from the Highfield Assessment website.
- the line manager (employer) must be confident that the apprentice has developed all the knowledge, skills and behaviours defined in the apprenticeship standard and that the apprentice is competent in performing their role. To ensure this, the apprentice must attend a formal meeting with their employer to complete the Gateway Readiness Report.
- the apprentice and the employer should then engage with Highfield to agree a plan and schedule for each assessment activity to ensure all components can be completed within a **mandated** end-point assessment window. The assessment plan does not specify an assessment window for this standard. Highfield suggests a 3-month assessment window that starts from the attempt of the first activity.
- Further information about the gateway process is covered later in this kit.

If you have any queries regarding the gateway requirements, please contact your EPA customer engagement manager at Highfield Assessment.

## **Order of end-point assessments**

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The order of end-point assessments will be as follows: the knowledge exam, the observation of professional practice and, finally, the viva.

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# The Highfield approach

This section describes the approach Highfield has adopted in the development of this end-point assessment in terms of its interpretation of the requirements of the end-point assessment plan and other relevant documents.

## Specific considerations

All of the evidence criteria used within the end-point assessment have been taken from the Regulatory Compliance Officer assessment plan. There is no carry-over of assessment criteria between assessment methods.

## Use of portfolio during the Viva

The assessment plan states that ‘the Viva is there to validate the evidence contained within the work-based portfolio and to fill any gaps in evidence where identified’. Highfield will formally assess the work-based portfolio before the viva. Assessors will be given access to the work-based portfolio and project in advance of the viva to assess the documents and prepare questions to fill gaps not covered by evidence in the work-based portfolio.

As part of the flexibility framework, the stipulated order of assessment methods has been removed in order to allow for increased flexibility in delivering end-point assessments. Therefore, assessment methods for this standard can be taken in any order, in line with this framework.

## Observation tasks

The assessment plan states that “the apprentice is observed carrying out six tasks” for the observation of professional practice. Highfield has named these tasks based on the assessment plan to accurately assess a learner's competence against the standard.

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# Gateway

## How to prepare for gateway

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After apprentices have completed their on-programme learning, they should be ready to pass through 'gateway' to their end-point assessment.

Gateway is a meeting that should be arranged between the apprentice, their employer and training provider to determine that the apprentice is ready to undertake their end-point assessment. The apprentice should prepare for this meeting by bringing along work-based evidence, including:

- customer feedback
- recordings
- manager statements
- witness statements

As well as evidence from others, such as:

- mid and end-of-year performance reviews
- feedback to show how they have met the apprenticeship standards while on-programme

In advance of gateway, apprentices will need to have completed the following. The requirements for English and maths listed below are mandatory for all apprentices aged between 16-18 at the start of their apprenticeship training. The requirements for English and maths listed below are optional for apprentices aged 19+ at the start of their apprenticeship training.

- Achieved level 2 English
- Achieved level 2 maths
- Produced a work-based portfolio with the accompanying portfolio matrix
- Produced a work-based project consisting of 2,000 words (not including appendices)
- Completed the written submission sheet to accompany the work-based project

Therefore, apprentices should be advised by employers and providers to gather this evidence and undertake these qualifications during their on-programme training. It is recommended that employers and providers complete regular checks and reviews of this evidence to ensure the apprentice is progressing and achieving the standards before the formal gateway meeting is arranged.

In advance of gateway and with the help of their employer, apprentices should also select an appropriate observation brief, as contained within the bank available to download from the Highfield website.

## **The gateway meeting**

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The gateway meeting should be attended by the apprentice and a representative from the employer and training provider.

The **Gateway Readiness Report** should be used to log the outcomes of the meeting and agreed by all 3 parties. This report is available to download from the Highfield Assessment website.

The report should then be submitted to Highfield. If you require any support completing the Gateway Readiness Report, please contact your EPA customer engagement manager at Highfield Assessment.

### **Reasonable adjustments**

Highfield Assessment has measures in place for apprentices who require additional support. Please refer to the Highfield Assessment Reasonable Adjustments policy for further information/guidance.

### **ID requirements**

Highfield Assessment will complete an identification check before starting any assessment and will accept the following as proof of an apprentice's identity:

- a valid passport (any nationality)
- a signed UK photocard driving licence
- a valid warrant card issued by HM forces or the police
- another photographic ID card, such as an employee ID card or travel card

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## The Regulatory Compliance Officer apprenticeship standard

Below are the knowledge, skills and behaviours (KSBs) from the standard and related assessment criteria from the assessment plan. On-programme learning will be based upon the KSBs and the associated assessment criteria are used to assess and grade the apprentice within each assessment method.

Regulation
Knowledge
<p><b>The role of regulation as a tool of government</b></p> <p><b>Legal frameworks and powers</b></p> <p>The <b>law and where it applies to businesses' customers</b></p> <p>The <b>legislation</b> relevant to their regulatory function(s)</p> <p>The <b>role and responsibilities of partner organisations</b> and their interrelationships</p> <p>The <b>architecture of regulatory frameworks and their role within it</b></p>
Knowledge exam
Assessment criteria
<p><b>R1</b> Explain the <b>role of regulation as a tool of Government</b></p> <p><b>R2</b> Describe the <b>legal frameworks and powers</b> relevant to their role</p> <p><b>R3</b> Explain the <b>law and where it applies to businesses' customers</b></p> <p><b>R4</b> Describe the <b>legislation</b> relevant to their regulatory function(s)</p> <p><b>R5</b> Explain the <b>role and responsibilities of partner organisations</b> and their interrelationships</p> <p><b>R6</b> Explain the <b>architecture of regulatory frameworks and their role within it</b></p>

Viva (interview and professional discussion) based on evidence provided in a work-based portfolio		
Pass criteria	Merit criteria	Distinction criteria
<p><b>R7</b> Can explain <b>the role of regulation as a tool of Government</b></p> <p><b>R8</b> Can describe the <b>legal frameworks and powers</b> relevant to their role</p> <p><b>R9</b> Can explain <b>the law and where it applies to businesses' customers</b></p> <p><b>R10</b> Can describe the <b>legislation</b> relevant to their regulatory function(s)</p> <p><b>R11</b> Can explain <b>the role and responsibilities of partner organisations</b> and their interrelationships</p> <p><b>R12</b> Can explain the <b>architecture of regulatory frameworks and their role within it</b></p>	<p><b>R13</b> Can explain the <b>role of regulation as a tool of Government</b> and illustrate with relevant examples</p> <p><b>R14</b> Can describe the <b>legal frameworks and powers</b> relevant to their role and illustrate with relevant examples</p> <p><b>R15</b> Can explain <b>the law and where it applies to businesses' customers</b> and illustrate with relevant examples</p> <p><b>R16</b> Can describe the <b>legislation</b> relevant to their regulatory function(s) and illustrate with relevant examples</p> <p><b>R17</b> Can explain <b>the role and responsibilities of partner organisations</b> and their interrelationships and illustrate with relevant examples</p> <p><b>R18</b> Can explain <b>the architecture of regulatory frameworks and their role within it</b> and illustrate with relevant examples</p>	<p><b>R19</b> Can explain <b>the role of regulation as a tool of Government</b> and apply to the broader regulatory environment</p> <p><b>R20</b> Can describe the <b>legal frameworks and powers</b> relevant to their role and apply to the broader regulatory environment</p> <p><b>R21</b> Can explain <b>the law and where it applies to businesses' customers</b> and apply to the broader regulatory environment</p> <p><b>R22</b> Can describe the <b>legislation</b> relevant to their regulatory function(s) and apply to the broader regulatory environment</p> <p><b>R23</b> Can explain <b>the role and responsibilities of partner organisations</b> and their interrelationships and apply to the broader regulatory environment</p>

		<i><b>R24 Can explain the architecture of regulatory frameworks and their role within it and apply to the broader regulatory environment</b></i>
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**Amplification and guidance**

**The role of regulation as a tool of government**

- Protecting public interest:
  - regulations are designed to safeguard public health, safety and welfare
  - includes enforcing standards for food safety, environmental protection and consumer rights
- Maintaining market integrity:
  - helps ensure fair competition and prevents monopolistic practices
  - includes promoting transparency in financial markets
- Promoting economic stability:
  - Involves promoting the growth of the economy by providing a level playing field for businesses to expand and grow while complying with all relevant regulations
  - includes regulating banking practices, overseeing financial institutions and monitoring economic activity to prevent crises
- Fostering accountability:
  - holds organisations accountable for their actions, requiring them to comply with legal and ethical standards
  - promotes trust in businesses and institutions
- Encouraging compliance
- Facilitating policy implementation
- Enhancing social welfare
- Mitigating risk

**Legal frameworks and powers**

- Primary legislation:

- are laws passed by parliament in the UK
- provides the fundamental legal structure within which regulations are developed
- Secondary legislation (statutory instruments):
  - are used to fill in details and implement primary laws
  - are more specific and can be amended more easily
- Regulatory bodies:
  - Financial Conduct Authority (FCA)
  - Health and Safety Executive (HSE)
  - Information Commissioner's Office (ICO)
  - Environment Agency
- Enforcement powers:
  - investigative powers:
    - requesting documents
    - conducting audits
    - interviewing employees
    - issuing notices
    - issuing fines and penalties
    - injunctions
    - criminal prosecution

**The law and where it applies to businesses' customers**

- Encompasses various legal frameworks designed to protect consumer rights, ensure fair practices and maintain trust in commercial relationships
- Contract law:
  - governs the agreements made between businesses and customers
  - when a customer purchases goods or services, they enter into a contract with the business

- the Consumer Rights Act outlines the rights customers have when buying goods or services, including the right to receive goods of satisfactory quality and services provided with reasonable care and skill
- Consumer protection laws:
  - Ensures that businesses deal with customers fairly and do not engage in misleading, fraudulent or harmful practices
  - Consumer Protection from Unfair Trading Regulations protects consumers from misleading actions, such as false claims or hidden charges
  - The Consumer Contracts Regulations give consumers the right to cancel certain contracts and provides cooling-off periods
- Data protection laws:
  - governs how businesses collect, store and use customers' personal data.
  - these laws are crucial in protecting customer privacy and ensuring businesses handle data responsibly.
  - the Data Protection Act and General Data Protection Regulations (GDPR) regulate how businesses manage data and give customers rights over how their data is used and stored. Non-compliance can result in heavy fines and reputational damage.
- Competition law:
  - ensures that businesses compete fairly in the market and prevents monopolistic behaviour
  - the Competition Act prevents businesses from colluding to fix prices or limit competition to disadvantage consumers
  - the Enterprise Act strengthens the powers to investigate and penalise anti-competitive practices
- Health and safety law:
  - is designed to protect customers, especially in retail, hospitality and leisure industries, where the public directly interacts with a business
  - the Health and Safety at Work etc. Act, although primarily aimed at protecting employees, also applies to customers in business premises
  - the Food Safety Act ensures that food provided to customers is safe, hygienic and accurately described
- Product liability law:
  - holds businesses accountable for the safety and quality of the products they sell
  - the Consumer Protection Act holds businesses liable if they sell a defective product that causes injury or harm to consumers
- Advertising and marketing laws:



- ensure that businesses promote their goods and services in an honest and non-deceptive manner
- Equality and anti-discrimination laws:
  - ensures that businesses treat all customers fairly and do not discriminate based on protected characteristics
  - the Equality Act provides protection against discrimination in business practices and ensures the equal treatment of all customers

### **Legislation**

- Examples include the current:
  - Consumer Rights Act
  - Consumer Protection from Unfair Trading Regulations
  - Consumer Contracts Regulations
  - Data Protection Act
  - Competition Act
  - Enterprise Act
  - Health and Safety at Work etc. Act
  - Food Safety Act
  - Consumer Protection Act
  - Equality Act

### **Role and responsibilities of partner organisations**

- 'Partner organisations' refers to any business or entity that works alongside or in collaboration with another organisation to achieve mutual goals
- Types of partner organisations include:
  - suppliers
  - distributors or resellers
  - regulatory bodies
  - contractors or subcontractors

- Roles and responsibilities include:
  - sharing intelligence gained from research and inspections
  - compliance with regulatory standards and legislation
  - ensuring quality and consistency
  - timely delivery and performance
  - sharing knowledge and resources
  - risk management
- Interrelationships are key to meeting both regulatory and business objectives. These include:
  - mutual dependence, for example, a business depends on its suppliers to provide high-quality raw materials, while a supplier depends on the business for sustained demand
  - collaboration on compliance
  - shared accountability
- Consequences of non-compliance include fines and penalties, as well as reputational damage

#### **Architecture of regulatory frameworks and their role within it**

- They are a structured system of laws, rules, regulations and enforcement mechanisms designed to ensure individuals and businesses operate within legal boundaries
- They are essential in maintaining order, protecting consumers and ensuring that industries adhere to ethical and operational standards
- It includes:
  - primary legislation
  - secondary legislation
  - regulatory bodies
  - industry-specific codes of practice and guidelines
  - internal policies and procedures
- The regulatory compliance officer's role in this architecture includes:
  - providing guidance, support and signposting for businesses

- taking the necessary enforcement action to address non-compliance
- monitoring and understanding regulatory changes
- developing and implementing compliance programmes
- conducting internal audits and risk assessments
- training and educating employees
- liaising with regulatory bodies
- managing compliance investigations and reporting
- ensuring continuous improvement

## Risk assessment

### Knowledge

Risk assessment as a tool to support compliance

### Knowledge exam

### Assessment criteria

**RA1** Explain **how to use risk assessment to support compliance**

**Viva (interview and professional discussion) based on evidence provided in a work-based portfolio**

#### Pass criteria

#### Merit criteria

#### *Distinction criteria*

**RA2** Can explain **how to use risk assessment to support compliance**

**RA3** Can explain **how to use risk assessment to support compliance** and illustrate with relevant examples

**RA4** Can explain **how to use risk assessment to support compliance** and apply to the broader regulatory environment

### Amplification and guidance

#### **How to use risk assessment to support compliance**

- Enables organisations to identify, evaluate and prioritise potential risks that could lead to legal, financial or reputational harm
- Types of risks assessed for compliance include:
  - health and safety risks to minimise injury to employees or the general public
  - environmental risks related to protecting and sustaining the environment
  - legal risks, including non-compliance with laws and regulations
  - operational risks related to business processes and systems
  - financial risks associated with non-compliance
  - reputational risks that can damage an organisation's brand and public trust
- Steps in conducting a risk assessment for compliance:

- review the formal risk assessment template to ensure relevance and accuracy to measure risks
- identify hazards with a likelihood to cause risks
- evaluate the likelihood of risks occurring and their potential impact on the organisation
- prioritise which risks require the most immediate attention
- implement risk mitigation strategies, such as employee training or policy changes, to reduce or eliminate risks
- monitor and review risks as new risks emerge or regulations change
- document and report the entire risk assessment process to produce to management to keep them informed
- How risk assessment supports compliance:
  - proactive risk identification allows organisations to identify potential compliance risks before they become significant issues
  - a structured risk assessment process provides management with insights into which risks require immediate attention and how resources should be allocated
  - identifying specific areas of non-compliance and taking steps to mitigate them ensures enhanced regulatory compliance
  - an adequate risk assessment can reduce the likelihood of regulatory fines and legal disputes
  - risk assessments can promptly prevent injury to employees and the general public

## Business stakeholders and their compliance needs

Knowledge		
Knowledge of the <b>business environment</b> they interact with <b>How regulation and the way it is enforced can impact on the businesses regulated</b> The <b>factors that affect business approaches to compliance</b> <b>The need to provide compliance support to businesses</b> they work with		
Knowledge exam		
Assessment criteria		
<b>BS1</b> Describe the <b>business environment</b> they interact with <b>BS2</b> Describe <b>how regulation and the way it is enforced can impact on the businesses regulated</b> <b>BS3</b> Describe the <b>factors that affect business approaches to compliance</b> <b>BS4</b> Understand <b>the need to provide compliance support to businesses</b> they work with		
Viva (interview and professional discussion) based on evidence provided in a work-based portfolio		
Pass criteria	Merit criteria	<i>Distinction criteria</i>
<b>BS5</b> Can describe the <b>business environment</b> they interact with  <b>BS6</b> Can describe <b>how regulation and the way it is enforced can impact on the businesses regulated</b>  <b>BS7</b> Can describe the <b>factors that affect business approaches to compliance</b>	<b>BS9</b> Can describe the <b>business environment</b> they interact with and illustrate with relevant examples  <b>BS10</b> Can describe <b>how regulation and the way it is enforced can impact on the businesses regulated</b> and illustrate with relevant examples	<i><b>BS13</b> Can describe the <b>business environment</b> they interact with and apply to the broader regulatory environment</i>  <i><b>BS14</b> Can describe <b>how regulation and the way it is enforced can impact on the businesses regulated</b> and apply to the broader regulatory environment</i>

<p><b>BS8</b> Can demonstrate understanding of <b>the need to provide compliance support to businesses</b> they work with</p>	<p><b>BS11</b> Can describe the <b>factors that affect business approaches to compliance</b> and illustrate with relevant examples</p> <p><b>BS12</b> Can demonstrate understanding of <b>the need to provide compliance support to businesses</b> they work with and illustrate with relevant examples</p>	<p><b>BS15</b> Can describe the <b>factors that affect business approaches to compliance</b> and apply to the broader regulatory environment</p> <p><b>BS16</b> Can demonstrate understanding of <b>the need to provide compliance support to businesses</b> they work with and apply to the broader regulatory environment</p>
<p><b>Amplification and guidance</b></p>		
<p><b>Business environment</b></p> <ul style="list-style-type: none"> <li>• Industry-specific knowledge, such as: <ul style="list-style-type: none"> <li>○ key regulations and operating standards</li> <li>○ trends and developments</li> <li>○ the sector and competitor practices</li> </ul> </li> <li>• Legal and regulatory environment: <ul style="list-style-type: none"> <li>○ laws relevant to the sector</li> <li>○ regulatory bodies and partner organisations</li> <li>○ enforcement action for non-compliance</li> </ul> </li> </ul> <p><b>How regulation and the way it is enforced can impact on the businesses regulated</b></p> <ul style="list-style-type: none"> <li>• Operational challenges and compliance costs: <ul style="list-style-type: none"> <li>○ the implementation of new processes results in businesses needing to modify policies to ensure compliance</li> <li>○ businesses may incur significant costs to meet regulatory requirements</li> <li>○ over-regulating businesses will damage relationships and reduce the buy-in to comply with regulations</li> </ul> </li> <li>• Risk management and internal controls:</li> </ul>		

- businesses are often required to strengthen internal governance practices, such as audits, risk assessments and corporate governance
- regulatory frameworks encourage businesses to adopt a more formalised approach to risk management, including identifying potential risks, assessing their impact and implementing mitigation strategies
- Impact on business strategy and innovation:
  - regulatory requirements can influence key business decisions, including market expansion, product development and service offerings
  - some regulations, especially those that are highly prescriptive, can limit innovation
  - in heavily regulated industries, like pharmaceuticals or finance, strict rules may delay the introduction of new products
- Reputational impact and customer trust:
  - enforcement actions, such as fines and penalties, can damage a business's reputation
  - businesses that demonstrate strong compliance and ethical practices often build trust with customers
- Market competitiveness:
  - complex regulatory requirements can create barriers to entry for smaller businesses or startups
  - businesses that excel in compliance may use it as a competitive advantage

#### **Factors that affect business approaches to compliance**

- Industry and regulatory environment:
  - the complexity of regulatory frameworks governing a business directly influences its approach to compliance
  - different industries face unique regulatory risks, which influences the level of attention and resources devoted to compliance
- Size and structure of the business:
  - larger organisations generally have a dedicated compliance lead or are associated with a primary authority to provide guidance and advice
  - larger organisations generally have more complex operations and are subject to a broader range of regulations
  - a company's structure, whether centralised or decentralised, affects how compliance is managed
- Corporate culture and leadership attitude:



- a proactive, ethical leadership team will prioritise compliance, setting a strong tone from the top
- the broader corporate culture, whether it values compliance and ethical behaviour or prioritises profits over rules, affects how vigorously compliance efforts are followed
- Risk appetite and tolerance:
  - businesses with a low risk appetite tend to adopt stricter compliance policies to avoid penalties
  - some businesses weigh the costs of compliance against the potential penalties for non-compliance
- Technological capabilities:
  - companies with access to advanced compliance management systems can handle compliance more effectively
  - businesses are under pressure to manage data securely and protect it from breaches due to regulations such as GDPR
- External stakeholder expectations:
  - regulatory bodies often provide guidelines or set expectations for compliance and businesses that engage regularly with regulators tend to develop more comprehensive compliance programmes
  - investors and shareholders increasingly prioritise businesses with strong compliance practices
  - public perception and consumer trust influence a business's approach to compliance, especially for businesses in highly visible industries, like consumer goods, food or technology
- Enforcement and policies:
  - the likelihood of enforcement and the severity of penalties for non-compliance shape compliance strategies
  - the scale of penalties, such as fines, legal costs and reputational damage, often dictate how seriously businesses take compliance

#### **The need to provide compliance support to businesses**

- Developing strong professional relationships with businesses to encourage ongoing dialogue
- Preventing non-compliance and penalties
- Building a culture of compliance
- Supporting business growth and stability
- Navigating regulatory changes and updates
- Managing risk and protecting stakeholders

- Improving efficiency and reducing costs

Evaluation		
Knowledge		
The value of feedback from those they regulate, and the beneficiaries of regulation such as consumers in informing future activities		
Observation of professional practice		
Pass criteria	Merit criteria	Distinction criteria
<b>E1</b> Demonstrate in their practice how they <b>gather</b> and <b>utilise</b> feedback from stakeholders	<b>E2</b> Demonstrate in their practice how they <b>gather</b> and <b>utilise</b> feedback from stakeholders. <b>Actions to be taken</b> in response to the feedback are identified and explained	<b>E3</b> <i>Demonstrate in their practice how they <b>gather</b> and <b>utilise</b> feedback from stakeholders. Implications of feedback are understood and predicted</i>
Amplification and guidance		
<p><b>Gather</b></p> <ul style="list-style-type: none"> <li>• Customer satisfaction survey: <ul style="list-style-type: none"> <li>○ post intervention</li> </ul> </li> <li>• Feedback received during interventions</li> <li>• Review complaint type and compliance level trends</li> <li>• Feedback requested from peers and subordinates and used for self-development</li> </ul> <p><b>Utilise</b></p> <ul style="list-style-type: none"> <li>• Identify areas where additional guidance or different approaches to interventions are required</li> <li>• Identify stakeholders' preferred methods of communication, such as letters, emails or social media</li> </ul>		

**Actions to be taken**

- Provide advice to stakeholders in the form of frequently asked questions (FAQs) and what to expect
- National targeted initiatives
- Request that the mentor supports your development and hold regular performance evaluation reviews with the line manager

## Deliver a service

### Skill

Plan and deliver compliance support services in line with **business expectation**  
 Carry out activities in line with their organisation's **regulatory outcomes** – ensuring business prosperity and consumer/environmental protection  
 Work within the **organisation's policies and procedures** and the law

### Observation of professional practice

Pass criteria	Merit criteria	<i>Distinction criteria</i>
<p><b>DS1</b> Demonstrate in their practice that they can plan and deliver compliance support services in line with <b>business expectation</b></p> <p><b>DS2</b> Demonstrate in their practice that they can carry out activities in line with their organisation's <b>regulatory outcomes</b></p> <p><b>DS3*</b> Demonstrate in their practice that they can work within the <b>organisation's policies and procedures</b> and the law (NB failure to demonstrate compliance will result in a failure of the End-point Assessment)</p>	<p><b>DS3*</b> Demonstrate in their practice that they can work within the <b>organisation's policies and procedures</b> and the law (NB failure to demonstrate compliance will result in a failure of the End-point Assessment)</p> <p><b>DS4</b> Demonstrate in their practice that they can plan and deliver compliance support services in excess of <b>business expectation</b>. This could be delivered ahead of schedule or they can offer a range of compliance solutions</p> <p><b>DS5</b> Demonstrate in their practice that they can carry out activities in line with their organisation's <b>regulatory outcomes</b> and identify industry best practice and outline how it can be applied in the situation</p>	<p><i><b>DS3*</b> Demonstrate in their practice that they can work within the <b>organisation's policies and procedures</b> and the law (NB failure to demonstrate compliance will result in a failure of the End-point Assessment)</i></p> <p><i><b>DS6</b> Demonstrate in their practice that they can plan and deliver compliance support services in excess of <b>business expectation</b> this could include describing the compliance environment and the wider consequences of non-compliance appropriate to the situation</i></p>

		<p><i><b>DS7</b> Demonstrate in their practice that they can carry out activities in line with their organisation's <b>regulatory outcomes</b> clearly identify business benefits and improvements to wider consumer or environmental protection</i></p>
<b>Amplification and guidance</b>		
<p><i><b>DS3*</b> - 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.</i></p> <p><b>Business expectation</b></p> <ul style="list-style-type: none"> <li>• Setting standards</li> <li>• Service level agreements (SLAs)</li> <li>• Good customer service</li> <li>• Good communication</li> </ul> <p><b>Regulatory outcomes</b></p> <ul style="list-style-type: none"> <li>• Risk management</li> <li>• How to plan interventions and be responsive to findings</li> <li>• Look at impact and outcome tools</li> <li>• The organisation then has: <ul style="list-style-type: none"> <li>○ knowledge of laws and regulations specific to their sector</li> <li>○ an awareness of organisational standard operating procedures</li> <li>○ an understanding of the enforcement policy</li> <li>○ an appreciation of key high-risk businesses</li> </ul> </li> </ul>		

### **Organisation's policies and procedures**

- Understands compliance with law when applying enforcement, for example:
  - Enforcement policy
  - Health and safety
  - Personal protective equipment (PPE)
  - General Data Protection Regulations (GDPR)
  - Equality and diversity
  - Internal policies
  - Complaints procedures
  - SLAs
- Highlights that processes they are following are to ensure that the organisation's policies and procedures, as well as laws, are being implemented correctly
- Follows codes of practice and any relevant guidelines to complete tasks

Risk assess		
Skill		
Assess regulatory risks and use risk assessment to guide their activities and target resources		
Observation of professional practice		
Pass criteria	Merit criteria	Distinction criteria
<p><b>RA5</b> Demonstrate in their practice that they can <b>assess regulatory risks</b> and use risk assessment</p>	<p><b>RA6</b> Demonstrate in their practice that they can <b>assess regulatory risks</b> and use risk assessment. Analyse the risks identified and suggest <b>appropriate actions or mitigation</b></p>	<p><b>RA7</b> Demonstrate in their practice that they can <b>assess regulatory risks</b> and use risk assessment. Evaluate the risks in a wider context, draw and explain <b>conclusions</b> appropriate to the situation</p>
Amplification and guidance		
<p><b>Assess regulatory risks</b></p> <ul style="list-style-type: none"> <li>• Product safety risk assessment matrix (PRISM)</li> <li>• Hazards and their likelihood of causing risks</li> <li>• Risk and harm</li> <li>• Consequences of non-compliance</li> <li>• Consumer-defined environmental harm</li> <li>• Minimise or avoid risk, for example: <ul style="list-style-type: none"> <li>○ identifying critical control points in processes</li> <li>○ training</li> <li>○ practising due diligence</li> </ul> </li> </ul> <p><b>Appropriate actions or mitigation</b></p> <ul style="list-style-type: none"> <li>• Consider whether an inspection is the best intervention or if an alternative approach would be more effective, such as advice or education</li> </ul>		

- Frequency of approach intervention
- Consider announced/unannounced visits or test purchases to monitor ongoing compliance
- Request proof of compliance electronically in the form of photographs or documents that demonstrate evidence of compliance

### **Conclusions**

- Consequential loss
- Frequency of approach of the intervention, dependant on resource availability, frequency of risk changing and the extent to which there are other oversights in the business, for example, an audit from customers
- Assessing the likelihood of harm (non-compliance), such as confidence on how well a business is managing its hazards, common criteria used to assess the likelihood of non-compliance:
  - history of compliance
  - current level of compliance
  - management assessment
  - management systems
- Examples of adaptations that are based on risk
- Calculating the likelihood of compliance
- Hazard/confidence matrix



## Collect and analyse data

### Skill

**Gather**, analyse, use and **share data** to inform risk assessment

### Observation of professional practice

Pass criteria	Merit criteria	<i>Distinction criteria</i>
<p><b>CA1</b> Demonstrate in their practice that they can <b>gather</b>, analyse, use and <b>share data</b> to inform risk assessment</p>	<p><b>CA2</b> Demonstrate in their practice that they can <b>gather</b>, analyse, use and <b>share data</b> to inform risk assessment, and have developed their practice within their own role as a consequence</p>	<p><b>CA3</b> <i>Demonstrate in their practice that they can <b>gather</b>, analyse, use and <b>share data</b> to inform risk assessment, and have developed their <b>data</b> gathering and analysis in a wider context</i></p>

### Amplification and guidance

#### **Gather**

- Research databases to identify previous compliance interventions
- Gather more information by using various partner organisation records, such as His Majesty's Revenue and Customs (HMRC) or Companies House
- Collaborate with colleagues and partner organisations to identify any newly learned information
- Review online business websites or social media platforms to consider the regulation of online markets

#### **Share data**

- Understand the implications of sharing personal information safely
- Data Protection Act
- General Data Protection Regulations (GDPR)
- Safe transfer of sensitive information electronically
- Awareness of protecting personal information to ensure it is always stored in a safe location

**Data**

- Computer records
- Intelligence reports
- Previous compliance history
- CCTV or surveillance data

## Understand businesses they work with

### Skill

**Engage constructively** with business and **tailor their approach** to businesses that they interact with  
Take account of the provisions of statutory Codes in order to engage effectively with businesses

**Viva (interview and professional discussion) based on evidence provided in a work-based portfolio**

Pass criteria	Merit criteria	<i>Distinction criteria</i>
<p><b>UB1</b> Can demonstrate how they would <b>engage constructively</b> with business and <b>tailor their approach</b> to businesses that they interact with</p> <p><b>UB2</b> Can demonstrate how they would take account of the provisions of statutory codes in order to engage effectively with businesses</p>	<p><b>UB3</b> Can demonstrate with relevant examples how they would <b>engage constructively</b> with business and <b>tailor their approach</b> to businesses that they interact with</p> <p><b>UB4</b> Can demonstrate with relevant examples how they would take account of the provisions of statutory codes in order to engage effectively with businesses</p>	<p><i><b>UB5</b> Can demonstrate how they would <b>engage constructively</b> with business and <b>tailor their approach</b> to businesses that they interact with and show how they would apply this skill in other regulatory environments</i></p> <p><i><b>UB6</b> 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></p>

### Amplification and guidance

#### **Engage constructively**

- Maximise digital, face to face and social media to raise profile and engage with businesses
- Provide ongoing guidance, support and signposting to help businesses and build professional relationships
- Ensure that the approach to engagement is balanced between monitoring compliance standards and offering advice and guidance
- Be easily available for businesses to contact you and work towards building strong relationships

### **Tailor their approach**

- Consider the 5 Principals of good regulatory compliance in all interventions with businesses – transparent, accountable, proportionate, consistent and targeted
- Gain a good understanding of the appropriate regulations to deliver the statutory codes and engage with businesses
- Target resources to maximise engagement with businesses and minimise noncompliance
- Thoroughly plan all interventions with businesses to ensure you are prepared and able to carry out your duties consistently
- Request feedback and evaluate all interventions to enable ongoing continuous improvement

## Plan their activities

### Skill

**Plan** their compliance support activities so as to **deliver** their responsibilities efficiently  
**Work as part of a team** building and maintaining good working relationships with both business and regulator stakeholders

### Observation of professional practice

Pass criteria	Merit criteria	<i>Distinction criteria</i>
<b>PA1</b> Demonstrate in their practice that they can <b>plan</b> their compliance support activities so as to <b>deliver</b> their responsibilities efficiently	<b>PA2</b> Demonstrate in their practice that they can <b>plan</b> their compliance support activities so as to <b>deliver</b> their responsibilities efficiently and have developed their practice within their own role as a consequence	<b>PA3</b> <i>Demonstrate in their practice that they can <b>plan</b> their compliance support activities so as to <b>deliver</b> their responsibilities efficiently and have developed their transferable skills in a wider context</i>

### Viva (interview and professional discussion) based on evidence provided in a work-based portfolio

Pass criteria	Merit criteria	<i>Distinction criteria</i>
<b>PA4</b> Can demonstrate how they would <b>work as part of a team</b> building and maintaining good working relationships with both business and regulator stakeholders	<b>PA5</b> Can demonstrate with relevant examples how they would <b>work as part of a team</b> building and maintaining good working relationships with both business and regulator stakeholders	<b>PA6</b> <i>Can demonstrate how they would <b>work as part of a team</b> building and maintaining good working relationships with both business and regulator stakeholders, and show how they would apply this skill in other environments</i>

### Amplification and guidance

#### Plan

- Research internal databases to gain thorough understanding of historical performance of business
- Use partner organisations' data to gain relevant information, such as using Companies House to identify business directors

- Start a case management file in preparation for the intervention
- Review relevant regulations and/or enforcement policy if unclear of the options that are available if enforcement action is required
- Prepare materials required for intervention, such as:
  - Personal protective equipment (PPE)
  - ID or warrant card
  - Camera
  - Any copies of required documentation
- Plan a route:
  - Hire car
  - Google maps
  - Confirm realistic timings
- Agree the plan and objectives, and collaborate with other officers, if involved
- Operational order
- Engage with appropriate stakeholders, such as other enforcement organisations

#### **Deliver**

- Based on intelligence, complaints and risk assessment
- Able to determine the most appropriate interaction, such as an announced/unannounced visit or support and guidance
- Enforcement action options are clear if non-compliance is anticipated

#### **Work as part of a team**

- Collaborate directly with the team to gain any additional knowledge or experience about businesses
- Maximise partner organisation relationships to work collaboratively to achieve the same aims
- Consider joint partner organisation intervention to enable the use of more powers linked to all sector legislation
- Consult with partner organisations and share intelligence to highlight noncompliance concerns

## Choose appropriate interventions

### Skill

Make **appropriate intervention** choices to have the greatest impact on supporting compliance

Take a **proportionate approach** to intervention choice

**Work effectively with other organisations**

**Viva (interview and professional discussion) based on evidence provided in a work-based portfolio**

Pass criteria	Merit criteria	<i>Distinction criteria</i>
<p><b>AI1</b> Can demonstrate how they would make <b>appropriate intervention</b> choices to have the greatest impact on supporting compliance</p> <p><b>AI2</b> Can demonstrate how they would take a <b>proportionate approach</b> to intervention choice</p> <p><b>AI3</b> Can demonstrate how they would <b>work effectively with other organisations</b></p>	<p><b>AI4</b> Can demonstrate with relevant examples how they would make <b>appropriate intervention</b> choices to have the greatest impact on supporting compliance</p> <p><b>AI5</b> Can demonstrate with relevant examples how they would take a <b>proportionate approach</b> to intervention choice</p> <p><b>AI6</b> Can demonstrate with relevant examples how they would <b>work effectively with other organisations</b></p>	<p><b>AI7</b> <i>Can demonstrate how they would make <b>appropriate intervention</b> choices to have the greatest impact on supporting compliance, and show how they would apply this skill in other regulatory environments</i></p> <p><b>AI8</b> <i>Can demonstrate how they would take a <b>proportionate approach</b> to intervention choice, and show how they would apply this skill in other regulatory environments</i></p> <p><b>AI9</b> <i>Can demonstrate how they would <b>work effectively with other organisations</b>, and show how they would apply this skill in other regulatory environments</i></p>

## Amplification and guidance

### Appropriate intervention

- Thoroughly research the business to ensure the root cause of non-compliance is identified to support the choice of intervention
- Intervention choice needs to be proportionate to the risk identified
- Consider constraints on resources and prioritise interventions based on the level of risk
- Look at all possible interventions:
  - provide guidance, support and signposting to other partner organisations
  - offer additional training and solutions to increase awareness of the requirements of the relevant legislation
  - request evidence of proof of compliance at regular intervals
  - arrange a test-purchase to measure compliance standards
  - conduct an unannounced visit and an inspection of compliance standards
  - conduct an announced visit to support in the building of a working relationship and to review compliance standards

### Proportionate approach

- Is the approach deemed proportionate based on the level of risk?
- Consider previous approaches in similar circumstances to ensure the proportionate approach is consistent.
- Is the approach possible considering limited resources and other priority noncompliance cases?
- Will there be funding available to complete the intervention and cover the associated costs?
- Is there a requirement to gain senior approval to conduct the proportionate approach?
- Is it in the public's interest to take the proportionate action?

### Work effectively with other organisations

- Build strong professional working relationships
- Network with sector organisations and establish the benefits of relationships
- Share intelligence to highlight risk and non-compliance
- Work together on joint inspections to maximise powers and take the appropriate actions
- Use various partner databases to gain valuable information on businesses and compliance standards



- Organisations include:
  - partner organisations
  - national regulators
  - local regulators
  - suppliers
  - charities
  - trades

## Check compliance

### Skill

Prepare appropriately for checks on compliance  
**Conduct interventions** in a proportionate manner  
 Be **responsive** to the circumstances encountered  
 Make **informed assessments** of compliance and risk  
**Follow-up on checks on compliance in an appropriate manner**

### Observation of professional practice

Pass criteria	Merit criteria	<i>Distinction criteria</i>
<p><b>CC1</b> Demonstrate in their practice that they can <b>conduct interventions</b> in a proportionate manner</p> <p><b>CC2</b> Demonstrate in their practice that they can be <b>responsive</b> to the circumstances encountered</p> <p><b>CC3</b> Demonstrate in their practice that they can make <b>informed assessments</b> of compliance and risk</p> <p><b>CC4</b> Demonstrate in their practice that they can <b>follow-up on checks on compliance in an appropriate manner</b></p>	<p><b>CC5</b> Demonstrate in their practice that they can <b>conduct interventions</b> in a proportionate manner and have developed their practice within their own role as a consequence</p> <p><b>CC6</b> Demonstrate in their practice that they can be <b>responsive</b> to the circumstances encountered and have developed their practice within their own role as a consequence</p> <p><b>CC7</b> Demonstrate in their practice that they make <b>informed assessments</b> of compliance and risk and have developed their rationale and understanding of the assessment process</p>	<p><b>CC9</b> <i>Demonstrate in their practice that they can <b>conduct interventions</b> in a proportionate manner and give support and advice likely to mitigate future incidents of non-compliance</i></p> <p><b>CC10</b> <i>Demonstrate in their practice that they can be <b>responsive</b> to the circumstances encountered and can show an understanding of the <b>wider implications</b> and potential consequences</i></p>

	<p><b>CC8</b> Demonstrate in their practice that they can <b>follow-up on checks on compliance in an appropriate manner</b> and have developed their rationale and understanding of follow-up checks</p>	<p><b>CC11</b> <i>Demonstrate in their practice that they can make <b>informed assessments</b> of compliance and risk and use a broader range of methods to assess the compliance and risks in a wider context</i></p> <p><b>CC12</b> <i>Demonstrate in their practice that they can <b>follow-up on checks on compliance in an appropriate manner</b> and have developed the use of a broader range of methods to assess the risks in a wider context</i></p>
<b>Viva (interview and professional discussion) based on evidence provided in a work-based portfolio</b>		
<b>Pass criteria</b>	<b>Merit criteria</b>	<b>Distinction criteria</b>
<p><b>CC13</b> Can demonstrate how they would prepare appropriately for checks on compliance</p> <p><b>CC14</b> Can demonstrate how they would <b>conduct interventions</b> in a proportionate manner</p> <p><b>CC15</b> Can demonstrate how they would be <b>responsive</b> to the circumstances encountered</p>	<p><b>CC18</b> Can demonstrate with relevant examples how they would prepare appropriately for checks on compliance</p> <p><b>CC19</b> Can demonstrate with relevant examples how they would <b>conduct interventions</b> in a proportionate manner</p> <p><b>CC20</b> Can demonstrate with relevant examples how they would be <b>responsive</b> to the circumstances encountered</p>	<p><b>CC23</b> <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></p> <p><b>CC24</b> <i>Can demonstrate how they would <b>conduct interventions</b> in a proportionate manner, and show how they would apply this skill in other regulatory environments</i></p>

<p><b>CC16</b> Can demonstrate how they would make <b>informed assessments</b> of compliance and risk</p> <p><b>CC17</b> Can demonstrate how they would <b>follow-up on checks on compliance in an appropriate manner</b></p>	<p><b>CC21</b> Can demonstrate with relevant examples how they would make <b>informed assessments</b> of compliance and risk</p> <p><b>CC22</b> Can demonstrate with relevant examples how they would <b>follow-up on checks on compliance in an appropriate manner</b></p>	<p><b>CC25</b> <i>Can demonstrate how they would be <b>responsive</b> to the circumstances encountered, and show how they would apply this skill in other regulatory environments</i></p> <p><b>CC26</b> <i>Can demonstrate how they would make <b>informed assessments</b> of compliance and risk, and show how they would apply this skill in other regulatory environments</i></p> <p><b>CC27</b> <i>Can demonstrate how they would <b>follow-up on checks on compliance in an appropriate manner</b>, and show how they would apply this skill in other regulatory environments</i></p>
<b>Amplification and guidance</b>		
<p><b>Conduct interventions</b></p> <ul style="list-style-type: none"> <li>• Regulators' code: <ul style="list-style-type: none"> <li>○ open and transparent</li> <li>○ civil</li> <li>○ polite</li> <li>○ build relationships</li> <li>○ self-aware of how they come across: <ul style="list-style-type: none"> <li>▪ open to feedback/constructive criticism</li> <li>▪ satisfaction survey</li> </ul> </li> </ul> </li> </ul>		

- Clearly uses the 5 principles of good regulatory compliance on all types of interventions:
  - transparent
  - accountable
  - proportionate
  - consistent
  - targeted
- Interventions include:
  - announced/unannounced inspections
  - test purchases
  - requesting information remotely
  - guidance, support and signposting
  - training and training solutions
- Intervention requirements include:
  - ID warrant card or notebook
  - A device to record evidence
  - Legislation and powers
  - PPE
  - Safeguarding
  - Additional equipment to measure non-compliance

#### **Responsive**

- Sympathetic to and knowledgeable of business needs
- Able to assess immediacy of evidential requirements versus the ability to continue to trade
- Understands what steps to take when faced with unexpected circumstances
- Can increase the profile of the risk if required
- Identifies risks in other sectors and informs partner organisations of the findings
- Can suggest remedial action to address low-level non-compliance

### **Informed assessments**

- Risk of harm versus the cost or benefit of intervention
- Professional approach to measure and assess using all forms, including regulatory equipment
- Prioritise risks gained from assessments and take prompt enforcement action to address if necessary

### **Follow-up**

- Make clear compliance requirements, such as by using plain English
  - Decide whether to use written or verbal instructions or guidance
- Use all follow-up options to ensure compliance levels remain consistent
- Follow-up announced inspection to signoff compliance standards
- Request proof of compliance standards and conduct the intervention remotely
- Conduct a test purchase to measure compliance standards

### **Checks on compliance in an appropriate manner**

- Have a range of questions to probe understanding
- Check and collect evidence of noncompliance
- Make formal and informal notes of inspection
- Use relevant documents appropriate to the sector to record findings
- Always conduct dynamic risk assessment

### **Wider implications**

- Examples of having shared compliance and non-compliance with appropriate other stakeholders
- Examples of how they have applied assessment processes to other regulatory requirements, such as food hygiene

## Support compliance

### Skill

**Promote the importance of compliance** and their organisation's role in supporting compliance  
 Provide information and **guidance** that is needed by businesses and/or those they regulate  
 Provide the **tailored advice** that is needed by businesses where appropriate

### Observation of professional practice

Pass criteria	Merit criteria	<i>Distinction criteria</i>
<p><b>SC1</b> Demonstrate in their practice that they can <b>promote the importance of compliance</b> and their organisation's role in supporting compliance</p> <p><b>SC2</b> Demonstrate in their practice that they can provide information and <b>guidance</b> that is needed by businesses and/or those they regulate</p> <p><b>SC3</b> Demonstrate in their practice that they can provide the <b>tailored advice</b> that is needed by businesses where appropriate</p>	<p><b>SC4</b> Demonstrate in their practice that they can <b>promote the importance of compliance</b> and their organisation's role in supporting compliance and integrate the promotion of the importance of compliance into their practice</p> <p><b>SC5</b> Demonstrate in their practice that they can provide information and <b>guidance</b> that is needed by businesses and/or those they regulate and have integrated the provision of information and guidance into their own practice</p>	<p><b>SC7</b> <i>Demonstrate in their practice that they can <b>promote the importance of compliance</b> and their organisation's role in supporting compliance and can use a <b>variety of methods</b> to promote the importance of compliance within their own practice</i></p> <p><b>SC8</b> <i>Demonstrate in their practice that they can provide information and <b>guidance</b> that is needed by businesses and/or those they regulate and use a <b>broader range of sources and methods</b> including, for example, signposting to other regulators</i></p>

	<p><b>SC6</b> Demonstrate in their practice that they can provide the <b>tailored advice</b> that is needed by businesses where appropriate and have developed the specificity, timeliness and appropriateness of the advice</p>	<p><i><b>SC9</b> Demonstrate in their practice that they can provide the <b>tailored advice</b> that is needed by businesses where appropriate and communicate the rationale, potential outcomes and consequences of following the advice</i></p>
<b>Amplification and guidance</b>		
<p><b>Promoting the importance of compliance</b></p> <ul style="list-style-type: none"> <li>• Highlight the hazards and likelihood of risks causing damage to employees, the general public and the environment</li> <li>• Share details of when non-compliance has resulted in a serious breach to demonstrate the seriousness</li> <li>• The consequences of failing to comply and the associated costs</li> <li>• The effects on the environment</li> </ul> <p><b>Guidance</b></p> <ul style="list-style-type: none"> <li>• Leaflets</li> <li>• Letters</li> <li>• Video links</li> <li>• Advice and support</li> <li>• Signposting</li> <li>• Sector training initiatives</li> <li>• Forums</li> <li>• Regulators websites</li> <li>• Business companion</li> </ul> <p><b>Tailored advice</b></p> <ul style="list-style-type: none"> <li>• Specific</li> <li>• Timely</li> </ul>		



- Appropriate

**Variety of methods**

- Examples of materials or mediums should be used to explain and demonstrate the importance of legislation

**Broader range of sources and methods**

- Examples of those covered above, including refocusing other regulators and sources, such as business grants
- Assured advice and guidance

## Respond to non-compliance

### Skill

Communicate effectively with businesses that have failed to comply  
 Work with partner organisations to support proportionate, risk based responses to non-compliance  
 Conduct thorough investigations of non-compliance and allegations of non-compliance  
 Take actions to deal with non-compliance using a wide range of interventions including advice and guidance, formal letters and notices.  
 Where necessary impose sanctions  
 Provide appropriate support for those adversely affected by non-compliance

### Observation of professional practice

Pass criteria	Merit criteria	<i>Distinction criteria</i>
<p><b>NC1</b> Demonstrate in their practice that they can <b>plan</b> and deliver compliance support services in line with business expectation</p> <p><b>NC2</b> Demonstrate in their practice that they can take <b>appropriate actions</b> to deal with non-compliance using a wide range of interventions</p>	<p><b>NC3</b> Demonstrate in their practice that they can <b>plan</b> and deliver compliance support services in line with business expectation and have developed the specificity, timeliness and <b>appropriateness of their communication</b> with businesses that have failed to comply</p> <p><b>NC4*</b> Demonstrate in their practice that they can <b>plan</b> and deliver take <b>appropriate actions</b> to deal with non-compliance using a wide range of interventions and have developed their practice within their own role as a consequence</p>	<p><b>NC4*</b> <i>Demonstrate in their practice that they can <b>plan</b> and deliver take <b>appropriate actions</b> to deal with non-compliance using a wide range of interventions and have developed their practice within their own role as a consequence</i></p> <p><b>NC5</b> <i>Demonstrate in their practice that they can <b>plan</b> 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></p>

Viva (interview and professional discussion) based on evidence provided in a work-based portfolio		
Pass criteria	Merit criteria	Distinction criteria
<p><b>NC6</b> Can demonstrate how they work with partner organisations to support proportionate, risk-based responses to non-compliance</p> <p><b>NC7</b> Can demonstrate how they would conduct thorough investigations of non-compliance and allegations of non-compliance</p> <p><b>NC8</b> Can demonstrate how they would provide appropriate support for those adversely affected by non-compliance</p>	<p><b>NC9</b> Can demonstrate with relevant examples how they work with partner organisations to support proportionate, risk-based responses to non-compliance</p> <p><b>NC10</b> Can demonstrate with relevant examples how they would conduct thorough investigations of non-compliance and allegations of non-compliance</p> <p><b>NC11</b> Can demonstrate with relevant examples how they would provide appropriate support for those adversely affected by non-compliance</p>	<p><b>NC12</b> 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</p> <p><b>NC13</b> 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</p> <p><b>NC14</b> 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</p>
Amplification and guidance		
<p><b>NC4*</b> - please note, this criterion transcends the merit and distinction grade boundaries, therefore, if achieved, this will be marked as a merit <b>and</b> distinction so the final grade for the observation can be calculated accurately. The criterion itself will only need to be achieved once.</p> <p><b>Plan</b></p> <ul style="list-style-type: none"> <li>• Example of pre-intervention planning:</li> </ul>		

- evidential requirements to ensure options available if there is serious non-compliance

#### **Appropriate actions**

- Range of options available depending on the level or severity of the non-compliance:
  - preserve the evidence
  - use authorised powers of enforcement direct from the sector's legislation
  - when to caution/seize records
  - a checklist of options taken given the wide range of non-compliance
  - share non-compliance with the appropriate partner organisations
  - specify the timeline of actions to address non-compliance

#### **Appropriateness of their communication**

- Options taken given the range of non-compliance, such as when to interview
- Clear communication and collaboration with businesses that have specific requirements to achieve the correct compliance levels
- Share contact information and ensure the availability to provide ongoing support and guidance

## Effective decision making

### Skill

Having sound judgement. This includes making **decisions** about the relevance, quality and accuracy of the **information available** and using and sharing it appropriately

### Observation of professional practice

Pass criteria	Merit criteria	<i>Distinction criteria</i>
<b>DM1</b> Demonstrate in their practice that they can make sound <b>decisions</b> based on effective appraisal of the <b>information available</b>	<b>DM2</b> Demonstrate in their practice that they can make sound <b>decisions</b> based on effective appraisal of the <b>information available</b> and have developed their practice within their own role as a consequence	<b>DM3</b> <i>Demonstrate in their practice that they can make sound <b>decisions</b> based on effective appraisal of the <b>information available</b> compliance and have developed their appreciation of the consequences of their decision making</i>

### Amplification and guidance

#### Decisions

- Made based on available info, such as questioning the reliability of the intelligence source
- Based on the research of all digital enquiries or the regulation of online markets
- Consultation with your own sector regulators to ensure that decisions are consistent with similar examples of non-compliance
- Ensuring colleagues are fully aware of the legislation and the powers to take decisions and take enforcement action

#### Information available

- Effective use of working with partner organisations and storing and sharing data and intelligence
- Effective use of information about the business and business environment or economic sector
- Effective use of checklists or other processes to gather data from inspections, investigations, sampling and complaints
- Effective organisation and prioritisation of work
- Effective use of consultation with businesses:

- help to work out the most effective way of delivering information, guidance and advice

<b>Evaluate</b>		
<b>Skill</b>		
<b>Monitor</b> and <b>report</b> on their activities and performance		
<b>Evaluate</b> their activities in relation to their regulatory objectives and their organisation’s strategic priorities		
<b>Viva (interview and professional discussion) based on evidence provided in a work-based portfolio</b>		
Pass criteria	Merit criteria	Distinction criteria
<p><b>EV1</b> Can demonstrate how they would <b>monitor</b> and <b>report</b> on their activities and performance</p> <p><b>EV2</b> Can demonstrate how they would <b>evaluate</b> their activities in relation to their regulatory objectives and their organisation’s strategic priorities</p>	<p><b>EV3</b> Can demonstrate with relevant examples how they would <b>monitor</b> and <b>report</b> on their activities and performance</p> <p><b>EV4</b> Can demonstrate with relevant examples how they would <b>evaluate</b> their activities in relation to their regulatory objectives and their organisation’s strategic priorities</p>	<p><i><b>EV5</b> Can demonstrate how they would <b>monitor</b> and <b>report</b> on their activities and performance, and show how they would apply this skill in other regulatory environments</i></p> <p><i><b>EV6</b> Can demonstrate how they would <b>evaluate</b> 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></p>
<b>Amplification and guidance</b>		
<p><b>Monitor</b></p> <ul style="list-style-type: none"> <li>• Continually monitor case management files using internal databases</li> <li>• Maximise workload tools to monitor activities using tools, such as Microsoft Calendar, to-do lists and spreadsheets</li> </ul>		

- Develop red, amber and green (RAG) system flags to identify and prioritise workload activities and ensure key milestones are achieved

#### **Report**

- Provide regular updates at team meetings on progress and performance against regulatory objectives
- Demonstrate statistical data to highlight ongoing performance of interventions and activity
- Update line managers on the progress of all interventions and actions ongoing at regular performance review meetings

#### **Evaluate**

- Look for opportunities to gain feedback on performance, using all resources to include the line manager, team and businesses
- Maximise any internal systems to gain feedback from the general public or businesses on the interventions delivered
- Use other partner organisations to gain feedback on any joint interventions
- Use an annual formal appraisal to gain accurate feedback against regulatory objectives

## IT and digital

### Skill

Use IT systems to manage, share and store information in accordance with data protection requirements where appropriate  
 Use digital technologies to communicate with and support partner organisations and regulated entities  
 Use digital competencies to support the regulation of online markets

### Observation of professional practice

Pass criteria	Merit criteria	<i>Distinction criteria</i>
<p><b>IT1</b> Demonstrate in their practice that they can <b>use IT systems</b> to manage, share and store information in accordance with data protection requirements where appropriate</p> <p><b>IT2</b> Demonstrate in their practice that they can <b>use digital technologies to communicate</b> with and support partner organisations and regulated entities</p> <p><b>IT3</b> Demonstrate in their practice that they can use <b>digital competencies to support the regulation of online markets</b></p>	<p><b>IT4</b> Demonstrate in their practice that they can <b>use IT systems</b> 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><b>IT5</b> Demonstrate in their practice that they can <b>use digital technologies to communicate</b> with and support partner organisations and regulated entities and have developed their understanding of the merits of different types of communication</p> <p><b>IT6</b> Demonstrate in their practice that they can <b>use digital competencies to support the regulation of online markets</b> and have developed their understanding of different modes of regulation for on-line markets</p>	<p><i><b>IT7</b> Demonstrate in their practice that they can <b>use IT systems</b> 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></p> <p><i><b>IT8</b> Demonstrate in their practice that they can <b>use digital technologies to communicate</b> 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></p>



		<p><i>IT9 Demonstrate in their practice that they can <b>use digital competencies to support the regulation of online markets</b> and develop a variety of digital competences to optimally regulate digital markets</i></p>
<b>Amplification and guidance</b>		
<p><b>Use IT systems</b></p> <ul style="list-style-type: none"> <li>• Keeping the company’s database up to date, for example, updating inspection reports, notices, prosecutions or sanctions</li> <li>• Using case management file systems to record and share information about businesses and their compliance/non-compliance where there is agreement</li> <li>• Understanding any shared network/database that can be used to ensure a joined-up approach to compliance activities, such as combined inspections</li> <li>• Maximising the use of other partner organisation databases, such as HMRC or Companies House</li> <li>• Understanding of when and how the GDPR applies</li> </ul> <p><b>Use digital technologies to communicate</b></p> <ul style="list-style-type: none"> <li>• Keeping own website up to date with information about new regulations or recent problems</li> <li>• Signposting businesses to other agencies or websites where advice and guidance can be found for their sector</li> <li>• Using digital technologies to communicate about regulations and their organisation’s regulatory activities, such as service standards or projects</li> <li>• Safeguard any personal information, either digital or hard copies, by using robust procedures to store and share data</li> <li>• Strictly follow procedures for sharing information digitally and inform the relevant team if there are any breaches</li> </ul> <p><b>Digital competencies to support the regulation of online markets</b></p> <ul style="list-style-type: none"> <li>• The difference and difficulties of regulating businesses online</li> <li>• The difference and difficulties of test purchasing from online businesses</li> <li>• The difference and difficulties of inspecting goods or services by social media</li> </ul>		

- The criminal and civil laws that are applied to online markets
- Research sectors and other regulatory organisation that regulate online markets
- The procedures and processes that the organisation has in place for regulatory activities
- The implications of reviewing social media to monitor the regulation of online markets

## Collaboration

### Behaviour

Working **collaboratively** and building professional relationships with colleagues and partner organisations

**Viva (interview and professional discussion) based on evidence provided in a work-based portfolio**

Pass criteria	Merit criteria	<i>Distinction criteria</i>
<p><b>C1</b> Can demonstrate how they have worked <b>collaboratively</b> and built professional relationships with colleagues and partner organisations</p>	<p><b>C2</b> Can demonstrate how they have worked <b>collaboratively</b> and built professional relationships with colleagues and partner organisations and describe the <b>benefits</b></p>	<p><b>C3</b> Can demonstrate how they have worked <b>collaboratively</b> and built professional relationships with colleagues and partner organisations and describe how the <b>benefits</b> could be achieved in other regulatory environments</p>

### Amplification and guidance

#### Collaboratively

- Build a strong network with partner organisations through the use of all forms of communication
- Actively seek to build strong relationships with businesses to develop trust and openness
- Take part in joint partner organisation interventions to increase skills and build a contact network
- Plan appropriate meetings with key partner organisations to share data and intelligence and build professional relationships
- During the apprenticeship, maximise ‘rotations’ in various departments to build professional internal relationships

#### Benefits

- Professional network to call on for advice, guidance and support when required
- Further improve personal development in other regulatory sectors and departments
- Acquire and share valuable intelligence and data to support interventions and improve regulatory compliance
- Work in partnership on joint interventions to maximise powers to take enforcement action

- Share non-compliance that is not in the company's own regulatory framework with partner organisations when completing interventions

## Delivery at pace

### Behaviour

**Delivering at pace**, working to agreed goals and activities, responding to challenges constructively, for example managing time well and thinking positively

### Observation of professional practice

Pass criteria	Merit criteria	Distinction criteria
<b>DP1</b> Demonstrate in their practice that they plan and deliver compliance support services in line with business expectation	<b>DP2</b> 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	<b>DP3</b> 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

### Amplification and guidance

#### Delivering at pace

- Maximise the planning and organisation of activities by using digital resources effectively
- Maintain robust case management files for others to use if priorities change to enable quick response
- Extensively use risk assessments to target and prioritise non-compliance and only use time and resources to the optimum
- Always be proactively prepared to deal with the unexpected by having robust systems in place
- Be confident in providing guidance, support, signposting and sharing materials to aid businesses
- Keep up to date with changes to regulations to enable proactive approach to implementing them into businesses

## Quality service delivery

### Behaviour

Delivering a **quality service** by having a **customer focussed mind set**

**Viva (interview and professional discussion) based on evidence provided in a work-based portfolio**

Pass criteria	Merit criteria	<i>Distinction criteria</i>
<p><b>QS1</b> Can demonstrate how they have delivered a <b>quality service</b> by having a <b>customer focussed mind set</b></p>	<p><b>QS2</b> Can demonstrate how they have delivered a <b>quality service</b> by having a <b>customer focussed mind set</b> and describe the <b>benefits</b></p>	<p><b>QS3</b> Can demonstrate how they have delivered a <b>quality service</b> by having a <b>customer focussed mind set</b> and describe how the <b>benefits</b> could be achieved in other regulatory environments</p>

### Amplification and guidance

#### Quality service

- Exceeding expectations by delivering an exceptional customer experience by:
  - providing timely advice, guidance and support
  - spending quality time with a business
  - building a professional relationship and influencing the business to make contact if further support is required
- Being proportionate to ensure that investment in quality service delivers improved compliance
- Looking for opportunities that may require additional support and educating people, such as new businesses, on the benefits of delivering high standards of compliance

#### Customer focussed mind set

- Providing a consistent service that is in the interests of the general public
- An improved appreciation that the regulator role includes guidance and support, not always enforcement action
- Building stronger ongoing relationships with businesses

- To consider the bigger picture of building the economy by supporting businesses to be compliant and successful

**Benefits**

- Helps to build good relationships with businesses
- Provides a positive experience of a regulatory intervention
- Helps to grow and deliver higher standards of compliance
- Encourages businesses to make contact if they have a concern or query

## Leadership and communication

### Behaviour

**Leading by example.** This includes being even-handed, supportive, and not letting personal opinions override business needs, and communicating professionally, openly and honestly

### Viva (interview and professional discussion) based on evidence provided in a work-based portfolio

Pass criteria	Merit criteria	<i>Distinction criteria</i>
<b>LC1</b> Can demonstrate how they have led by example	<b>LC2</b> Can demonstrate how they have led by example and describe the <b>benefits</b>	<b>LC3</b> Can demonstrate how they have led by example and describe how the <b>benefits</b> could be achieved in other regulatory environments

### Amplification and guidance

#### Leading by example

- Having a specific skill or area of knowledge that others require them to lead and support on
- Being responsible for managing a specific task or project that others will need them to lead and support on
- Being consistent in all interventions
- Demonstrating the core values of the regulatory sector and being a brand ambassador

#### Benefits

- Maintains a culture of high standards of performance
- Seen as professional and committed to delivering regulatory compliance
- Helps to build stronger working relationships
- Develops confidence of others in your own performance

## Change and improvement

### Behaviour

Being open to change. This includes being creative in supporting continuous improvement or changes to systems or processes

### Viva (interview and professional discussion) based on evidence provided in a work-based portfolio

Pass criteria	Merit criteria	<i>Distinction criteria</i>
<b>CI1</b> Can demonstrate how they have been <b>creative and open to change</b>	<b>CI2</b> Can demonstrate how they have been <b>creative and open to change</b> and describe the <b>benefits</b>	<b>CI3</b> Can demonstrate how they have been <b>creative and open to change</b> and describe how the <b>benefits</b> could be achieved in other regulatory environments

### Amplification and guidance

#### **Creative and open to change**

- Provide examples of when circumstances have changed in their working environment and how they have creatively handled the change, such as:
  - adapted to a new software solution
  - worked through changes to legislation and regulations
  - developed into a new position in regulatory compliance
  - adapted to working remotely with less contact from the team

#### **Benefits**

- Develops skills and behaviours to adapt in new situations
- Encourages a 'learning by doing' culture
- Improves awareness of personal development requirements
- Improves flexibility in the preferred learning style

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## Assessment summary

The end-point assessment for the Regulatory Compliance Officer apprenticeship standard is made up of 3 components:

1. 90-minute knowledge exam consisting of 50 questions. 40 multiple-choice questions worth 1 mark each and 10 short-answer questions worth 2 marks each (60 marks in total).
2. 120-minute observation of professional practice.
3. 35-minute viva (interview and professional discussion) based on evidence provided in a work-based portfolio.

As an employer/training provider, you should agree a plan and schedule with the apprentice to ensure all assessment components can be completed effectively.

Each component of the end-point assessment will be assessed against the appropriate criteria laid out in this kit.

### Knowledge exam

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All assessment methods are weighted equally.

- To achieve a **pass**, apprentices must score at least 36 out of 60
- To achieve a **merit**, apprentices must score at least 42 out of 60
- To achieve a **distinction**, apprentices must score at least 48 out of 60
- **Unsuccessful** apprentices will have scored 35 or below

The test may be delivered online or be paper-based and should be in a controlled environment.

### Observation of professional practice

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All assessment methods are weight equally. Apprentices will be graded against the pass, merit and distinction criteria outlined in this kit.

- To achieve a **pass** in the observation, all pass criteria must be met
- To achieve a **merit** in the observation, all pass **and** at least 15 merit criteria must be met
- To achieve a **distinction** in the observation, all pass **and** at least 17 distinction criteria must be met
- **Unsuccessful** apprentices will not have achieved all of the pass criteria

The observation will be conducted in the apprentice's normal place of work.

## Viva (interview and professional discussion) based on evidence provided in a work-based portfolio

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All assessment methods are weighted equally. Apprentices will be marked against the pass, merit and distinction criteria outlined in this kit.

- To achieve a **pass** in the viva, all pass criteria must be met
- To achieve a **merit** in the viva, all pass **and** at least 22 merit criteria must be met
- To achieve a **distinction** in the viva, all pass **and** at least 25 distinction criteria must be met
- **Unsuccessful** apprentices will not have achieved all of the pass criteria

The Viva may be conducted using technology, such as a video link, as long as fair assessment conditions can be maintained.

## Grading

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The apprenticeship includes pass, merit and distinction grades, with the final grade based on the apprentice's combined performance in each assessment method.

To achieve a pass, the apprentice is required to pass each of the 3 assessment methods.

To achieve a distinction, the apprentice must achieve a distinction in the knowledge exam and the observation and a minimum grade of a merit in the viva.

The overall grade for the apprentice is determined using the matrix below:

Knowledge exam	Observation	Viva	Overall grade awarded
Fail <b>any</b> of the 3 assessment methods			<b>Fail</b>
Minimum grade of a pass	Minimum grade of a pass	Minimum grade of a pass	<b>Pass</b>
Minimum grade of a merit	Minimum grade of a merit	Minimum grade of a pass	<b>Merit</b>
Distinction	Distinction	Minimum grade of a merit	<b>Distinction</b>

## Retake and resit information

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Should the apprentice fail any components they are required to retake only those components which they have previously failed.

If an apprentice fails an end-point assessment method, the apprentice will require a period of further learning and will need to complete a retake checklist. Once this is completed, please call the Highfield scheduling team to arrange the retake.

When undertaking a retake, the assessment method(s) will need to be reattempted in full, regardless of any individual assessment criteria that were passed on any prior attempt. The EPA Report will contain feedback on areas for development and resit or retake guidance.

Apprentices who achieve a pass grade cannot retake the EPA to achieve a higher grade.

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## Assessing the knowledge exam

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The following knowledge areas of the Regulatory Compliance Officer standard will be assessed by a **90-minute** knowledge exam consisting of **50 questions: 40 multiple-choice questions** worth 1 mark each and **10 short answer questions** worth 2 marks each (**60 marks** in total). The pass mark is **36 out of 60 (60%)**, the **merit** mark is **42 out of 60 (70%)** and the **distinction** mark is **48 out of 60 (80%)**.

The topics covered within the core knowledge test are listed below.

- Regulation
- Risk assessment
- Business stakeholders and their compliance needs

Apprentices will take the test in a controlled environment that is a quiet space, free of distractions and influence in the presence of an invigilator. The invigilator may be the independent assessor or another external person employed by Highfield or a Highfield remote invigilator. The test will be invigilated in line with the Highfield Invigilation policy.

### Before the assessment

- While on programme, the employer/training provider should brief the apprentice on the areas to be assessed by the exam
- In readiness for end-point assessment, the apprentice should complete a mock test, which is available to download from the Highfield Assessment website

## Knowledge exam criteria

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### Regulation

- R1** Explain the role of regulation as a tool of Government
- R2** Describe the legal frameworks and powers relevant to their role
- R3** Explain the law and where it applies to businesses' customers
- R4** Describe the legislation relevant to their regulatory function(s)
- R5** Explain the role and responsibilities of partner organisations and their interrelationships
- R6** Explain the architecture of regulatory frameworks and their role within it

### Risk assessment

- RA1** Explain how to use risk assessment to support compliance

### Business stakeholders and their compliance needs

- BS1** Describe the business environment they interact with
- BS2** Describe how regulation and the way it is enforced can impact on the businesses regulated
- BS3** Describe the factors that affect business approaches to compliance
- BS4** Understand the need to provide compliance support to businesses they work with

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## Assessing the observation of professional practice

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The observation of professional practice will last **120 minutes** and will be based on a simulated activity. This will be pre-planned and scheduled at a time suitable for the apprentice, employer and end-point assessor. The end-point assessor will lead the observation of professional practice, which will enable the apprentice to evidence their skills, knowledge and behaviour from across the required standards to demonstrate genuine and demanding work objectives.

The observation will take place in a controlled environment and the apprentice will be required to undertake **6 simulated tasks** to demonstrate their abilities in undertaking an audit, from planning and preparation through to providing feedback and arranging follow-up activities.

Before the assessment, the apprentice should, with the help of their employer, select an appropriate scenario from the bank of scenarios available to download from the Highfield website.

During the end-point assessment, the assessor will provide the apprentice with the scenario and then, through a series of tasks and prompts, progress through the typical stages of an audit.

The structure of the observation of professional practice will follow the structure outlined below:

1. Plan a regulatory activity
2. Carry out regulatory activities
3. Analyse information gathered
4. Provide initial support/feedback
5. Evaluate findings and formal reporting
6. Follow up actions and deal with complaints

An example scenario is provided below, and a full mock observation brief based on this scenario is available to download from the Highfield Assessment website.

You are a regulatory compliance officer, working for the local council's food safety service. You receive a complaint from a member of the public alleging that, on numerous occasions, they have purchased food products from their local shop that were found to be out of date. They also believe that the staff at the shop have tried to alter the date on 1 of the meat products that they recently purchased.

## Before the assessment

Employers/training providers should:

- ensure the apprentice knows the date, time and location of the assessment
- brief the apprentice on the activities to be carried out and the duration of the assessment
- ensure the apprentice knows which criteria will be assessed during the observation (outlined on the following pages)
- help the apprentice to select an appropriate observation scenario for use during end-point assessment OR inform Highfield if none of the scenarios are suitable.
- encourage the apprentice to reflect on their experience and learning on-programme to understand what is required to meet the standard
- be prepared to provide clarification to the apprentice, and signpost them to relevant parts of their on-programme experience in preparation for their assessment

It is suggested that a mock assessment is carried out by the apprentice in advance of the end-point assessment with the training provider/employer giving feedback on any areas for improvement.

A full mock observation brief containing prompts and mapping to the assessment criteria is available to download from the Highfield Assessment website.

## Grading the observation of professional practice

Apprentices will be marked against the pass, merit and distinction criteria included in the tables on the following pages. Apprentices will be awarded a pass if all of the pass criteria have been met.

- To achieve a **pass**, apprentices must achieve **all** of the pass criteria
- To achieve a merit, apprentices must achieve **all** of the pass criteria and **at least 15** of the merit criteria
- To achieve a distinction, apprentices must achieve **all** of the pass criteria and **at least 17** of the distinction criteria
- **Unsuccessful** apprentices will have **not** achieved **all** of the pass criteria

There are 2 criteria within the observation that transcend grade boundaries. DS3 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.

NC4 transcends the merit and distinction 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.

Each of these criteria will only need to be achieved once to be marked across the grade boundaries mentioned above.

## **Observation of professional practice mock assessment**

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It is the employer/training provider's responsibility to prepare apprentices for their end-point assessment. Highfield recommends that the apprentice experiences a mock observation of professional practice in advance of the end-point assessment, with the training provider/employer giving feedback on any areas for improvement.

In designing a mock assessment, the employer/training provider should include the following elements in its planning:

- the mock observation of professional practice should take place in a suitable location.
- a 120-minute time slot should be available for the observation of professional practice, if it is intended to be a complete mock observation of professional practice covering all relevant standards (outlined in the following pages). However, this time may be split up to allow for progressive learning.
- consider a video or audio recording of the mock observation of professional practice and allow it to be available to other apprentices, especially if it is not practicable for the employer/training provider to carry out a separate mock observation of professional practice with each apprentice.
- ensure that the apprentice's performance is assessed by a competent trainer/assessor, and that feedback is shared with the apprentice to complete the learning experience. Mock assessment sheets are available to download from the Highfield Assessment website and may be used for this purpose.

A full mock observation brief containing prompts and mapping to the assessment criteria is available to download from the Highfield Assessment website.



## Observation of professional practice criteria

Throughout the **120-minute** observation of professional practice, the assessor will review the apprentice's competence in the criteria outlined below.

Apprentices should prepare for the observation of professional practice by considering how the criteria can be met.

Evaluation
<b>To pass, the following must be evidenced</b>
<b>E1</b> Demonstrate in their practice how they gather and utilise feedback from stakeholders
<b>To gain a merit, the following must be evidenced</b>
<b>E2</b> 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
<b>To gain a distinction, the following must be evidenced</b>
<b>E3</b> Demonstrate in their practice how they gather and utilise feedback from stakeholders. Implications of feedback are understood and predicted

Deliver a service
<b>To pass, the following must be evidenced</b>
<b>DS1</b> Demonstrate in their practice that they can plan and deliver compliance support services in line with business expectation
<b>DS2</b> Demonstrate in their practice that they can carry out activities in line with their organisation's regulatory outcomes
<b>DS3*</b> Demonstrate in their practice that they can work within the organisation's policies and procedures and the law ( <b>NB failure to demonstrate compliance will result in a failure of the End-point Assessment</b> )
<b>To gain a merit, the following must be evidenced</b>
<b>DS3*</b> Demonstrate in their practice that they can work within the organisation's policies and procedures and the law ( <b>NB failure to demonstrate compliance will result in a failure of the End-point Assessment</b> )
<b>DS4</b> 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
<b>DS5</b> 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

<b><i>To gain a distinction, the following must be evidenced</i></b>
<b><i>DS3*</i></b> Demonstrate in their practice that they can work within the organisation's policies and procedures and the law <b>(NB failure to demonstrate compliance will result in a failure of the End-point Assessment)</b>
<b><i>DS6</i></b> 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
<b><i>DS7</i></b> 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

***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.

<b>Risk assess</b>
<b>To pass, the following must be evidenced</b>
<b>RA5</b> Demonstrate in their practice that they can assess regulatory risks and use risk assessment
<b>To gain a merit, the following must be evidenced</b>
<b>RA6</b> Demonstrate in their practice that they can assess regulatory risks and use risk assessment. Analyse the risks identified and suggest appropriate actions or mitigation
<b>To gain a distinction, the following must be evidenced</b>
<b>RA7</b> 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

Collect and analyse data
<b>To pass, the following must be evidenced</b>
<b>CA1</b> Demonstrate in their practice that they can gather, analyse, use and share data to inform risk assessment
<b>To gain a merit, the following must be evidenced</b>
<b>CA2</b> 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
<b>To gain a distinction, the following must be evidenced</b>
<b>CA3</b> <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>

Plan their activities
<b>To pass, the following must be evidenced</b>
<b>PA1</b> Demonstrate in their practice that they can plan their compliance support activities so as to deliver their responsibilities efficiently
<b>To gain a merit, the following must be evidenced</b>
<b>PA2</b> 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
<b>To gain a distinction, the following must be evidenced</b>
<b>PA3</b> <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

### To pass, the following must be evidenced

**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

### To gain a merit, the following must be evidenced

**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

### To gain a distinction, the following must be evidenced

**CC9** *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*

**CC10** *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*

**CC11** *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*

**CC12** *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*

Support compliance
<b>To pass, the following must be evidenced</b>
<p><b>SC1</b> Demonstrate in their practice that they can promote the importance of compliance and their organisation’s role in supporting compliance</p> <p><b>SC2</b> Demonstrate in their practice that they can provide information and guidance that is needed by businesses and/or those they regulate</p> <p><b>SC3</b> Demonstrate in their practice that they can provide the tailored advice that is needed by businesses where appropriate</p>
<b>To gain a merit, the following must be evidenced</b>
<p><b>SC4</b> 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</p> <p><b>SC5</b> 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</p> <p><b>SC6</b> 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</p>
<b>To gain a distinction, the following must be evidenced</b>
<p><b>SC7</b> <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></p> <p><b>SC8</b> <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></p> <p><b>SC9</b> <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></p>

Respond to non-compliance
<b>To pass, the following must be evidenced</b>
<b>NC1</b> Demonstrate in their practice that they can plan and deliver compliance support services in line with business expectation
<b>NC2</b> Demonstrate in their practice that they can take appropriate actions to deal with non-compliance using a wide range of interventions
<b>To gain a merit, the following must be evidenced</b>
<b>NC3</b> 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
<b>NC4*</b> 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
<b>To gain a distinction, the following must be evidenced</b>
<b>NC4*</b> <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>
<b>NC5</b> <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\*** - 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
<b>To pass, the following must be evidenced</b>
<b>DM1</b> Demonstrate in their practice that they can make sound decisions based on effective appraisal of the information available
<b>To gain a merit, the following must be evidenced</b>
<b>DM2</b> 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
<b>To gain a distinction, the following must be evidenced</b>
<b>DM3</b> <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

### To pass, the following must be evidenced

**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

### To gain a merit, the following must be evidenced

**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

### To gain a distinction, the following must be evidenced

**IT7** *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*

**IT8** *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*

**IT9** *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*

Delivery at pace
<b>To pass, the following must be evidenced</b>
<b>DP1</b> Demonstrate in their practice that they plan and deliver compliance support services in line with business expectation
<b>To gain a merit, the following must be evidenced</b>
<b>DP2</b> 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
<b><i>To gain a distinction, the following must be evidenced</i></b>
<b><i>DP3</i></b> 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

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## Assessing the Viva (interview and professional discussion) based on evidence provided in a work-based portfolio

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The end-point assessment plan states that the Viva will be a structured discussion between the apprentice and the end-point assessor.

The Viva will need to take place in a suitable environment and should last for **35 minutes**. The discussion will be against the set criteria that are outlined in the following pages and it will be appropriately structured to draw out the best of the apprentice's energy, enthusiasm, competence and excellence.

### Work-based portfolio

In preparation for the Viva, the apprentice must collect evidence for a portfolio of evidence during the completion of their on-programme training and development. The evidence contained within the portfolio must include reflective accounts completed by the apprentice, which demonstrate their learning and application of technical knowledge in practice, core regulatory competencies and their values and behaviours.

At least one component of the work-based portfolio should include a work-based project specific to the technical regulatory field in which the apprentice works, which showcases their abilities to embed core regulatory competencies and technical regulatory specialisms in their engagement and interactions with regulated entities.

Examples of projects, which should be **2,000 words (+/- 10%)**, include the following topics:

- the use of risk assessment as a tool to support compliance
- how the organisation can work effectively with other organisations to promote and support compliance
- the production of advice and guidance to support compliance for business

The report must be accompanied by the written submission sheet, which is available to download from the Highfield Assessment website.

Assessors will be given access to the portfolio and project in advance to assess these documents before the viva, where questions prepared prior to the viva will be asked to fill gaps not covered by evidence in the portfolio.

### Before the assessment:

Employers/training providers should:

- review the apprentice's portfolio to ensure the evidence included provides sufficient coverage of the relevant standards
- ensure the apprentice knows the date, time and location of the assessment
- ensure the apprentice knows which criteria will be assessed (outlined on the following pages)
- encourage the apprentice to reflect on their experience and learning on-programme to understand what is required to meet the standard
- be prepared to provide clarification to the apprentice and signpost them to relevant parts of their on-programme experience as preparation for this assessment

### **Grading the Viva (interview and professional discussion) based on evidence provided in a work-based portfolio**

Apprentices will be marked against the pass and distinction criteria included in the tables on the following pages (under 'Viva (interview and professional discussion) based on evidence provided in a work-based portfolio criteria').

- To achieve a **pass** in the viva, all pass criteria must be met
- To achieve a **merit** in the viva, all pass **and** at least 22 merit criteria must be met
- To achieve a **distinction** in the viva, all pass **and** at least 25 distinction criteria must be met
- **Unsuccessful** apprentices will not have achieved all of the pass criteria

## **Viva (interview and professional discussion) based on evidence provided in a work-based portfolio mock assessment**

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It is the employer/training provider's responsibility to prepare apprentices for their end-point assessment. Highfield recommends that the apprentice experiences a mock Viva in preparation for the real thing. The most appropriate form of mock Viva will depend on the apprentice's setting and the resources available at the time.

In designing a mock assessment, the employer/training provider should include the following elements in its planning:

- the mock Viva should take place in a suitable location.
- a 35-minute time slot should be available to complete the Viva if it is intended to be a complete discussion covering all relevant standards. However, this time may be split up to allow for progressive learning.
- consider a video or audio recording of the mock Viva and allow it to be available to other apprentices, especially if it is not practicable for the employer/training provider to carry out a separate mock assessment with each apprentice.
- ensure that the apprentice's performance is assessed by a competent trainer/assessor, and that feedback is shared with the apprentice to complete the learning experience. Mock assessment sheets are available to download from the Highfield Assessment website and may be used for this purpose.
- conduct the assessment based on themes to allow a holistic approach to assessment, where possible.
- use structured, 'open' questions that do not lead the apprentice but allows them to express their knowledge and experience in a calm and comfortable manner. For example:
  - regulation/business stakeholders and their compliance needs
    - Give me an overview of the regulatory framework your organisation needs to enforce, and your role within it
  - risk assessment/choose appropriate interventions/check compliance
    - Tell me about a time you have needed to make an intervention choice. How did you ensure this was a proportionate approach?
  - regulation/collaboration/business stakeholders and their compliance needs/understand businesses they work with
    - Tell me about a time when you have needed to work collaboratively with colleagues or partner organisations

## Viva (interview and professional discussion) based on evidence provided in a work-based portfolio criteria

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Throughout the **35-minute** Viva, the assessor will review the apprentice's competence in the criteria outlined below.

Apprentices should prepare for the Viva by considering how the criteria can be met.

Regulation
<b>To pass, the following must be evidenced</b>
<b>R7</b> Can explain the role of regulation as a tool of Government
<b>R8</b> Can describe the legal frameworks and powers relevant to their role
<b>R9</b> Can explain the law and where it applies to businesses' customers
<b>R10</b> Can describe the legislation relevant to their regulatory function(s)
<b>R11</b> Can explain the role and responsibilities of partner organisations and their interrelationships
<b>R12</b> Can explain the architecture of regulatory frameworks and their role within it
<b>To gain a merit, the following must be evidenced</b>
<b>R13</b> Can explain the role of regulation as a tool of Government and illustrate with relevant examples
<b>R14</b> Can describe the legal frameworks and powers relevant to their role and illustrate with relevant examples
<b>R15</b> Can explain the law and where it applies to businesses' customers and illustrate with relevant examples
<b>R16</b> Can describe the legislation relevant to their regulatory function(s) and illustrate with relevant examples
<b>R17</b> Can explain the role and responsibilities of partner organisations and their interrelationships and illustrate with relevant examples
<b>R18</b> Can explain the architecture of regulatory frameworks and their role within it and illustrate with relevant examples

<b><i>To gain a distinction, the following must be evidenced</i></b>
<b><i>R19</i></b> Can explain the role of regulation as a tool of Government and apply to the broader regulatory environment
<b><i>R20</i></b> Can describe the legal frameworks and powers relevant to their role and apply to the broader regulatory environment
<b><i>R21</i></b> Can explain the law and where it applies to businesses' customers and apply to the broader regulatory environment
<b><i>R22</i></b> Can describe the legislation relevant to their regulatory function(s) and apply to the broader regulatory environment
<b><i>R23</i></b> Can explain the role and responsibilities of partner organisations and their interrelationships and apply to the broader regulatory environment
<b><i>R24</i></b> Can explain the architecture of regulatory frameworks and their role within it and apply to the broader regulatory environment

<b>Risk assessment</b>
<b>To pass, the following must be evidenced</b>
<b>RA2</b> Can explain how to use risk assessment to support compliance
<b>To gain a merit, the following must be evidenced</b>
<b>RA3</b> Can explain how to use risk assessment to support compliance and illustrate with relevant examples
<b>To gain a distinction, the following must be evidenced</b>
<b>RA4</b> Can explain how to use risk assessment to support compliance and apply to the broader regulatory environment

## Business stakeholders and their compliance needs

### To pass, the following must be evidenced

**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

### To gain a merit, the following must be evidenced

**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

### To gain a distinction, the following must be evidenced

**BS13** *Can describe the business environment they interact with and apply to the broader regulatory environment*

**BS14** *Can describe how regulation and the way it is enforced can impact on the businesses regulated and apply to the broader regulatory environment*

**BS15** *Can describe the factors that affect business approaches to compliance and apply to the broader regulatory environment*

**BS16** *Can demonstrate understanding of the need to provide compliance support to businesses they work with and apply to the broader regulatory environment*

Understand businesses they work with
<b>To pass, the following must be evidenced</b>
<b>UB1</b> Can demonstrate how they would engage constructively with business and tailor their approach to businesses that they interact with
<b>UB2</b> Can demonstrate how they would take account of the provisions of statutory codes in order to engage effectively with businesses
<b>To gain a merit, the following must be evidenced</b>
<b>UB3</b> Can demonstrate with relevant examples how they would engage constructively with business and tailor their approach to businesses that they interact with
<b>UB4</b> Can demonstrate with relevant examples how they would take account of the provisions of statutory codes in order to engage effectively with businesses
<b>To gain a distinction, the following must be evidenced</b>
<b>UB5</b> <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>
<b>UB6</b> <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
<b>To pass, the following must be evidenced</b>
<b>PA4</b> Can demonstrate how they would work as part of a team building and maintaining good working relationships with both business and regulator stakeholders
<b>To gain a merit, the following must be evidenced</b>
<b>PA5</b> 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
<b>To gain a distinction, the following must be evidenced</b>
<b>PA6</b> <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
<b>To pass, the following must be evidenced</b>
<b>A11</b> Can demonstrate how they would make appropriate intervention choices to have the greatest impact on supporting compliance
<b>A12</b> Can demonstrate how they would take a proportionate approach to intervention choice
<b>A13</b> Can demonstrate how they would work effectively with other organisations
<b>To gain a merit, the following must be evidenced</b>
<b>A14</b> Can demonstrate with relevant examples how they would make appropriate intervention choices to have the greatest impact on supporting compliance
<b>A15</b> Can demonstrate with relevant examples how they would take a proportionate approach to intervention choice
<b>A16</b> Can demonstrate with relevant examples how they would work effectively with other organisations
<b>To gain a distinction, the following must be evidenced</b>
<b>A17</b> <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>
<b>A18</b> <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>
<b>A19</b> <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

### To pass, the following must be evidenced

**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

### To gain a merit, the following must be evidenced

**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

### To gain a distinction, the following must be evidenced

**CC23** *Can demonstrate how they would prepare appropriately for checks on compliance, and show how they would apply this skill in other regulatory environments*

**CC24** *Can demonstrate how they would conduct interventions in a proportionate manner, and show how they would apply this skill in other regulatory environments*

**CC25** *Can demonstrate how they would be responsive to the circumstances encountered, and show how they would apply this skill in other regulatory environments*

**CC26** *Can demonstrate how they would make informed assessments of compliance and risk, and show how they would apply this skill in other regulatory environment*

### Check compliance

#### ***To gain a distinction, the following must be evidenced***

**CC27** 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

### Respond to non-compliance

#### **To pass, the following must be evidenced**

**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

#### **To gain a merit, the following must be evidenced**

**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

#### ***To gain a distinction, the following must be evidenced***

**NC12** *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*

**NC13** *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*

**NC14** *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*

Evaluate
<b>To pass, the following must be evidenced</b>
<b>EV1</b> Can demonstrate how they would monitor and report on their activities and performance
<b>EV2</b> Can demonstrate how they would evaluate their activities in relation to their regulatory objectives and their organisation's strategic priorities
<b>To gain a merit, the following must be evidenced</b>
<b>EV3</b> Can demonstrate with relevant examples how they would monitor and report on their activities and performance
<b>EV4</b> Can demonstrate with relevant examples how they would evaluate their activities in relation to their regulatory objectives and their organisation's strategic priorities
<b>To gain a distinction, the following must be evidenced</b>
<i><b>EV5</b> 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>
<i><b>EV6</b> 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
<b>To pass, the following must be evidenced</b>
<b>C1</b> Can demonstrate how they have worked collaboratively and built professional relationships with colleagues and partner organisations
<b>To gain a merit, the following must be evidenced</b>
<b>C2</b> Can demonstrate how they have worked collaboratively and built professional relationships with colleagues and partner organisations and describe the benefits
<b>To gain a distinction, the following must be evidenced</b>
<i><b>C3</b> 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
<b>To pass, the following must be evidenced</b>
<b>QS1</b> Can demonstrate how they have delivered a quality service by having a customer focussed mind set
<b>To gain a merit, the following must be evidenced</b>
<b>QS2</b> Can demonstrate how they have delivered a quality service by having a customer focussed mind set and describe the benefits
<b>To gain a distinction, the following must be evidenced</b>
<b>QS3</b> 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

Leadership and communication
<b>To pass, the following must be evidenced</b>
<b>LC1</b> Can demonstrate how they have led by example
<b>To gain a merit, the following must be evidenced</b>
<b>LC2</b> Can demonstrate how they have led by example and describe the benefits
<b>To gain a distinction, the following must be evidenced</b>
<b>LC3</b> Can demonstrate how they have led by example and describe how the benefits could be achieved in other regulatory environments

Change and improvement
<b>To pass, the following must be evidenced</b>
<b>CI1</b> Can demonstrate how they have been creative and open to change
<b>To gain a merit, the following must be evidenced</b>
<b>CI2</b> Can demonstrate how they have been creative and open to change and describe the benefits
<b>To gain a distinction, the following must be evidenced</b>
<b>CI3</b> Can demonstrate how they have been creative and open to change and describe how the benefits could be achieved in other regulatory environments

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