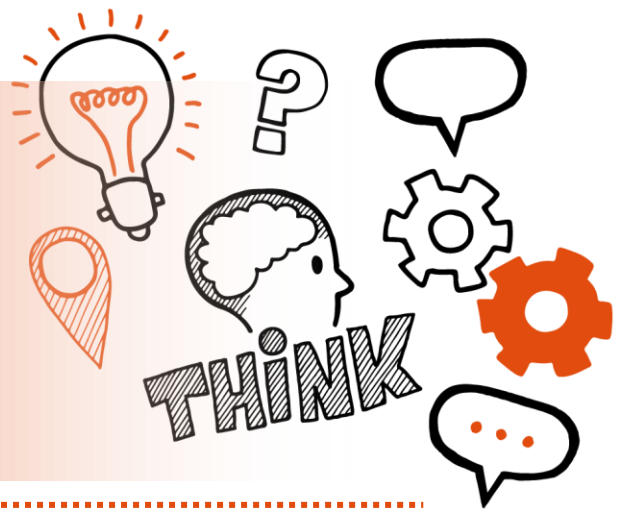


## Think About

Viva (interview and professional discussion) based on a work-based portfolio

Level 4 ST0430 Regulatory Compliance Officer v1.0



On the day of this assessment you will carry out:



A 35-minute Viva (interview and professional discussion)



Remote or face-to-face



In a suitable, controlled environment free from distractions or influence



With an end-point assessor



### Key point

You will have already submitted your work-based portfolio that includes a work-based project.



## Do

- Review the criteria associated with the Viva (interview and professional discussion) - this can be found in the EPA Kit and in the table at the end of this document
- Review relevant legislations, regulations and your organisation's policies and procedures
- Ensure a quiet room is available and that there are no interruptions
- Be prepared to answer any questions that your assessor may ask to clarify points from your work-based portfolio



## Don't

- Forget to bring your ID
- Forget to plan
- Forget to reflect on your on-programme personal development and learning



## Next steps

- Results can take up to 7 working days to be confirmed
- Your manager or training provider will inform you of the results



## Resits

- If you do not achieve a pass result on the Viva (interview and professional discussion), you can retake the assessment





## Use the table below to plan and prepare for the Viva (interview and professional discussion)

**(P)** indicates pass criteria

**(M)** indicates merit criteria

**(D)** indicates distinction criteria

Assessment criteria	Key points to remember
<b>Regulation</b>	
<b>(P)</b> Can explain the role of regulation as a tool of Government	
<b>(P)</b> Can describe the legal frameworks and powers relevant to your role	



**(P)** Can explain the law and where it applies to businesses' customers

**(P)** Can describe the legislation relevant to your regulatory function

**(P)** Can explain the role and responsibilities of partner organisations and their interrelationships



**(P)** Can explain the architecture of regulatory frameworks and your role within it

**(M)** Can explain the role of regulation as a tool of Government and illustrate with relevant examples

**(M)** Can describe the legal frameworks and powers relevant to your role and illustrate with relevant examples



**(M)** Can explain the law and where it applies to businesses' customers and illustrate with relevant examples

**(M)** Can describe the legislation relevant to your regulatory function and illustrate with relevant examples

**(M)** Can explain the role and responsibilities of partner organisations and their interrelationships and illustrate with relevant examples



**(M)** Can explain the architecture of regulatory frameworks and your role within it and illustrate with relevant examples

**(D)** Can explain the role of regulation as a tool of Government and apply to the broader regulatory environment

**(D)** Can describe the legal frameworks and powers relevant to your role and apply to the broader regulatory environment



**(D)** Can explain the law and where it applies to businesses' customers and apply to the broader regulatory environment

**(D)** Can describe the legislation relevant to your regulatory function and apply to the broader regulatory environment

**(D)** Can explain the role and responsibilities of partner organisations and their interrelationships and apply to the broader regulatory environment





**(D)** Can explain the architecture of regulatory frameworks and your role within it and apply to the broader regulatory environment

**Risk assessment**

**(P)** Can explain how to use risk assessment to support compliance

**(M)** Can explain how to use risk assessment to support compliance and illustrate with relevant examples



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

**Business stakeholders and their compliance needs**

**(P)** Can describe the business environment you interact with

**(P)** Can describe how regulation and the way it is enforced can impact on the businesses regulated



**(P)** Can describe the factors that affect business approaches to compliance

**(P)** Can demonstrate understanding of the need to provide compliance support to businesses they work with

**(M)** Can describe the business environment you interact with and illustrate with relevant examples



**(M)** Can describe how regulation and the way it is enforced can impact on the businesses regulated and illustrate with relevant examples

**(M)** Can describe the factors that affect business approaches to compliance and illustrate with relevant examples

**(M)** Can demonstrate understanding of the need to provide compliance support to businesses they work with and illustrate with relevant examples



**(D)** Can describe the business environment you interact with and apply to the broader regulatory environment

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

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



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

**Understand businesses they work with**

**(P)** Can demonstrate how you would engage constructively with business and tailor your approach to businesses that you interact with

**(P)** Can demonstrate how you would take account of the provisions of statutory codes in order to engage effectively with businesses



**(M)** Can demonstrate with relevant examples how you would engage constructively with business and tailor your approach to businesses that you interact with

**(M)** Can demonstrate with relevant examples how you would take account of the provisions of statutory codes in order to engage effectively with businesses

**(D)** Can demonstrate how you would engage constructively with business and tailor your approach to businesses that you interact with and show how you would apply this skill in other regulatory environments



**(D)** Can demonstrate how you would take account of the provisions of statutory codes in order to engage effectively with businesses and show how you would apply this skill in other regulatory environments

**Plan their activities**

**(P)** Can demonstrate how you would work as part of a team building and maintaining good working relationships with both business and regulator stakeholders

**(M)** Can demonstrate with relevant examples how you would work as part of a team building and maintaining good working relationships with both business and regulator stakeholders





**(D)** Can demonstrate how you would work as part of a team building and maintaining good working relationships with both business and regulator stakeholders and show how you would apply this skill in other regulatory environments

**Choose appropriate interventions**

**(P)** Can demonstrate how you would make appropriate intervention choices to have the greatest impact on supporting compliance

**(P)** Can demonstrate how you would take a proportionate approach to intervention choice



**(P)** Can demonstrate how you would work effectively with other organisations

**(M)** Can demonstrate with relevant examples how you would make appropriate intervention choices to have the greatest impact on supporting compliance

**(M)** Can demonstrate with relevant examples how you would take a proportionate approach to intervention choice



**(M)** Can demonstrate with relevant examples how you would work effectively with other organisations

**(D)** Can demonstrate how you would make appropriate intervention choices to have the greatest impact on supporting compliance and show how you would apply this skill in other regulatory environments

**(D)** Can demonstrate how you would take a proportionate approach to intervention choice and show how you would apply this skill in other regulatory environments



**(D)** Can demonstrate how you would work effectively with other organisations and show how you would apply this skill in other regulatory environments

**Check compliance**

**(P)** Can demonstrate how you would prepare appropriately for checks on compliance

**(P)** Can demonstrate how you would conduct interventions in a proportionate manner



**(P)** Can demonstrate how you would be responsive to the circumstances encountered

**(P)** Can demonstrate how you would make informed assessments of compliance and risk

**(P)** Can demonstrate how you would follow-up on checks on compliance in an appropriate manner



**(M)** Can demonstrate with relevant examples how you would prepare appropriately for checks on compliance

**(M)** Can demonstrate with relevant examples how you would conduct interventions in a proportionate manner

**(M)** Can demonstrate with relevant examples how you would be responsive to the circumstances encountered



**(M)** Can demonstrate with relevant examples how you would make informed assessments of compliance and risk

**(M)** Can demonstrate with relevant examples how you would follow-up on checks on compliance in an appropriate manner

**(D)** Can demonstrate how you would prepare appropriately for checks on compliance and show how you would apply this skill in other regulatory environments



**(D)** Can demonstrate how you would conduct interventions in a proportionate manner and show how you would apply this skill in other regulatory environments

**(D)** Can demonstrate how you would be responsive to the circumstances encountered and show how you would apply this skill in other regulatory environments

**(D)** Can demonstrate how you would make informed assessments of compliance and risk and show how you would apply this skill in other regulatory environments





**(D)** Can demonstrate how you would follow-up on checks on compliance in an appropriate manner and show how you would apply this skill in other regulatory environments

**Respond to non-compliance**

**(P)** Can demonstrate how you work with partner organisations to support proportionate, risk based responses to non-compliance

**(P)** Can demonstrate how you would conduct thorough investigations of non-compliance and allegations of non-compliance



**(P)** Can demonstrate how you would provide appropriate support for those adversely affected by non-compliance

**(M)** Can demonstrate with relevant examples how you work with partner organisations to support proportionate, risk based responses to non-compliance

**(M)** Can demonstrate with relevant examples how you would conduct thorough investigations of non-compliance and allegations of non-compliance



**(M)** Can demonstrate with relevant examples how you would provide appropriate support for those adversely affected by non-compliance

**(D)** Can demonstrate how you work with partner organisations to support proportionate, risk based responses to non-compliance and show how you would apply this skill in other regulatory environments

**(D)** Can demonstrate how you would conduct thorough investigations of non-compliance and allegations of non-compliance and show how you would apply this skill in other regulatory environments



**(D)** Can demonstrate how you would provide appropriate support for those adversely affected by non-compliance and show how you would apply this skill in other regulatory environments

**Evaluate**

**(P)** Can demonstrate how you would monitor and report on their activities and performance

**(P)** Can demonstrate how you would evaluate their activities in relation to your regulatory objectives and your organisation's strategic priorities



**(M)** Can demonstrate with relevant examples how you would monitor and report on their activities and performance

**(M)** Can demonstrate with relevant examples how you would evaluate their activities in relation to your regulatory objectives and your organisation's strategic priorities

**(D)** Can demonstrate how you would monitor and report on their activities and performance and show how you would apply this skill in other regulatory environments



**(D)** Can demonstrate how you would evaluate their activities in relation to your regulatory objectives and your organisation's strategic priorities and show how you would apply this skill in other regulatory environments

**Collaboration**

**(P)** Can demonstrate how you have worked collaboratively and built professional relationships with colleagues and partner organisations

**(M)** Can demonstrate how you have worked collaboratively and built professional relationships with colleagues and partner organisations and describe the benefits



**(D)** Can demonstrate how you have worked collaboratively and built professional relationships with colleagues and partner organisations and describe how the benefits could be achieved in other regulatory environments

**Quality service delivery**

**(P)** Can demonstrate how you have delivered a quality service by having a customer focussed mind set

**(M)** Can demonstrate how you have delivered a quality service by having a customer focussed mind set and describe the benefits



**(D)** Can demonstrate how you 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**

**(P)** Can demonstrate how you have led by examples

**(M)** Can demonstrate how you have led by example and describe the benefits





**(D)** Can demonstrate how you have led by example and describe how the benefits could be achieved in other regulatory environments

**Change and improvement**

**(P)** Can demonstrate how you have been creative and open to change

**(M)** Can demonstrate how they have been creative and open to change and describe the benefits



**(D)** 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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