

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

Mock Assessment Materials

Observation of Professional Practice

Evaluation		
Ref	Pass Assessment Criteria	Passed?
E1	Demonstrate in their practice how they gather and utilise feedback from stakeholders	
Ref	Merit Assessment Criteria	Passed?
E2	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	
Ref	Distinction Assessment Criteria	Passed?
E3	Demonstrate in their practice how they gather and utilise feedback from stakeholders. Implications of feedback are understood and predicted.	

Deliver a service		
Ref	Pass Assessment Criteria	Passed?
DS1	Demonstrate in their practice that they can plan and deliver compliance support services in line with business expectation	
DS2	Demonstrate in their practice that they can carry out activities in line with their organisation's regulatory outcomes	
DS3	Demonstrate in their practice that they can work within the organisation's policies and procedures and the law (NB failure to demonstrate compliance will result in a failure of the End-point Assessment)	
Ref	Merit Assessment Criteria	Pssed?

DS4	Demonstrate in their practice that they can plan and deliver compliance support services in excess of business expectation. This could be delivered ahead of schedule or they can offer a range of compliance solutions.	
DS5	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	
DS3	Demonstrate in their practice that they can work within the organisation's policies and procedures and the law (NB failure to demonstrate compliance will result in a failure of the End-point Assessment)	
Ref	Distinction Assessment Criteria	Passed?
DS6	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.	
DS7	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	Demonstrate in their practice that they can work within the organisation's policies and procedures and the law (NB failure to demonstrate compliance will result in a failure of the End-point Assessment)	

Risk assess		
Ref	Pass Assessment Criteria	Passed?
RA4	Demonstrate in their practice that they can assess regulatory risks and use risk assessment	
Ref	Merit Assessment Criteria	Passed?
RA5	Demonstrate in their practice that they can assess regulatory risks and use risk assessment. Analyse the risks identified and suggest appropriate actions or mitigation	
Ref	Distinction Assessment Criteria	Passed?
RA6	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		
Ref	Pass Assessment Criteria	Passed?
CA1	Demonstrate in their practice that they can gather, analyse, use and share data to inform risk assessment	
Ref	Merit Assessment Criteria	Passed?
CA2	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	
Ref	Distinction Assessment Criteria	Passed?
CA3	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		
Ref	Pass Assessment Criteria	Passed?
PA1	Demonstrate in their practice that they can plan their compliance support activities so as to deliver their responsibilities efficiently	
Ref	Merit Assessment Criteria	Passed?
PA2	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	
Ref	Distinction Assessment Criteria	Passed?
PA3	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		
Ref	Pass Assessment Criteria	Passed?
CC1	Demonstrate in their practice that they can conduct interventions in a proportionate manner	
CC2	Demonstrate in their practice that they can be responsive to the circumstances encountered	
CC3	Demonstrate in their practice that they can make informed assessments of compliance and risk	
CC4	Demonstrate in their practice that they can follow-up on checks on compliance in an appropriate manner	
Ref	Merit Assessment Criteria	Passed?
CC5	Demonstrate in their practice that they can conduct interventions in a proportionate manner and have developed their practice within their own role as a consequence	
CC6	Demonstrate in their practice that they can be responsive to the circumstances encountered and have developed their practice within their own role as a consequence	
CC7	Demonstrate in their practice that they make informed assessments of compliance and risk and have developed their rationale and understanding of the assessment process	
CC8	Demonstrate in their practice that they can follow-up on checks on compliance in an appropriate manner and have developed their rationale and understanding of follow-up checks	
Ref	Distinction Assessment Criteria	Passed?
CC9	Demonstrate in their practice that they can conduct interventions in a proportionate manner and give support and advice likely to mitigate future incidents of non-compliance	
CC10	Demonstrate in their practice that they can be responsive to the circumstances encountered and can show an understanding of the wider implications and potential consequences	
CC11	Demonstrate in their practice that they can make informed assessments of compliance and risk and use a broader range of methods to assess the compliance and risks in a wider context	
CC12	Demonstrate in their practice that they can follow-up on checks on compliance in an appropriate manner and have developed the use of a broader range of methods to assess the risks in a wider context	

Support compliance		
Ref	Pass Assessment Criteria	Passed?
SC1	Demonstrate in their practice that they can promote the importance of compliance and their organisation's role in supporting compliance	
SC2	Demonstrate in their practice that they can provide information and guidance that is needed by businesses and/or those they regulate	
SC3	Demonstrate in their practice that they can provide the tailored advice that is needed by businesses where appropriate	
Ref	Merit Assessment Criteria	Passed?
SC4	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	
SC5	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	
SC6	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	
Ref	Distinction Assessment Criteria	Passed?
SC7	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	
SC8	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	
SC9	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	

Respond to non-compliance		
Ref	Pass Assessment Criteria	Passed?
NC1	Demonstrate in their practice that they can plan and deliver compliance support services in line with business expectation	
NC2	Demonstrate in their practice that they can take appropriate actions to deal with non-compliance using a wide range of interventions	
Ref	Merit Assessment Criteria	Passed?
NC3	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	
NC4	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	
Ref	Distinction Assessment Criteria	Passed?
NC5	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	
NC4	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	

Effective decision making		
Ref	Pass Assessment Criteria	Passed?
DM1	Demonstrate in their practice that they can make sound decisions based on effective appraisal of the information available	
Ref	Merit Assessment Criteria	Passed?
DM2	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	
Ref	Distinction Assessment Criteria	Passed?

DM3	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	
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IT and digital		
Ref	Pass Assessment Criteria	Passed?
IT1	Demonstrate in their practice that they can use IT systems to manage, share and store information in accordance with data protection requirements where appropriate	
IT2	Demonstrate in their practice that they can use digital technologies to communicate with and support partner organisations and regulated entities	
IT3	Demonstrate in their practice that they can use digital competencies to support the regulation of online markets	
Ref	Merit Assessment Criteria	Passed?
IT4	Demonstrate in their practice that they can use IT systems to manage, share and store information in accordance with data protection requirements where appropriate and understand the implications of IT for the broader regulatory practice	
IT5	Demonstrate in their practice that they can use digital technologies to communicate with and support partner organisations and regulated entities and have developed their understanding of the merits of different types of communication	
IT6	Demonstrate in their practice that they can use digital competencies to support the regulation of online markets and have developed their understanding of different modes of regulation for on-line markets	
Ref	Distinction Assessment Criteria	Passed?
IT7	Demonstrate in their practice that they can use IT systems to manage, share and store information in accordance with data protection requirements where appropriate and can show how their broader regulatory practice can be enhanced by IT	
IT8	Demonstrate in their practice that they can use digital technologies to communicate with and support partner organisations and regulated entities and have developed their ability to use a variety of digital technologies to optimise their communications	
IT9	Demonstrate in their practice that they can use digital competencies to support the regulation of online markets and develop a variety of digital competences to optimally regulate digital markets	

Delivery at pace		
Ref	Pass Assessment Criteria	Passed?
DP1	Demonstrate in their practice that they plan and deliver compliance support services in line with business expectation	
Ref	Merit Assessment Criteria	Passed?
DP2	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	
Ref	Distinction Assessment Criteria	Passed?
DP3	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	