

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

End-Point Assessment Kit



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EPA-Kit

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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 independent end-point assessment organisation that has been approved to offer and carry out the independent end-point assessments for the Level 4 Regulatory Compliance Officer Apprenticeship Standard. Highfield internally quality assure all end-point assessments in accordance with its IQA process, additionally all end-point assessments are externally quality assured by the relevant EQA organisation.

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 as a starting point.

## Key facts

<b>Apprenticeship standard:</b>	Regulatory compliance officer
<b>Level:</b>	4
<b>On programme duration:</b>	Typically 18-24 months
<b>Grading:</b>	Pass/merit/distinction
<b>End-point assessment methods:</b>	Knowledge exam, observation of professional practice, viva (interview and professional discussion) based on work-based portfolio

## In this kit, you will find:

- an overview of the standard and any on-programme requirements
- a section focused on delivery, where the standard and assessment criteria are presented in a suggested format that is suitable for delivery
- 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 services 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 e.g. 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. These might typically include:

- 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.

### Portfolio of evidence

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 required to undertake the role of regulatory compliance officer in public, private and voluntary sector settings.

This will include:

- logbooks of work undertaken
- performance review records
- evidence of competences and occupational tasks being completed successfully
- a 2000-word work-based project

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 one 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 2000 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.

<b>Title page</b>	<b>Work project report title</b> <b>Apprentice name</b> <b>Date of birth</b> <b>Employer</b> <b>Word count</b> <b>Submission date</b>
<b>Executive summary</b>	<b>Overview of the work-based project</b> <i>(this should follow the basic principle of the what, the why, the how and the desired result. It is where you should provide a brief summary of what the work project is about)</i>  <b>Findings</b> <i>(a brief summary of the main outcomes and/or results vs your expectations. What you did and what you found.)</i>  <b>Recommendations</b> <i>(a brief summary of what to do next – the next steps i.e. continuous Improvement, reflect/evaluate what went well/wrong, what you would do different, how to implement your conclusions.)</i>
<b>Introduction</b>	<b>Aim</b> <i>(e.g. your reasoning for your proposed work project, starting point, for example following an activity risk assessment you discovered an improvement opportunity, and your expectations prior to conducting the project)</i>  <b>Background</b> <i>(e.g. any relevant information to bring context to the report)</i>  <b>Outline of theories or research</b> <i>(if applicable, i.e. following a model.)</i>

<b>Body</b>	<p><b>Headings and sub-headings that reflect the contents of each section</b></p> <p><b>Planning</b> (e.g. what was considered, what did you have to think about before deciding what to do as a result of the proposal, what data did you need access to etc.)</p> <p><b>Findings</b> (e.g. the complete data collected, the overall outcome, what was the end result, what did you find out.)</p> <p><b>Discussion of findings</b> (e.g. detailed reflection/evaluation, went as expected/unexpected, what you would do different/the same, link back to the aim of the project.)</p>
<b>Conclusion</b>	<p><b>Summary of key findings</b> (a brief summary of the main result/outcome and feedback.)</p> <p><b>Recommendations</b> (e.g. solutions, suggestions, what to do next, reflect/evaluate what went well/wrong, what you would do different, the next steps, i.e. continuous improvement, how to implement your conclusions.)</p>
<b>References</b>	<p><b>List of reference material</b></p> <p>Any work used to support the work project but was not the apprentice's work.</p>
<b>Appendix</b>	<p><b>Information to support the work project report but not essential to explanation (this is not included within the overall word count).</b></p> <p>As part of the appendix, you could include things like supporting documentation, emails, letters, meeting notes, workflow documents, diagrams and feedback.</p>

The portfolio must be accompanied by a portfolio matrix. This can be downloaded from our website. The portfolio matrix must be fully completed, including a declaration by the employer and the apprentice to confirm that the portfolio is valid and attributable to the apprentice.

The portfolio of evidence must be submitted to Highfield at gateway. It is not directly assessed but underpins the professional discussion.

## Readiness for end-point assessment

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

- the Level 2 English and maths components of the apprenticeship must be successfully completed by the apprentice.
- apprentices must compile a work-based portfolio.

- at least one component of the 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.
- the report must be accompanied by the written submission sheet, which is available to download from the Highfield Assessment website.
- the employer must be confident that the apprentice has developed all the knowledge, skills and behaviours defined in the apprenticeship standard. To ensure this, the apprentice must attend a formal meeting with their employer and tutor to complete the Gateway Readiness Report.
- The apprentice, with the support of the employer, should select an observation scenario from the bank of scenarios available on the Highfield website. If no suitable scenario is available, please contact Highfield as soon as possible to arrange for the bank to be expanded.
- 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 the 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.

If you have any queries regarding the gateway requirements, please contact your EPA Customer Engagement Manager at Highfield Assessment.

## **Use of Artificial Intelligence (AI) in the EPA**

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Where AI has been used as part of the apprentice's day-to-day work and forms part of a project report, presentation, or artefact, it should be referenced as such within the work. AI must not be used to produce the report or portfolio.

Where AI has been used as part of a portfolio that underpins an interview or professional discussion or any other assessment method, it should be fully referenced within the portfolio.

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

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

## **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.

## Documents used in developing this end-point assessment

Standard (2018)

<https://www.instituteforapprenticeships.org/apprenticeship-standards/regulatory-compliance-officer/>

End-point assessment plan (March 2020 ST0430 / AP02)

[https://www.instituteforapprenticeships.org/media/4057/st0430\\_regulatory-compliance-officer-epa\\_reviewandpublish\\_9320.pdf](https://www.instituteforapprenticeships.org/media/4057/st0430_regulatory-compliance-officer-epa_reviewandpublish_9320.pdf)

## 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 portfolio of evidence before the viva. Assessors will be given access to the portfolio and project in advance of the viva to assess the documents and prepare questions to fill gaps not covered by evidence in the portfolio.

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# Gateway

## How to prepare for gateway

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, which may include:

- recordings
- stakeholder feedback
- 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:

- achieved Level 2 English
- achieved Level 2 maths
- produced a work-based portfolio, with the accompanying portfolio matrix
- produced a 2000-word work-based project (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 throughout 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

The gateway meeting should last around an hour and must be completed on or after the apprenticeship on-programme end date. It should be attended by the apprentice and the relevant people who have worked with the apprentice on programme, such as the line manager/employer or mentor, the on-programme trainer/training provider and/or a senior manager (as appropriate to the business).

During the meeting, the apprentice, employer and training provider will discuss the apprentice's progress to date and confirm that the apprentice has met the full criteria of the apprenticeship standard during their on-programme training. 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 to initiate the end-point assessment process. If you require any support completing the Gateway Readiness Report, please contact your EPA Customer Engagement Manager at Highfield Assessment.

**Please note:** a copy of the standard should be available to all attendees during the gateway meeting.

### Reasonable adjustments and special considerations

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 need to ensure that the person undertaking an assessment is indeed the person they are claiming to be. All employers are therefore required to ensure that each apprentice has their identification with them on the day of the assessment so the end-point assessor can check.

Highfield Assessment will accept the following as proof of an apprentice's identity:

- a valid passport (any nationality)
- a signed UK photocard driving license
- a valid warrant card issued by HM forces or the police
- another photographic ID card, e.g. employee ID card, travel card, etc.

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# The Regulatory Compliance Officer Apprenticeship Standard

The following pages contain the regulatory compliance officer apprenticeship standard and the assessment criteria in a format that is suitable for delivery.

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

Viva (interview and professional discussion) based on evidence provided in a work-based portfolio		
To pass, the following must be evidenced	To gain a merit	To gain a distinction
<p><b>R1</b> Explain the role of regulation as a tool of Government</p> <p><b>R2</b> Describe the <b>legal frameworks</b> and powers relevant to their role</p> <p><b>R3</b> Explain the law and where it applies to businesses' customers</p> <p><b>R4</b> Describe the legislation relevant to their regulatory function(s)</p> <p><b>R5</b> Explain the role and responsibilities of partner organisations and their interrelationships</p> <p><b>R6</b> Explain the architecture of regulatory frameworks and their role within it</p>	<p><b>R7</b> Explain the role of regulation as a tool of Government and illustrate with relevant examples</p> <p><b>R8</b> Describe the legal frameworks and powers relevant to their role and illustrate with relevant examples</p> <p><b>R9</b> Explain the law and where it applies to businesses' customers and illustrate with relevant examples</p> <p><b>R10</b> Describe the legislation relevant to their regulatory function(s) and illustrate with relevant examples</p> <p><b>R11</b> Explain the role and responsibilities of partner organisations and their interrelationships and illustrate with relevant examples</p> <p><b>R12</b> Explain the architecture of regulatory frameworks and their role within it and illustrate with relevant examples</p>	<p><b>R13</b> Explain the role of regulation as a tool of Government and apply to the broader regulatory environment</p> <p><b>R14</b> Describe the legal frameworks and powers relevant to their role and apply to the broader regulatory environment</p> <p><b>R15</b> Explain the law and where it applies to businesses' customers and apply to the broader regulatory environment</p> <p><b>R16</b> Describe the legislation relevant to their regulatory function(s) and apply to the broader regulatory environment</p> <p><b>R17</b> Explain the role and responsibilities of partner organisations and their interrelationships and apply to the broader regulatory environment</p> <p><b>R18</b> Explain the architecture of regulatory frameworks and their role within it and apply to the broader regulatory environment</p>

### Amplification and guidance

**Tool of government** – Government create legislation and enforce this in sectors to ensure compliance. Rulemaking can be used to influence social change, to ensure consumers are protected and businesses are part of a fair-trading environment. How legislation and regulation is delivered is by the government i.e. Law-making process. Understand purpose of why legislation was initially created. How this legislation is enforced through the courts/government. Where law comes from, how its created, how its enforced. Society determines risks associated with certain businesses or activities; therefore, regulation exists to limit these risks for the benefits of society.

**Powers relevant to their role** – what can you do and what limitations do you have within your role, what regulations or legislation give you the power to do their role, announced/unannounced visits

**Legal frameworks** - Acts of Parliament are often called primary legislation, they set out the broad requirements and then secondary legislation such as Regulations add more detail. Duties are placed on regulators to uphold these laws.

**Law** – specific to your business customers which you enforce or legislation you have to comply with internally across departments. Transparency of policies to customers, complaints procedures etc.

**Legislation** – that must be complied with which applies to the whole organisation or wider sector. Consider how you as a regulator are regulated e.g. who by, and how, including any specific legislation relevant to their regulatory area/function.

**Partner organisations** – who you would work with within your role, e.g. external organisations or other departments or divisions. This could be to achieve a wider compliance/regulatory objective, to enforce policies, to offer support and guidance. How and why you would work with these stakeholders and any external partner organisations.

**Architecture of regulatory frameworks** – How does your organisation fit into a wider regulatory framework/structure? Nationally or internationally. Department or whole business strategy.

## 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

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

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

#### To gain a merit

**RA2** Explain how to use risk assessment to support compliance and illustrate with relevant examples

#### To gain a distinction

**RA3** Explain how to use risk assessment to support compliance and apply to the broader regulatory environment

### Amplification and guidance

**How to use risk assessment:** Where there is high risk, a control or intervention is required to help bring down or mitigate the risk. A risk assessment typically identifies the hazard, who may be harmed, where and how this harm may occur. Existing control measures are evaluated, and further controls recommended to reduce the risk further. Risk assessments enable a business to take a consistent and proportionate approach to risk management, targeting the best use of their resources against the level of risk posed.

For example, in an enforcement sense:

1. Assessing regulatory risk – benefits of taking such an approach:
  - target research
  - reduce burden
  - transparency

Concept of risk – hazard/likelihood/harm/hazard level

2. Data – informing risk assessment  
Gathering relevant data/analysing data/using data/storing data
3. Risk assessment – guiding activities  
Focus on high risks not just higher hazards – hazard difficult to influence, likelihood of harm an inspector may be able to influence
4. Risk management by businesses – Does this business:
  - identify its risks
  - prioritise them effectively
  - have adequate controls
  - manage its controls effectively
  - have an inspector of expertise to assist business

Risk assess		
Skill		
Assess regulatory risks and use risk assessment to guide their activities and target resources		
Observation of professional practice		
To pass, the following must be evidenced	To gain a merit	To gain a distinction
<b>RA4</b> Demonstrate in their practice that they can <b>assess regulatory risks</b> and use risk assessment	<b>RA5</b> Demonstrate in their practice that they can assess regulatory risks and use risk assessment. Analyse the risks identified and suggest <b>appropriate actions or mitigation</b>	<b>RA6</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 <b>conclusions</b> appropriate to the situation
Amplification and guidance		



**Assess regulatory risks** – Risk matrix, risk and harm, consequences of non-compliance, consumer defined environmental harm, minimise/avoid risk, e.g. identify critical control points in processes, training, due diligence

**appropriate actions or mitigation** –

- Consider whether an inspection is the best intervention or if an alternative approach would be more effective, e.g. advice education
- Frequency of approach intervention

**Conclusions** – consequential loss

- Frequency of approach of the intervention, dependant on resource availability, frequency of risk changing, extent to which other oversight of business, e.g. audit from customers

Assessing the likelihood of harm (non-compliance) e.g. confidence on how well a business is managing its hazards, common criteria used to assess likelihood of non-compliance:

- history of compliance
- current level of compliance
- management assessment
- management systems
- Examples of adaptations, based on risk
- Calculating the likelihood of compliance
- Hazard/Confidence matrix

## Business stakeholders and their compliance needs

Knowledge		
Knowledge of the business environment they interact with How regulation and the way it is enforced can impact on the businesses regulated The factors that affect business approaches to compliance The need to provide compliance support to businesses they work with		
Knowledge exam		
Assessment criteria		
<b>BS1</b> Describe the <b>business environment</b> they interact with <b>BS2</b> Describe how regulation and the way it is enforced can <b>impact</b> on the businesses regulated <b>BS3</b> Describe the <b>factors</b> that affect business approaches to compliance <b>BS4</b> Understand the need to provide <b>compliance support</b> to businesses they work with		
Viva (interview and professional discussion) based on evidence provided in a work-based portfolio		
To pass, the following must be evidenced	To gain a merit	To gain a distinction
<b>BS1</b> Describe the business environment they interact with  <b>BS2</b> Describe how regulation and the way it is enforced can impact on the businesses regulated  <b>BS3</b> Describe the factors that affect business approaches to compliance	<b>BS5</b> Describe the business environment they interact with and illustrate with relevant examples  <b>BS6</b> Describe how regulation and the way it is enforced can impact on the businesses regulated and illustrate with relevant examples	<b>BS9</b> Describe the business environment they interact with and apply to the broader regulatory environment  <b>BS10</b> Describe how regulation and the way it is enforced can impact on the businesses regulated and apply to the broader regulatory environment

<p><b>BS4</b> Understand the need to provide compliance support to businesses they work with</p>	<p><b>BS7</b> Describe the factors that affect business approaches to compliance and illustrate with relevant examples</p> <p><b>BS8</b> Understand the need to provide compliance support to businesses they work with and illustrate with relevant examples</p>	<p><b>BS11</b> Describe the factors that affect business approaches to compliance and apply to the broader regulatory environment</p> <p><b>BS12</b> Understand the need to provide compliance support to businesses they work with and apply to the broader regulatory environment</p>
<p><b>Amplification and guidance</b></p>		
<p><b>Business environment</b> – Role specific, customers, partnerships, other business interactions, competitors, regulatory roles within business environment. Poorly constructed regulations and heavy-handed enforcement can impact businesses negatively, e.g. if a business fails to comply with the law their reputation with their customers can fall, they will lose business and may not survive. Legal sanctions such as loss of licence and fines will reduce profits.</p> <p><b>Impact</b> – How the way and manner in which you enforce law/regulations can impact on your business and the area of business that you are regulating. 5 better regulation principles. Good customer service, transparent policies and procedures. Examples of good and bad enforcement practice. Guidance provided to customers of inspection/enforcement activities is fair, clear and consistent. If enforcement of legislation is not proportionate to the risk this will place an unnecessary financial burden on the business and potentially risks criminalising people for low level non-compliance. If the approach is too light touch then the consequences could be harmful to the public as standards such as safety, are not upheld.</p> <p><b>Factors</b> – type of regulation being enforced would affect approach. Be aware of all legal requirements and how it applies to their business and role. Need to make a decision of how they need to comply with these requirements. Type of enforcement: announced or unannounced visits/audits. Difference between initial interactions, responding to complaints, reacting and dealing with non-conformance. Due diligence. Understand reasons why a business may be non-compliance, e.g. lack of understanding, lack of awareness, lack of attention, deliberate criminality.</p>		

**Compliance support** – Deliver enforcement in the correct way, customer service, Deal with issues constructively, establish and maintain good/positive relationships, effective communication, conflict management, principles of better regulation – consistency, provide support, advice and guidance to businesses to encourage improvement and future compliance to avoid unnecessary prosecutions/sanctions.

Evaluation		
<b>Knowledge</b>		
The value of feedback from those they regulate, and the beneficiaries of regulation such as consumers in informing future activities		
<b>Observation of professional practice</b>		
To pass, the following must be evidenced	To gain a merit	To gain a distinction
<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 gather and utilise feedback from stakeholders. <b>Actions to be taken</b> in response to the feedback are identified and explained	<b>E3</b> Demonstrate in their practice how they gather and utilise feedback from stakeholders. Implications of feedback are understood and predicted.
<b>Amplification and guidance</b>		
<p><b>Gather:</b>            Customer satisfaction survey – post intervention            Feedback received during interventions            Review complaint type/injury/compliance level etc. trends</p> <p><b>Utilise:</b>            Identify areas where additional guidance or different approaches to interventions are required.            Identify stakeholders preferred method of communication (letter/email/social media/web)</p>		

**Actions to be taken:**

Provide advice to stakeholders in the form of FAQs and What to Expect etc  
National targeted initiatives

## Evaluate

### Skill

Monitor and report on their activities and performance

Evaluate their activities in relation to their regulatory objectives and their organisation's strategic priorities

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

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

**EV1** Can demonstrate how they would monitor and report on their activities and performance

**EV2** Can demonstrate how they would evaluate their activities in relation to their regulatory objectives and their organisation's strategic priorities

#### To gain a merit

**EV3** Can demonstrate with relevant examples how they would monitor and report on their activities and performance

**EV4** Can demonstrate with relevant examples how they would evaluate their activities in relation to their regulatory objectives and their organisation's strategic priorities

#### To gain a distinction

**EV5** 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

**EV6** 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

## 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

To pass, the following must be evidenced	To gain a merit	To gain a distinction
<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 and the law (NB failure to demonstrate compliance will result in a failure of the End-point Assessment)</b></p>	<p><b>DS3*</b> Demonstrate in their practice that they can work within the <b>organisation’s policies and procedures and the law (NB failure to demonstrate compliance will result in a failure of the End-point Assessment)</b></p> <p><b>DS4</b> Demonstrate in their practice that they can plan and deliver compliance support services <b>in excess of 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 regulatory outcomes and Identify industry best practice and outline how it can be applied in the situation</p>	<p><b>DS3*</b> Demonstrate in their practice that they can work within the <b>organisation’s policies and procedures and the law (NB failure to demonstrate compliance will result in a failure of the End-point Assessment)</b></p> <p><b>DS6</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.</p> <p><b>DS7</b> Demonstrate in their practice that they can carry out activities in line with their organisation’s regulatory outcomes</p>

		clearly identify business benefits and <b>improvements to wider consumer or environmental protection.</b>
<b>Amplification and guidance</b>		
<p><b>Business expectations</b> – Setting standards, SLA’s, good customer service, communication.</p> <p><b>Regulatory outcomes</b> – Risk management, how inspector should set up activities and react to outcomes of activities. Look at impacts and outcomes tool</p> <p><b>Organisation’s policies and procedures and the law</b> – Completely understand compliance with law when applying enforcement e.g. Health and Safety, PPE, GDPR, E&amp;D. Internal policies, complaints procedures, SLA’s etc. Highlight in observation that processes they are following is to ensure organisation’s policies and procedures and the law is being implemented correctly. Demonstrate following codes of practice, any relevant guidelines.</p> <p><b>In excess of business expectation</b> – Initiative, new legislation – advice to business, delivered ahead of schedule, or they can offer a range of compliance solutions.</p> <p><b>improvements to wider consumer or environmental protection</b> – Improve organisation’s regulatory outcome/suggest further</p> <p><b>DS3*</b> - Please note, this criterion transcends all three grade boundaries, therefore if achieved, this will be marked as a pass, 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>		

<b>Collect and analyse data</b>		
<b>Skill</b>		
Gather, analyse, use and share data to inform risk assessment		
<b>Observation of professional practice</b>		
<b>To pass, the following must be evidenced</b>	<b>To gain a merit</b>	<b>To gain a distinction</b>

<b>CA1</b> Demonstrate in their practice that they can gather, analyse, use and share <b>data</b> to inform risk assessment	<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>CA3</b> 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
<b>Amplification and guidance</b>		
Data – for example, computer records, intelligence reports etc.		
<b>Plan their activities</b>		
<b>Skill</b>		
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		
<b>Observation of professional practice</b>		
<b>To pass, the following must be evidenced</b>	<b>To gain a merit</b>	<b>To gain a distinction</b>
<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 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>PA3</b> 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
<b>Viva (interview and professional discussion) based on evidence provided in a work-based portfolio</b>		
<b>To pass, the following must be evidenced</b>	<b>To gain a merit</b>	<b>To gain a distinction</b>
<b>PA4</b> Can demonstrate how they would work as part of a team building and maintaining	<b>PA5</b> Can demonstrate with relevant examples how they would work as part of a	<b>PA6</b> Can demonstrate how they would work as part of a team building and



good working relationships with both business and regulator stakeholders	team building and maintaining good working relationships with both business and regulator stakeholders	maintaining good working relationships with both business and regulator stakeholders, and show how they would apply this skill in other environments
<b>Amplification and guidance</b>		
<b>Deliver</b> – Based on risk assessment, able to determine most appropriate interaction, e.g. announced/unannounced visit – execution of work if illegal activity anticipated		
<b>Plan</b> – e.g. operational order, engaged with appropriate stakeholders, e.g. other enforcement organisations		
<b>Check compliance</b>		
<b>Skill</b>		
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		
<b>Observation of professional practice</b>		
<b>To pass, the following must be evidenced</b>	<b>To gain a merit</b>	<b>To gain a distinction</b>
<b>CC1</b> Demonstrate in their practice that they can <b>conduct interventions</b> in a proportionate manner  <b>CC2</b> Demonstrate in their practice that they can be <b>responsive</b> to the circumstances encountered	<b>CC5</b> 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  <b>CC6</b> Demonstrate in their practice that they can be responsive to the circumstances	<b>CC9</b> 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

<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</b> on checks on compliance in an appropriate manner</p>	<p>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 informed assessments of compliance and risk and have developed their rationale and understanding of the assessment process</p> <p><b>CC8</b> Demonstrate in their practice that they can follow-up on <b>checks on compliance in an appropriate manner</b> and have developed their rationale and understanding of follow-up checks</p>	<p><b>CC10</b> Demonstrate in their practice that they can be responsive to the circumstances encountered and can show an understanding of the <b>wider implications</b> and potential consequences</p> <p><b>CC11</b> 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 <b>wider context</b></p> <p><b>CC12</b> 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</p>
<p><b>Viva (interview and professional discussion) based on evidence provided in a work-based portfolio</b></p>		
<p><b>To pass, the following must be evidenced</b></p>	<p><b>To gain a merit</b></p>	<p><b>To gain a distinction</b></p>
<p><b>CC13</b> Can demonstrate how they would prepare appropriately for checks on compliance</p>	<p><b>CC18</b> Can demonstrate with relevant examples how they would prepare appropriately for checks on compliance</p>	<p><b>CC23</b> Can demonstrate how they would prepare appropriately for checks on compliance, and show how they would apply this skill in other regulatory environments</p>

<p><b>CC14</b> Can demonstrate how they would conduct interventions in a proportionate manner</p> <p><b>CC15</b> Can demonstrate how they would be responsive to the circumstances encountered</p> <p><b>CC16</b> Can demonstrate how they would make informed assessments of compliance and risk</p> <p><b>CC17</b> Can demonstrate how they would follow-up on checks on compliance in an appropriate manner</p>	<p><b>CC19</b> Can demonstrate with relevant examples how they would conduct interventions in a proportionate manner</p> <p><b>CC20</b> Can demonstrate with relevant examples how they would be responsive to the circumstances encountered</p> <p><b>CC21</b> Can demonstrate with relevant examples how they would make informed assessments of compliance and risk</p> <p><b>CC22</b> Can demonstrate with relevant examples how they would follow-up on checks on compliance in an appropriate manner</p>	<p><b>CC24</b> Can demonstrate how they would conduct interventions in a proportionate manner, and show how they would apply this skill in other regulatory environments</p> <p><b>CC25</b> Can demonstrate how they would be responsive to the circumstances encountered, and show how they would apply this skill in other regulatory environments</p> <p><b>CC26</b> Can demonstrate how they would make informed assessments of compliance and risk, and show how they would apply this skill in other regulatory environments</p> <p><b>CC27</b> 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</p>
<b>Amplification and guidance</b>		
<p><b>Conduct interventions</b> – Regulators code – open transport, civil, polite, build relationships, self-aware of how they come across – open to feedback/constructive criticism – satisfaction survey</p> <p><b>Responsive</b> – Sympathetic/knowledgeable of business needs, able to assess immediacy of evidential requirements versus ability to continue to trade</p>		

**Informed assessments** – Risk of harm versus cost/benefit of intervention

**Follow-up** – Ability to make clear compliance requirements, e.g. plain English – written versus verbal instructions/guidance

**checks on compliance in an appropriate manner** – Have a range of questions to probe understanding

**wider implications/context** – Examples of having shared compliance (e.g. best practice) and non-compliance with appropriate other stakeholders. Examples of how they have applied assessment processes to other regulatory requirements, e.g. 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

To pass, the following must be evidenced	To gain a merit	To gain a distinction
<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 <b>guidance</b> that is needed by businesses and/or those they regulate</p>	<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</p>	<p><b>SC7</b> Demonstrate in their practice that they can promote the importance of compliance 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</p>

<p><b>SC3</b> Demonstrate in their practice that they can provide the tailored advice that is needed by businesses where appropriate</p>	<p>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 <b>tailored advice</b> that is needed by businesses where appropriate and have developed the specificity, timeliness and appropriateness of the advice</p>	<p><b>SC8</b> Demonstrate in their practice that they can provide information and guidance 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</p> <p><b>SC9</b> 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</p>
<p><b>Amplification and guidance</b></p>		
<p><b>Guidance</b> – leaflets, letters, video links, etc.</p> <p><b>Tailored advice</b> – specific/timely and appropriate</p> <p><b>Variety of methods</b> – Examples of materials/mediums to explain/demonstrate the importance of legislation</p> <p><b>Broader range of sources and methods</b> – Examples of those covered above, including refocusing other regulators/sources, e.g. business grants</p>		

<p><b>Respond to non-compliance</b></p>
<p><b>Skill</b></p>
<p>Communicate effectively with businesses that have failed to comply</p> <p>Work with partner organisations to support proportionate, risk based responses to non-compliance</p>

<p>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</p>		
Observation of professional practice		
To pass, the following must be evidenced	To gain a merit	To gain a distinction
<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 plan 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 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</p>	<p><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</p> <p><b>NC5</b> 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</p>
Viva (interview and professional discussion) based on evidence provided in a work-based portfolio		
To pass, the following must be evidenced	To gain a merit	To gain a distinction
<p><b>NC6</b> Can demonstrate how they work with partner organisations to support</p>	<p><b>NC9</b> Can demonstrate with relevant examples how they work with partner</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</p>

<p>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>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>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>
<b>Amplification and guidance</b>		
<p><b>Plan</b> – Example of pre-intervention planning – for example, evidential requirements to ensure options available if there is serious non-compliance</p> <p><b>Appropriate actions</b> – Range of options available depending on level/severity of non-compliance – preservation of evidence, when to caution/seize records, etc. Check list of options taken, given wide range of non-compliance</p> <p><b>Appropriateness of their communication</b> – options taken, given range of non-compliance, e.g. when to interview</p> <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>		

## 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

To pass, the following must be evidenced	To gain a merit	To gain a distinction
<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 decisions based on effective appraisal of the information available and have <b>developed</b> their practice within their own role as a consequence	<b>DM3</b> 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

### Amplification and guidance

**Decisions** – decisions made based on available info, e.g. question the reliability of the intelligence source

**Developed** – Example of how learnt due to experience

**Information available e.g.**

Effective use of working with partner organisations/storing data

Effective use of information about business and business environment/economic sector

Effective use of checklist or other processes to gather data from inspections/investigations/sampling/complains, etc.

Effective organisation and prioritisation of work

Effective use of consultation with businesses – help to work out the most effective way of delivery information guidance and advice



## 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

To pass, the following must be evidenced	To gain a merit	To gain a distinction
<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 use IT systems to manage, share and store information in accordance with data protection requirements where appropriate and understand the implications of IT for the broader regulatory practice</p> <p><b>IT5</b> 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</p> <p><b>IT6</b> 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</p>	<p><b>IT7</b> 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</p> <p><b>IT8</b> 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</p> <p><b>IT9</b> Demonstrate in their practice that they can use digital competencies to support the regulation of online markets and</p>

		develop a variety of digital competences to optimally regulate digital markets
<b>Amplification and guidance</b>		
<p><b>Use IT systems:</b></p> <ul style="list-style-type: none"> <li>• Keeping own database up to date, e.g. inspection report, notice, prosecution/sanction, etc.</li> <li>• Using systems to record and share information about businesses and their compliance/non-compliance, where there is agreement</li> <li>• Understanding any shared network/database which can be used to ensure a joined-up approach to compliance activities, e.g. combined inspections</li> <li>• Understanding of when and how the GDPR apply</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/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 regulation and their organisation’s regulatory activities, e.g. service standard, projects, etc.</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/services by social media</li> <li>• What criminal and civil laws are applied to online markets</li> <li>• Research sectors and other regulatory organisation that regulate online markets</li> <li>• How would you go about checking businesses websites for information about the business and the product and service they offer?</li> <li>• What procedures and processes has their organisation got in place for regulatory activities</li> </ul>		

## 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		
To pass, the following must be evidenced	To gain a merit	To gain a distinction
<p><b>UB1</b> Can demonstrate how they would engage constructively with business and tailor their approach 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 engage constructively with business and tailor their approach 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><b>UB5</b> 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</p> <p><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</p>

## 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		
<b>Viva (interview and professional discussion) based on evidence provided in a work-based portfolio</b>		
<b>To pass, the following must be evidenced</b>	<b>To gain a merit</b>	<b>To gain a distinction</b>
<p><b>AI1</b> Can demonstrate how they would make appropriate intervention choices to have the greatest impact on supporting compliance</p> <p><b>AI2</b> Can demonstrate how they would take a proportionate approach to intervention choice</p> <p><b>AI3</b> Can demonstrate how they would work effectively with other organisations</p>	<p><b>AI4</b> Can demonstrate with relevant examples how they would make appropriate intervention choices to have the greatest impact on supporting compliance</p> <p><b>AI5</b> Can demonstrate with relevant examples how they would take a proportionate approach to intervention choice</p> <p><b>AI6</b> Can demonstrate with relevant examples how they would work effectively with other organisations</p>	<p><b>AI7</b> 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</p> <p><b>AI8</b> Can demonstrate how they would take a proportionate approach to intervention choice, and show how they would apply this skill in other regulatory environments</p> <p><b>AI9</b> Can demonstrate how they would work effectively with other organisations, and show how they would apply this skill in other regulatory environments</p>

## 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		
To pass, the following must be evidenced	To gain a merit	To gain a distinction
<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

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		
To pass, the following must be evidenced	To gain a merit	To gain a distinction
<b>C1</b> Can demonstrate how they have worked collaboratively and built professional relationships with colleagues and partner organisations	<b>C2</b> Can demonstrate how they have worked collaboratively and built professional relationships with colleagues and partner organisations and describe the benefits	<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

<b>Quality service delivery</b>		
<b>Behaviour</b>		
Delivering a quality service by having a customer focussed mind set		
<b>Viva (interview and professional discussion) based on evidence provided in a work-based portfolio</b>		
<b>To pass, the following must be evidenced</b>	<b>To gain a merit</b>	<b>To gain a distinction</b>
<b>QS1</b> Can demonstrate how they have delivered a quality service by having a customer focussed mind set	<b>QS2</b> Can demonstrate how they have delivered a quality service by having a customer focussed mind set and describe the benefits	<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
<b>Leadership and communication</b>		
<b>Behaviour</b>		
Leading by example. This includes being even-handed, supportive, and not letting personal opinions override business needs, and communicating professionally, openly and honestly		
<b>Viva (interview and professional discussion) based on evidence provided in a work-based portfolio</b>		
<b>To pass, the following must be evidenced</b>	<b>To gain a merit</b>	<b>To gain a distinction</b>
<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 benefits	<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

### 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

To pass, the following must be evidenced	To gain a merit	To gain a distinction
<b>CI1</b> Can demonstrate how they have been creative and open to change	<b>CI2</b> Can demonstrate how they have been creative and open to change and describe the benefits	<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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# Assessment Summary

The end-point assessment for the Regulatory Compliance Officer Apprenticeship Standard is made up of 3 components that must be taken in the following order.

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. 2-hour 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 guide.

## Knowledge Exam

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- To achieve a pass in the exam, apprentices must achieve at least 60%, which equates to a minimum of 36 out of 60 marks.
- To achieve a merit in the exam, apprentices must achieve at least 70%, which equates to a minimum of 42 out of 60 marks.
- To achieve a distinction in the exam, apprentices must achieve 80% or over, which equates to a minimum of 48 out of 60 marks.

## Observation of professional practice

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- To achieve a pass in the observation, all pass criteria should be met
- To achieve a merit in the observation, all pass **and** at least 15 merit criteria should be met
- To achieve a distinction in the observation, all pass **and** at least 17 distinction criteria should be met



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

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- To achieve a pass in the viva, all pass criteria should be met
- To achieve a merit in the viva, all pass **and** at least 22 merit criteria should be met
- To achieve a distinction in the viva, all pass **and** at least 25 distinction criteria should be met

## Grading

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The overall grade for the end-point assessment is determined using the matrix below:

Award	Knowledge exam	Observation of professional practice	Viva
<b>Distinction</b>	Distinction	Distinction	Minimum grade of Merit
<b>Merit</b>	Minimum grade of Merit	Minimum grade of Merit	Minimum grade of Pass
<b>Pass</b>	Minimum grade of Pass	Minimum grade of Pass	Minimum grade of Pass
<b>Fail</b>		The apprentice has not achieved a minimum of a Pass in each method.	

## Retake and Resit information

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

If an apprentice fails an end-point assessment method, it is the employer, provider and apprentice's decision whether to attempt a resit or retake. If a resit is chosen, please call the Highfield scheduling team to arrange the resit. If a retake is chosen, 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 resit or retake, the assessment method(s) will need to be re-attempted 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 resit or 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).

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.

The topics covered within the test are listed below.

### Knowledge - Regulation

- The role of regulation as a tool of Government.
- Legal frameworks and powers.
- The law and where it applies to businesses customers.
- The legislation relevant to their regulatory function(s).
- The role and responsibilities of partner organisations and their interrelationships.
- The architecture of regulatory frameworks and their role within it.

### Knowledge - Risk assessment

- Risk assessment as a tool to support compliance.

### Knowledge - Business stakeholders and their compliance needs

- Knowledge of the business environment they interact with.
- How regulation and the way it is enforced can impact on the businesses regulated.
- The factors that affect business approaches to compliance.
- The need to provide compliance support to businesses they work with.

### 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

The following pages include the criteria that are covered by the exam.

The apprentice will	Criteria covered in the exam
<b>Regulation</b>	
Understand the role of regulation as a tool of government; legal frameworks and powers; the law and where it applies to businesses' customers; the legislation relevant to their regulatory function(s); the role and responsibilities of partner organisations and their interrelationships; and the architecture of regulatory frameworks and their role within it.	<b>R1</b> Explain the role of regulation as a tool of Government <b>R2</b> Describe the legal frameworks and powers relevant to their role <b>R3</b> Explain the law and where it applies to businesses' customers <b>R4</b> Describe the legislation relevant to their regulatory function(s) <b>R5</b> Explain the role and responsibilities of partner organisations and their interrelationships <b>R6</b> Explain the architecture of regulatory frameworks and their role within it

The apprentice will	Criteria covered in the exam
<b>Risk assessment</b>	
Understand risk assessment as a tool to support compliance	<b>RA1</b> Explain how to use risk assessment to support compliance

The apprentice will	Criteria covered in the exam
<b>Business stakeholders and their compliance needs</b>	
Have knowledge of the business environment they interact with; understand how regulation and the way it is enforced can impact on the businesses regulated; the factors that affect business approaches to compliance; the need to provide compliance support to businesses they work with	<b>BS1</b> Describe the business environment they interact with <b>BS2</b> Describe how regulation and the way it is enforced can impact on the businesses regulated <b>BS3</b> Describe the factors that affect business approaches to compliance <b>BS4</b> 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 2 hours 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. planning 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 dealing 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 one of the meat products that they recently purchased.

## Grading

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. If all pass and at least 15 of the merit criteria are met the apprentice will be awarded a merit, and if all pass and at least 17 of the distinction criteria are met the grade awarded will be a distinction.

There are two criteria within the observation that transcend grade boundaries. DS3 transcends all three 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.

## 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.

## 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 apprentices experience a trial or mock observation in preparation for the real thing. The most appropriate form of mock assessment will depend on the apprentice's setting and the resources available at the time.

When designing a mock assessment, the employer/training provider should consider the following elements.

- A 2-hour time slot should be available if it is intended to be a complete mock assessment covering all relevant standards. However, this time may be split up to allow for progressive learning.
- Brief the apprentice on their scenario and conduct questioning and provide appropriate prompts to allow the apprentice to demonstrate and explain their approach to conducting a regulatory audit.
- 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.

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

During the observation of professional practice, which will last for 2 hours, the following standards should be evidenced. Apprentices should prepare for the observation by considering how the criteria can be met in their work environment.

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

Deliver a service		
To pass, the following must be evidenced	To gain a merit	To gain a distinction
<p><b>DS1</b> Demonstrate in their practice that they can plan and deliver compliance support services in line with business expectation</p> <p><b>DS2</b> Demonstrate in their practice that they can carry out activities in line with their organisation's regulatory outcomes</p>	<p><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>)</p> <p><b>DS4</b> Demonstrate in their practice that they can plan and deliver compliance support services in excess of business</p>	<p><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>)</p> <p><b>DS6</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</p>



Deliver a service		
To pass, the following must be evidenced	To gain a merit	To gain a distinction
<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> )	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	wider consequences of non-compliance appropriate to the situation.  <b>DS7</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 three 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.

Risk assess		
To pass, the following must be evidenced	To gain a merit	To gain a distinction
<b>RA4</b> Demonstrate in their practice that they can assess regulatory risks and use risk assessment	<b>RA5</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>RA6</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		
To pass, the following must be evidenced	To gain a merit	To gain a distinction
<b>CA1</b> Demonstrate in their practice that they can gather, analyse, use and share data to inform risk assessment	<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>CA3</b> 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

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

Check compliance		
To pass, the following must be evidenced	To gain a merit	To gain a distinction
<b>CC1</b> Demonstrate in their practice that they can conduct interventions in a proportionate manner	<b>CC5</b> 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	<b>CC9</b> 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

Check compliance		
To pass, the following must be evidenced	To gain a merit	To gain a distinction
<p><b>CC2</b> Demonstrate in their practice that they can be responsive to the circumstances encountered</p> <p><b>CC3</b> Demonstrate in their practice that they can make informed assessments of compliance and risk</p> <p><b>CC4</b> Demonstrate in their practice that they can follow-up on checks on compliance in an appropriate manner</p>	<p><b>CC6</b> 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</p> <p><b>CC7</b> Demonstrate in their practice that they make informed assessments of compliance and risk and have developed their rationale and understanding of the assessment process</p> <p><b>CC8</b> 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</p>	<p><b>CC10</b> 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</p> <p><b>CC11</b> 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</p> <p><b>CC12</b> 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</p>

Support compliance		
To pass, the following must be evidenced	To gain a merit	To gain a distinction
<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>	<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>	<p><b>SC7</b> 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</p> <p><b>SC8</b> 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</p> <p><b>SC9</b> 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</p>

Respond to non-compliance		
To pass, the following must be evidenced	To gain a merit	To gain a distinction
<p><b>NC1</b> Demonstrate in their practice that they can plan and deliver compliance support services in line with business expectation</p> <p><b>NC2</b> Demonstrate in their practice that they can take appropriate actions to deal with non-compliance using a wide range of interventions</p>	<p><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</p> <p><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</p>	<p><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</p> <p><b>NC5</b> 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</p>

NC4\* - Please note, this criterion 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. The criterion itself will only need to be achieved once.

Effective decision making		
To pass, the following must be evidenced	To gain a merit	To gain a distinction
<p><b>DM1</b> Demonstrate in their practice that they can make sound decisions based on effective appraisal of the information available</p>	<p><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</p>	<p><b>DM3</b> Demonstrate in their practice that they can make sound decisions based on effective appraisal of the information available compliance and have developed their</p>

Effective decision making		
To pass, the following must be evidenced	To gain a merit	To gain a distinction
		appreciation of the consequences of their decision making

IT and digital		
To pass, the following must be evidenced	To gain a merit	To gain a distinction
<p><b>IT1</b> Demonstrate in their practice that they can use IT systems 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 use digital technologies to communicate with and support partner organisations and regulated entities</p> <p><b>IT3</b> Demonstrate in their practice that they can use digital competencies to support the regulation of online markets</p>	<p><b>IT4</b> 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</p> <p><b>IT5</b> 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</p> <p><b>IT6</b> Demonstrate in their practice that they can use digital competencies to support the regulation of online markets and have</p>	<p><b>IT7</b> 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</p> <p><b>IT8</b> 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</p> <p><b>IT9</b> Demonstrate in their practice that they can use digital competencies to support the regulation of online markets and develop a</p>

IT and digital		
To pass, the following must be evidenced	To gain a merit	To gain a distinction
	developed their understanding of different modes of regulation for on-line markets	variety of digital competences to optimally regulate digital markets

Delivery at pace		
To pass, the following must be evidenced	To gain a merit	To gain a distinction
<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

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## Assessing the Viva (interview and professional discussion)

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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 employer may be present, to support, but not lead, the apprentice and to confirm information at the end-point assessor's request.

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.

### 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.

Example 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 in order 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.



## Grading

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. If all pass and at least 22 of the merit criteria are met the apprentice will be awarded a merit, and if all pass and at least 25 of the distinction criteria are met the grade awarded will be a distinction.

### 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

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.

## Viva 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 apprentices experience a mock professional discussion in preparation for the real thing. The most appropriate form of mock professional discussion will depend on the apprentice's setting and the resources available at the time.

When designing a mock assessment, the employer/training provider should consider the following elements.

- The mock professional discussion should take place in a suitable location.
- A 35-minute time slot should be available to complete the professional discussion if it is intended to be a complete professional discussion covering all relevant standards. However, this time may be split up to allow for progressive learning.
- Consider a recording of the mock professional discussion and allow it to be observed by 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.
- 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.
- In your view, why can the way it is enforced impact on the businesses regulated?

### **Risk assessment/Choose appropriate interventions/Check compliance:**

- How does risk affect the approach taken?
- 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.
- In what ways did you make sure to build effective professional relationships?

## Viva Criteria

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The end-point assessor will have already had the opportunity to assess the apprentice’s portfolio. In the 35-minute viva, the apprentice will be given the opportunity to meet criteria not already covered in their portfolio by showing their competence against all pass, merit and distinction criteria outlined below.

Regulation		
To pass, the following must be evidenced	To gain a merit	To gain a distinction
<p><b>R1</b> Explain the role of regulation as a tool of Government</p> <p><b>R2</b> Describe the legal frameworks and powers relevant to their role</p> <p><b>R3</b> Explain the law and where it applies to businesses’ customers</p> <p><b>R4</b> Describe the legislation relevant to their regulatory function(s)</p> <p><b>R5</b> Explain the role and responsibilities of partner organisations and their interrelationships</p>	<p><b>R7</b> Explain the role of regulation as a tool of Government and illustrate with relevant examples</p> <p><b>R8</b> Describe the legal frameworks and powers relevant to their role and illustrate with relevant examples</p> <p><b>R9</b> Explain the law and where it applies to businesses’ customers and illustrate with relevant examples</p> <p><b>R10</b> Describe the legislation relevant to their regulatory function(s) and illustrate with relevant examples</p>	<p><b>R13</b> Explain the role of regulation as a tool of Government and apply to the broader regulatory environment</p> <p><b>R14</b> Describe the legal frameworks and powers relevant to their role and apply to the broader regulatory environment</p> <p><b>R15</b> Explain the law and where it applies to businesses’ customers and apply to the broader regulatory environment</p> <p><b>R16</b> Describe the legislation relevant to their regulatory function(s) and apply to the broader regulatory environment</p>

Regulation		
To pass, the following must be evidenced	To gain a merit	To gain a distinction
<b>R6</b> Explain the architecture of regulatory frameworks and their role within it	<b>R11</b> Explain the role and responsibilities of partner organisations and their interrelationships and illustrate with relevant examples  <b>R12</b> Explain the architecture of regulatory frameworks and their role within it and illustrate with relevant examples	<b>R17</b> Explain the role and responsibilities of partner organisations and their interrelationships and apply to the broader regulatory environment  <b>R18</b> Explain the architecture of regulatory frameworks and their role within it and apply to the broader regulatory environment

Risk assessment		
To pass, the following must be evidenced	To gain a merit	To gain a distinction
<b>RA1</b> Explain how to use risk assessment to support compliance	<b>RA2</b> Explain how to use risk assessment to support compliance and illustrate with relevant examples	<b>RA3</b> 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	To gain a merit	To gain a distinction
<p><b>BS1</b> Describe the business environment they interact with</p> <p><b>BS2</b> Describe how regulation and the way it is enforced can impact on the businesses regulated</p> <p><b>BS3</b> Describe the factors that affect business approaches to compliance</p> <p><b>BS4</b> Understand the need to provide compliance support to businesses they work with</p>	<p><b>BS5</b> Describe the business environment they interact with and illustrate with relevant examples</p> <p><b>BS6</b> Describe how regulation and the way it is enforced can impact on the businesses regulated and illustrate with relevant examples</p> <p><b>BS7</b> Describe the factors that affect business approaches to compliance and illustrate with relevant examples</p> <p><b>BS8</b> Understand the need to provide compliance support to businesses they work with and illustrate with relevant examples</p>	<p><b>BS9</b> Describe the business environment they interact with and apply to the broader regulatory environment</p> <p><b>BS10</b> Describe how regulation and the way it is enforced can impact on the businesses regulated and apply to the broader regulatory environment</p> <p><b>BS11</b> Describe the factors that affect business approaches to compliance and apply to the broader regulatory environment</p> <p><b>BS12</b> Understand the need to provide compliance support to businesses they work with and apply to the broader regulatory environment</p>

Understand businesses they work with		
To pass, the following must be evidenced	To gain a merit	To gain a distinction
<p><b>UB1</b> Can demonstrate how they would engage constructively with business and tailor their approach 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 engage constructively with business and tailor their approach 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><b>UB5</b> 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</p> <p><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</p>

Plan their activities		
To pass, the following must be evidenced	To gain a merit	To gain a distinction
<p><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</p>	<p><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</p>	<p><b>PA6</b> 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</p>

Choose appropriate interventions		
To pass, the following must be evidenced	To gain a merit	To gain a distinction
<p><b>AI1</b> Can demonstrate how they would make appropriate intervention choices to have the greatest impact on supporting compliance</p> <p><b>AI2</b> Can demonstrate how they would take a proportionate approach to intervention choice</p> <p><b>AI3</b> Can demonstrate how they would work effectively with other organisations</p>	<p><b>AI4</b> Can demonstrate with relevant examples how they would make appropriate intervention choices to have the greatest impact on supporting compliance</p> <p><b>AI5</b> Can demonstrate with relevant examples how they would take a proportionate approach to intervention choice</p> <p><b>AI6</b> Can demonstrate with relevant examples how they would work effectively with other organisations</p>	<p><b>AI7</b> 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</p> <p><b>AI8</b> Can demonstrate how they would take a proportionate approach to intervention choice, and show how they would apply this skill in other regulatory environments</p> <p><b>AI9</b> Can demonstrate how they would work effectively with other organisations, and show how they would apply this skill in other regulatory environments</p>



Check compliance		
To pass, the following must be evidenced	To gain a merit	To gain a distinction
<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 conduct interventions in a proportionate manner</p> <p><b>CC15</b> Can demonstrate how they would be responsive to the circumstances encountered</p> <p><b>CC16</b> Can demonstrate how they would make informed assessments of compliance and risk</p> <p><b>CC17</b> Can demonstrate how they would follow-up on checks on compliance in an appropriate manner</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 conduct interventions in a proportionate manner</p> <p><b>CC20</b> Can demonstrate with relevant examples how they would be responsive to the circumstances encountered</p> <p><b>CC21</b> Can demonstrate with relevant examples how they would make informed assessments of compliance and risk</p> <p><b>CC22</b> Can demonstrate with relevant examples how they would follow-up on checks on compliance in an appropriate manner</p>	<p><b>CC23</b> Can demonstrate how they would prepare appropriately for checks on compliance, and show how they would apply this skill in other regulatory environments</p> <p><b>CC24</b> Can demonstrate how they would conduct interventions in a proportionate manner, and show how they would apply this skill in other regulatory environments</p> <p><b>CC25</b> Can demonstrate how they would be responsive to the circumstances encountered, and show how they would apply this skill in other regulatory environments</p> <p><b>CC26</b> Can demonstrate how they would make informed assessments of compliance and risk, and show how they would apply this skill in other regulatory environments</p> <p><b>CC27</b> 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</p>

Respond to non-compliance		
To pass, the following must be evidenced	To gain a merit	To gain a distinction
<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>

Evaluate		
To pass, the following must be evidenced	To gain a merit	To gain a distinction
<p><b>EV1</b> Can demonstrate how they would monitor and report on their activities and performance</p> <p><b>EV2</b> Can demonstrate how they would evaluate 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 monitor and report on their activities and performance</p> <p><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</p>	<p><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</p> <p><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</p>

Collaboration		
To pass, the following must be evidenced	To gain a merit	To gain a distinction
<p><b>C1</b> Can demonstrate how they have worked collaboratively and built professional relationships with colleagues and partner organisations</p>	<p><b>C2</b> Can demonstrate how they have worked collaboratively and built professional relationships with colleagues and partner organisations and describe the benefits</p>	<p><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</p>

Quality service delivery		
To pass, the following must be evidenced	To gain a merit	To gain a distinction
<b>QS1</b> Can demonstrate how they have delivered a quality service by having a customer focussed mind set	<b>QS2</b> Can demonstrate how they have delivered a quality service by having a customer focussed mind set and describe the benefits	<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		
To pass, the following must be evidenced	To gain a merit	To gain a distinction
<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 benefits	<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		
To pass, the following must be evidenced	To gain a merit	To gain a distinction
<b>CI1</b> Can demonstrate how they have been creative and open to change	<b>CI2</b> Can demonstrate how they have been creative and open to change and describe the benefits	<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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