

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

Apprentice Details

Name	
Employer	
Training Provider	

Portfolio of evidence

It is a requirement of this assessment plan that a portfolio of evidence is submitted at Gateway to support the viva. This is not assessed. Please see the EPA-kit for more information on the requirements for the portfolio of evidence.

Please indicate below which piece of evidence is mapped to each KSB covered in the viva. Please use the same reference as the file name to ensure the correct piece of evidence can be located.

KSB	Evidence reference	Evidence location
The role of regulation as a tool of Government (R1, R7, R13)		
legal frameworks and powers (R2, R8, R14)		
The law and where it applies to businesses' customers (R3, R9, R15)		
The legislation relevant to their regulatory function(s) (R4, R10, R16)		
The role and responsibilities of partner organisations and their interrelationships (R5, R11, R17)		
The architecture of regulatory frameworks and their role within it (R6, R12, R18)		
Risk assessment as a tool to support compliance (RA1, RA2, RA3)		
Knowledge of the business environment they interact with (BS1, BS5, BS9)		
How regulation and the way it is enforced can impact on the businesses regulated (BS2, BS6, BS10)		

The factors that affect business approaches to compliance (BS3, BS7, BS11)		
The need to provide compliance support to businesses they work with (BS4, BS8, BS12)		
Monitor and report on their activities and performance (EV1, EV3, EV5)		
Evaluate their activities in relation to their regulatory objectives and their organisation's strategic priorities (EV2, EV4, EV6)		
Work as part of a team building and maintaining good working relationships with both business and regulator stakeholders (PA4, PA5, PA6)		
Prepare appropriately for checks on compliance (CC13, CC18, CC23)		
Conduct interventions in a proportionate manner (CC14, CC19, CC24)		
Be responsive to the circumstances encountered (CC15, CC20, CC25)		
Make informed assessments of compliance and risk (CC16, CC21, CC26)		
Follow-up on checks on compliance in an appropriate manner (CC17, CC22, CC27)		
Work with partner organisations to support proportionate, risk based responses to non-compliance (NC6, NC9, NC12)		
Conduct thorough investigations of non-compliance and allegations of non-compliance (NC7, NC10, NC13)		
Provide appropriate support for those adversely affected by non-compliance (NC8, NC11, NC14)		
Engage constructively with business and tailor their approach to businesses that they interact with (UB1, UB3, UB5)		
Take account of the provisions of statutory Codes in order to engage effectively with businesses (UB2, UB4, UB6)		
Make appropriate intervention choices to have the greatest impact on supporting compliance (AI1, AI4, AI7)		
Take a proportionate approach to intervention choice (AI2, AI5, AI8)		
Work effectively with other organisations (AI3, AI6, AI9)		
Working collaboratively and building professional relationships with colleagues and partner organisations (C1, C2, C3)		

Leading by example. This includes being even-handed, supportive, and not letting personal opinions override business needs, and communicating professionally, openly and honestly (LC1, LC2, LC3)		
Being open to change. This includes being creative in supporting continuous improvement or changes to systems or processes (CI1, CI2, CI3)		

Apprentice Declaration

I confirm that the evidence contained in this portfolio of evidence is all my own work and any assistance given and/or sources used have been acknowledged.

Signed by apprentice (name)	Signature	Date

Employer Declaration

I confirm that the portfolio of evidence is valid and attributable to the apprentice.

Signed on behalf of employer (name)	Signature	Date