

## Apprenticeship End-Point Assessment Plan – Regulatory Compliance Officer (Level 4)

### Introduction and Overview

Well designed and enforced regulation plays a vital role in improving the way markets work for the benefit of businesses, employees and citizens, supporting sustainable growth, trade and investment and improved social and environmental outcomes. It is well recognised that the regulatory climate is a key contributor to the creation of a positive and supportive business environment whilst also assuring public and environmental protection.

This end-point assessment plan for a Regulatory Compliance Officer has been the subject of extensive consultation and designed with input from both public and private sector experts who have many years of experience working in a wide range of regulatory fields. The Regulatory Compliance Trailblazer Steering Group includes employers from local government, national regulators, central government, retailing, manufacturing, the voluntary sector and consultancy.

We have worked alongside colleagues from professional bodies that represent large numbers of regulatory practitioners.

### Summary

On completion of this apprenticeship the apprentice will be an occupationally competent Regulatory Compliance Officer. The apprenticeship standard (Appendix 1) provides a detailed description of the skills, knowledge and behaviours required of the Regulatory Compliance Officer apprentice. The end-point assessment plan describes how the apprentice is assessed at the end of their apprenticeship and by whom.

The purpose of the 'End-Point Assessment' (EPA) is to test (in a synoptic way) the skills, knowledge and behaviours of the apprentice as set out in the apprenticeship standard. The EPA:

- Requires apprentices to provide oral and documentary evidence of their knowledge, skills and behaviours (competencies) developed throughout the apprenticeship on which they will be assessed.
- Enables the independent assessor to assess the skills and behaviours of the apprentice by observing the apprentice in the course of their normal work.

The EPA includes the following components:

1. **A knowledge exam** comprising multiple choice questions (MCQ) and short answer questions (SAQ)
2. An **observation of professional practice**.
3. A **Viva (interview and professional discussion)** supported by a work-based portfolio of evidence.

Completion of the apprenticeship process comprises a number of key stages which are illustrated in the diagram below:

- Stage 1 –** The apprentice registers for the apprenticeship programme with their employer.
- Stage 2 –** The apprentice completes the agreed period of on-programme training including a work-based portfolio and project.
- Stage 3 –** The apprentice's employer, in conjunction with the training provider, agrees that the apprentice has sufficient experience, knowledge and skills (including maths and English requirements) to enter the gateway to the EPA.
- Stage 4 –** The apprentice undertakes the EPA with an independent assessor who will oversee the knowledge exam, undertake an observation of professional practice, review the work-based portfolio of evidence and lead the final Viva (interview and professional discussion)
- Stage 5 –** The independent assessor judges whether the apprentice has passed or failed the end-point assessment at the end of the final Viva. If the apprentice is successful, the final grade is determined by the independent end-point assessor.

### On-Programme Training:

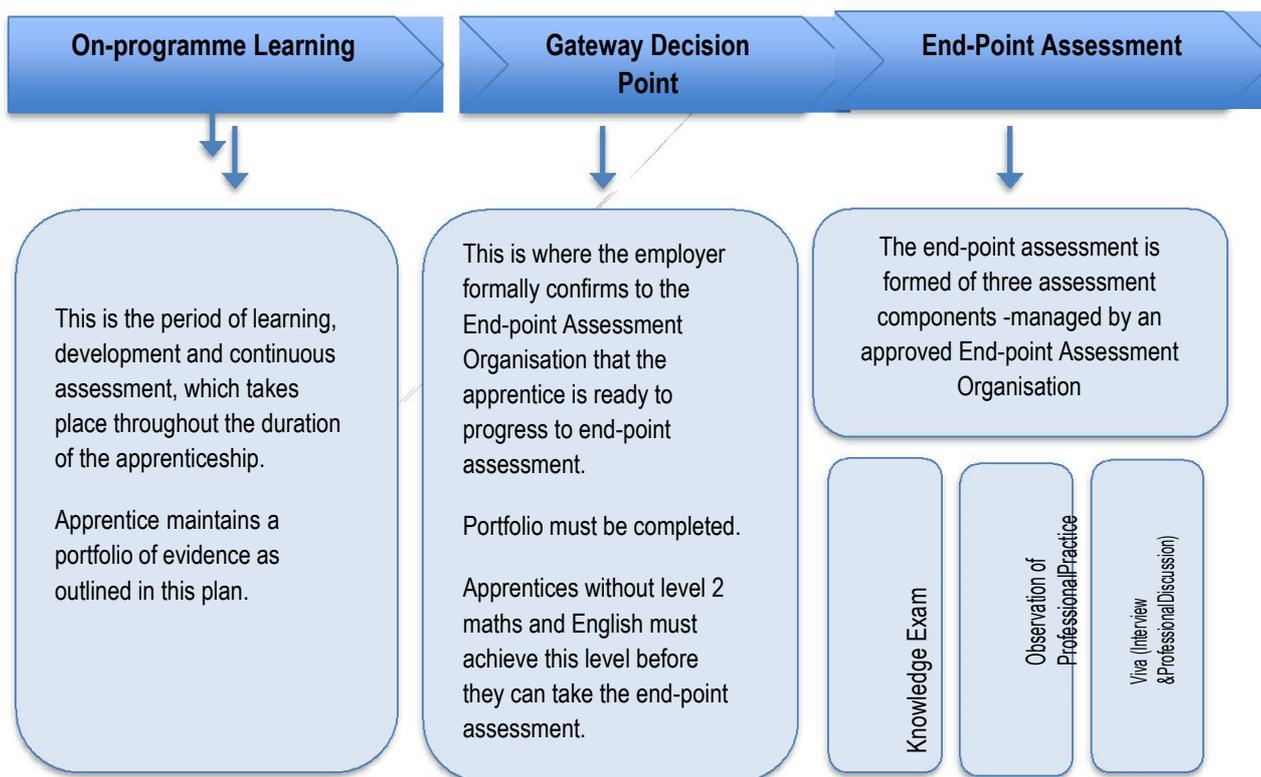
No on-programme training activities are mandated and employers can determine their own on-programme activities. However, it is anticipated that apprentices will usually take 18-24 months to complete this apprenticeship and it is recommended that they participate in training, development and on-going 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.

During the on-programme training, apprentices will need to ensure they maintain evidence for the work-based portfolio that supports the Viva (interview and professional discussion). This will include logbooks of work undertaken, performance review records and evidence of discrete competences and discrete occupational tasks being completed successfully. This is to ensure the candidate’s competence across the various tasks in the workplace required in undertaking the role of Regulatory Compliance Officer in public, private and voluntary sector settings.

### Summary of Apprenticeship Journey



It is recommended that formative assessment (which does not contribute to the final end-point assessment (EPA)) is undertaken throughout the on-programme training to ensure that learning outcomes are being achieved and to assess suitability of the apprentice to transition through the EPA gateway when they will undertake their final end-point assessments.

Evidence must be gathered during completion of their programme of training and development and compiled in a work-based portfolio. The apprentice documents their knowledge and skills development as well as their approach to the workplace (the values and behaviours) through the provision of 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.

The End-point Assessment Organisation (AO) will develop a bank of project assignment briefs that will holistically test the apprentice's ability to demonstrate the knowledge, skills and behaviours detailed in Appendix A; Regulatory Compliance Officer Apprenticeship Standard.

**EPA Gateway:** is the stage at which the apprentice will have completed their on-programme training. An occupationally competent and experienced internal assessor from the employer will sign off a competence evaluation log to show the apprentice is ready for the EPA. This will be developed by the EPAO and is a check list used to monitor the apprentices' development against the standard.

Before going forward for EPA the apprentice must also have passed Level 2 maths and English if they do not already hold these qualifications.

Judgement on whether the apprentice is ready for the EPA is taken by the employer who should gather views from the training provider and the apprentice to inform this decision. If unsuccessful, feedback would be given and remedial action would be required by the apprentice before progressing to the EPA.

It is recommended that by using the work-based 'Portfolio of Evidence' the employer and training organisation should agree and sign off that the apprentice has met the requirements of the Standard and that the apprentice is ready for the formal end-point assessment.

The apprentice would be required to demonstrate the skills, knowledge/understanding and behaviours which in the opinion of the employer and training provider are commensurate with those of a competent Regulatory Compliance Officer at the EPA Gateway stage **before** undertaking the knowledge exam, observation of professional practice and portfolio-based Viva.

Apprentices should not be put forward for the end-point assessment before they are ready.

### End-point Assessment Overview

Once the apprentice goes through the EPA **Gateway** they will undertake formal End-point Assessment. The EPA has three elements – a **Multiple Choice Question (MCQ) and Short Answer Question (SAQ) exam**, an observation of professional practice and a review and professional discussion (Viva) by the assessor of the content of the evidence contained within the work-based portfolio.

Table 1.

End-point Assessment Method	Area Assessed	Assessed By	Grading
Knowledge exam	The MCQ and SAQ exam assesses the following <b>knowledge</b> components of the apprenticeship standard: <ol style="list-style-type: none"> <li>1. Regulation</li> <li>2. Risk assessment</li> <li>3. Business stakeholders and their compliance needs</li> </ol>	Independent End-point Assessment Organisation (RoEPAO approved)	Fail Pass Merit Distinction

<p>An observation of professional practice</p>	<p>The observation of professional practice is undertaken to assess higher level <b>knowledge, skills and behaviours</b>. During the observation of professional practice, the apprentice must be able to:</p> <ol style="list-style-type: none"> <li>1. Plan their activities</li> <li>2. Deliver a service</li> <li>3. Risk assess</li> <li>4. Check compliance</li> <li>5. Support compliance</li> <li>6. Respond to non-compliance</li> <li>7. Deliver at pace</li> <li>8. Collect and analyse data</li> <li>9. Effective decision making</li> <li>10. Evaluation and feedback</li> </ol> <p>During the observation of professional practice the end-point assessor is able to ask questions which the apprentice will be expected to answer.</p>	<p>Independent End-point Assessment Organisation (RoEPAO approved)</p>	<p>Fail Pass Merit Distinction</p>
<p>Viva (interview and professional discussion) based on evidence provided in a work-based portfolio</p>	<p>The Viva (interview and professional discussion) takes the form of a question and answer session to enable the apprentice to further showcase their <b>knowledge, skills and behaviours from</b> across the Standard. The assessor selects the areas they wish to explore with the apprentice after reviewing the evidence contained within the work-based portfolio.</p> <p>The portfolio must contain reflective accounts completed by the apprentice which demonstrate their learning and application of <b>knowledge</b> in practice, their <b>values and behaviours</b>.</p> <p>The apprentice is required to evidence the <b>knowledge, skills and behaviour requirements</b> in the following areas of the apprenticeship standard in the Viva and professional discussion:</p> <ol style="list-style-type: none"> <li>1. Collaboration</li> <li>2. Change and improvement</li> <li>3. Leadership and communication</li> <li>4. Regulation</li> <li>5. Understand businesses they work with</li> <li>6. Business stakeholders and their compliance needs</li> <li>7. Choose appropriate interventions</li> <li>8. Checking compliance</li> <li>9. Evaluate effectiveness</li> </ol>	<p>Independent End-point Assessment Organisation (RoEPAO approved)</p>	<p>Fail Pass Merit Distinction</p>

## Administration of End-point Assessment (EPA)

The assessment will be developed, implemented and assessed by organisations on the RoEPAO. The assessment comprises three components. **All of the three components will contribute to grading and all components must be passed for the Regulatory Compliance Officer to be deemed competent.**

The EPA is triggered by the employer and training provider when the gateway requirements have been met and the readiness of the apprentice determined. Delivery of all training, development and review activities up to the end-point are considered as being 'on-programme'. The independent end-point assessor must not have been involved in any on-programme training, development or on programme review/formative assessment of the apprentice equally the training provider must not be involved in any part of the EPA.

The date and timing of the end-point assessment is agreed by the end-point assessment organisation with the apprentice and their employer and takes place in a controlled environment. The end-point assessment takes the following format and in the following sequence:

- **Knowledge exam.** The apprentice sits the exam which the independent assessor administers (maximum 90 minutes) and consists of 50 questions in total as detailed below.
- **Observation of professional practice.** The apprentice is observed carrying out six tasks detailed in the table on page 5 and mapped against the skills and behaviours requirements of the standard e.g. delivering a service, checking compliance and responding to non-compliance under taking risk assessment (minimum of 110 minutes maximum of 120 minutes)
- **Viva (interview and professional discussion)** based on the evidence contained within the work-based portfolio - The assessor reviews the work-based portfolio generated by the apprentice and bases the Viva on the evidence contained within it. The Viva takes place between the assessor and the apprentice (minimum of 30 minutes and a maximum of 35 minutes)

For final certification, the apprentice must have passed all components in the EPA. At the conclusion of the end-point assessment, the independent assessor collates the evidence and determines the final grading for the apprenticeship. The grading decision is made solely by the independent assessor.

To successfully pass the apprenticeship the apprentice must pass all three components of the EPA. Should the apprentice fail any components they are required to re-take only those components which they have previously failed.

## End-point Assessment (EPA) detail

### 1 Knowledge Exam

To consist of multiple-choice and structured questions (short-answer) to assess the bulk of the technical knowledge across the apprenticeship - 40 marks MCQ (1 mark per question) (worth 40 marks in total) and 10 SAQ (2 marks per question) (worth 20 marks in total). The AO will develop and hold a bank of questions of sufficient size to prevent predictability. The questions will be reviewed in terms of performance and validity each year, and items added and removed as required after analysis.

These exams will be sat under controlled conditions and assessed by the chosen RoEPAO body (i.e. external and independent).

The knowledge exam covers the following knowledge requirements within the standard:

#### 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.

**2. Observation of Professional Practice**

The independent assessor spends a minimum of 110 minutes and a maximum of 120 minutes observing the apprentice carrying out six work related tasks in a controlled environment. The observation of professional practice will be undertaken based on a simulated scenario derived from a bank of scenarios developed by the AO which relate to the regulated environment in which the apprentice works and allows the apprentice to demonstrate their technical skills and regulatory competences.

Examples include scenarios whereby the apprentice is observed demonstrating the following knowledge, skills and behaviours in their activities;

**Skill - Plan their activities**

- 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.

**Skill – Deliver a service**

- 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.

**Skill - Risks assess**

- Assess regulatory risks and use risk assessment to guide their activities and target resources

**Skill - Check compliance**

- 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.

**Skill - Support compliance**

- 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.

**Skill - Respond to non-compliance**

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

**Behaviour- Delivery at pace**

- Delivering at pace, working to agreed goals and activities, responding to challenges constructively, for example managing time well and thinking positively during the observation of professional practice.

**Skill - Collect and analyse data**

- Gather, analyse, use and share data to inform risk assessment.

**Skill – effective decision making**

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

**Knowledge - Evaluation**

- The value of feedback from those they regulate, and the beneficiaries of regulation such as consumers in informing future activities.

**Skill – IT and Digital**

- 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.

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

Apprentices collect evidence for the portfolio 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 Viva (interview and professional discussion) evidences what the apprentice has achieved during the apprenticeship, covering the following skills, knowledge and behaviours of the apprenticeship standard:

**Behaviour - Collaboration**

- Working collaboratively and building professional relationships with colleagues and partner organisations.

**Behaviour - Change and improvement**

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

**Behaviour - Leadership and communication**

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

**Behaviour – Quality and Service Delivery**

- Delivering a quality service by having a customer focussed mind set.

**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

#### **Skill - Understand the businesses they work with**

- 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.

#### **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.

#### **Skill - Choose appropriate interventions**

- Make appropriate intervention choices to have the greatest impact on supporting compliance.
- Take a proportionate approach to intervention choice.
- Work effectively with other organisations.

#### **Skill - Checking compliance**

- 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.

#### **Skill - Evaluate**

- Monitor and report on their activities and performance.
- Evaluate their activities in relation to their regulatory objectives and their organisation's strategic priorities.

The purpose of the Viva (interview and professional discussion) is to enable the apprentice to further showcase their knowledge, skills and behaviours from across the Standard.

### **End Point Grading**

**Table 2. Overview of End Point Grading**

<b>Award</b>	<b>Knowledge Exam</b>	<b>Observation of Professional Practice</b>	<b>Viva Professional Discussion</b>
Distinction	Distinction	Distinction	Minimum grade of Merit
Merit	Minimum grade of Merit	Minimum grade of Merit	Minimum grade of Pass
Pass	Minimum grade of Pass	Minimum grade of Pass	Minimum grade of Pass
Fail	The apprentice has not achieved a minimum of a Pass in each method.		

All Assessment Method components of the EPA must be passed in order to attain an overall pass grade.

## **1. The knowledge exam**

There are 50 questions in total; 40 of these questions are MCQ (1 mark per question with a maximum therefore of 1 x 40 = 40 marks) and 10 questions are SAQ (2 marks per question with a maximum therefore of 2 x 10 = 20 marks) in this exam. The maximum overall marks available are 40(MCQ) +20(SAQ) =60 marks. The grade boundaries are set to allow candidates to achieve Pass, Merit and Distinction grades as shown in Table 3

**The detailed grade descriptors for each element of the end point assessment are shown in Table 3**

**Table 3 Knowledge Exam Detailed Grade Descriptors**

Knowledge	Understanding assessed in:	Fail	Pass	Merit	Distinction
Regulation	The role of regulation as a tool of Government	Fails to score at least 60% on the Knowledge Exam	Scores between 60% and 69% on the Knowledge Exam	Scores between 70% and 79% on the Knowledge Exam	Scores over 80% on the Knowledge Exam
	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				
Risk Assessment	Risk assessment as a tool to support compliance				
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				

## 2. Observation of professional practice assessment

It is acknowledged that the professional environments in which regulatory apprentices are employed will vary (e.g. Environmental Health; Trading Standards etc.) However, whilst the operational environment and context may be different, the level of difficulty in end-point assessment will be the same. This is achieved by mapping the end-point assessment requirements against the Standard.

The detailed grade descriptors for the observation of professional practice assessment are shown in Table 4.

Table 4 Observation of Professional Practice Assessment Detailed Grade Descriptors

	Element of Standard	Fail – any of the following	Pass – all of the following	Merit– At least 15 of the following	Distinction– at least 17 of the following
Knowledge	Understanding assessed in:		Where the criteria to determine an award level transcends different grading, then the grade achieved can be used at the higher level		
Evaluation	The value of feedback from those they regulate, and the beneficiaries of regulation such as consumers in informing future activities	Do not demonstrate in their practice how they gather and utilise feedback from stakeholders	Demonstrate in their practice how they gather and utilise feedback from stakeholders	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	Demonstrate in their practice how they gather and utilise feedback from stakeholders. Implications of feedback are understood and predicted.
Skill	Assessment of the apprentices' ability to;	Fail	Pass	Merit	Distinction
Deliver a Service	Plan and deliver compliance support services in line with business expectation	Demonstrate in their practice that they do not always know how to plan and deliver compliance support services in line with business expectation	Demonstrate in their practice that they can plan and deliver compliance support services in line with business expectation	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.	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.
	Carry out activities in line with their organisation's regulatory outcomes – ensuring business prosperity and consumer/environmental protection	Demonstrate in their practice that they do not always know how to carry out activities in line with their organisation's regulatory outcomes	Demonstrate in their practice that they can carry out activities in line with their organisation's regulatory outcomes	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	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.
	Work within the organisation's policies and procedures and the law	Demonstrate in their practice that they do not always know how to work within the law and critical organisation's policies and procedures	<b>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)</b>		

	<b>Element of Standard</b>	<b>Fail</b>	<b>Pass</b>	<b>Merit</b>	<b>Distinction</b>
Risk Assess	Assess regulatory risks and use risk assessment to guide their activities and target resources	Demonstrate in their practice that they do not always know how to assess regulatory risks and use risk assessment	Demonstrate in their practice that they can assess regulatory risks and use risk assessment	Demonstrate in their practice that they can assess regulatory risks and use risk assessment. Analyse the risks identified and suggest appropriate actions or mitigation	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	Gather, analyse, use and share data to inform risk assessment	Demonstrate in their practice that they do not always know how to gather, analyse, use and share data to inform risk assessment	Demonstrate in their practice that they can gather, analyse, use and share data to inform risk assessment	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	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	Plan their compliance support activities so as to deliver their responsibilities efficiently	Demonstrate in their practice that they do not always know how to plan their compliance support activities so as to deliver their responsibilities efficiently	Demonstrate in their practice that they can plan their compliance support activities so as to deliver their responsibilities efficiently	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	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	Conduct interventions in a proportionate manner	Demonstrate in their practice that they do not always know how to conduct interventions in a proportionate manner	Demonstrate in their practice that they can conduct interventions in a proportionate manner	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	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
	Be responsive to the circumstances encountered	Demonstrate in their practice that they do not always know how to be responsive to the circumstances encountered	Demonstrate in their practice that they can be responsive to the circumstances encountered	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	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

	Element of Standard	Fail	Pass	Merit	Distinction
	Make informed assessments of compliance and risk	Demonstrate in their practice that they do not always know how to make informed assessments of compliance and risk	Demonstrate in their practice that they can make informed assessments of compliance and risk	Demonstrate in their practice that they make informed assessments of compliance and risk and have developed their rationale and understanding of the assessment process	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
	Follow-up on checks on compliance in an appropriate manner	Demonstrate in their practice that they do not always know how to follow-up on checks on compliance in an appropriate manner	Demonstrate in their practice that they can follow-up on checks on compliance in an appropriate manner	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	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	Promote the importance of compliance and their organisation's role in supporting compliance	Demonstrate in their practice that they do not always know how to promote the importance of compliance and their organisation's role in supporting compliance	Demonstrate in their practice that they can promote the importance of compliance and their organisation's role in supporting compliance	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	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
	Provide information and guidance that is needed by businesses and/or those they regulate	Demonstrate in their practice that they do not always know how to provide information and guidance that is needed by businesses and/or those they regulate	Demonstrate in their practice that they can provide information and guidance that is needed by businesses and/or those they regulate	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.	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

	Element of Standard	Fail	Pass	Merit	Distinction
	Provide the tailored advice that is needed by businesses where appropriate	Demonstrate in their practice that they do not always know how to provide the tailored advice that is needed by businesses where appropriate	Demonstrate in their practice that they can provide the tailored advice that is needed by businesses where appropriate	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	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	Communicate effectively with businesses that have failed to comply	Demonstrate in their practice that they do not always know how to plan and deliver compliance support services in line with business expectation	Demonstrate in their practice that they can plan and deliver compliance support services in line with business expectation	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	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
	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	Demonstrate in their practice that they do not always know how to take appropriate actions to deal with non-compliance using a wide range of interventions	Demonstrate in their practice that they can take appropriate actions to deal with non-compliance using a wide range of interventions	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	Having sound judgement. This includes making decisions about the relevance, quality and accuracy of the information available and using and sharing it appropriately	Demonstrate in their practice that they do not always know how to make sound decisions based on effective appraisal of the information available	Demonstrate in their practice that they can make sound decisions based on effective appraisal of the information available	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	Demonstrate in their practice that they can make sound decisions based on effective appraisal of the information available and have developed their appreciation of the consequences of their decision making

	Element of Standard	Fail	Pass	Merit	Distinction
IT and Digital	Use IT systems to manage, share and store information in accordance with data protection requirements where appropriate	Demonstrate in their practice that they do not always know how to use IT systems to manage, share and store information in accordance with data protection requirements where appropriate	Demonstrate in their practice that they can use IT systems to manage, share and store information in accordance with data protection requirements where appropriate	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	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
	Use digital technologies to communicate with and support partner organisations and regulated entities	Demonstrate in their practice that they do not always know how to use digital technologies to communicate with and support partner organisations and regulated entities	Demonstrate in their practice that they can use digital technologies to communicate with and support partner organisations and regulated entities	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	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
	Use digital competencies to support the regulation of online markets	Demonstrate in their practice that they do not always know how to use digital competencies to support the regulation of online markets	Demonstrate in their practice that they can use digital competencies to support the regulation of online markets	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	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
<b>Behaviour</b>	<b>Assessment of the apprentices' behaviours in:</b>	<b>Fail</b>	<b>Pass</b>	<b>Merit</b>	<b>Distinction</b>
Delivery at pace	Delivering at pace, working to agreed goals and activities, responding to challenges constructively, for example managing time well and thinking positively	Demonstrate in their practice that they do not always plan and deliver compliance support services in line with business expectation	Demonstrate in their practice that they plan and deliver compliance support services in line with business expectation	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	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

### **3. Viva/Professional Discussion based on evidence provided in a work-based portfolio**

The Viva is there to validate the evidence contained within the work-based portfolio and to fill any gaps in evidence where identified. The Viva is graded as Fail, Pass, Merit or Distinction by the independent assessor.

Table 5 Viva and Work-Based Portfolio Detailed Grade Descriptors

	Element of Standard	Fail – Any of the following	Pass – all of the following	Merit– at least 22 of the following	Distinction– at least 25 of the following
<b>Knowledge</b>	Understanding assessed in:		Where the criteria to determine an award level transcends different grading, then the grade achieved can be used at the higher level		
<b>Regulation</b>	The role of regulation as a tool of Government	Cannot fully explain the role of regulation as a tool of Government	Can explain the role of regulation as a tool of Government	Can explain the role of regulation as a tool of Government and illustrate with relevant examples	Can explain the role of regulation as a tool of Government and apply to the broader regulatory environment
	Legal frameworks and powers	Cannot fully describe the legal frameworks and powers relevant to their role	Can describe the legal frameworks and powers relevant to their role	Can describe the legal frameworks and powers relevant to their role and illustrate with relevant examples	Can describe the legal frameworks and powers relevant to their role and apply to the broader regulatory environment
	The law and where it applies to businesses' customers	Cannot fully explain the law and where it applies to businesses' customers	Can explain the law and where it applies to businesses' customers	Can explain the law and where it applies to businesses' customers and illustrate with relevant examples	Can explain the law and where it applies to businesses' customers and apply to the broader regulatory environment
	The legislation relevant to their regulatory function(s)	Cannot fully describe the legislation relevant to their regulatory function(s)	Can describe the legislation relevant to their regulatory function(s)	Can describe the legislation relevant to their regulatory function(s) and illustrate with relevant examples	Can describe the legislation relevant to their regulatory function(s) and apply to the broader regulatory environment
	The role and responsibilities of partner organisations and their interrelationships	Cannot fully explain the role and responsibilities of partner organisations and their interrelationships	Can explain the role and responsibilities of partner organisations and their interrelationships	Can explain the role and responsibilities of partner organisations and their interrelationships and illustrate with relevant examples	Can explain the role and responsibilities of partner organisations and their interrelationships and apply to the broader regulatory environment
	The architecture of regulatory frameworks and their role within it	Cannot fully explain the architecture of regulatory frameworks and their role within it	Can explain the architecture of regulatory frameworks and their role within it	Can explain the architecture of regulatory frameworks and their role within it and illustrate with relevant examples	Can explain the architecture of regulatory frameworks and their role within it and apply to the broader regulatory environment
<b>Risk Assessment</b>	Risk assessment as a tool to support compliance	Cannot fully explain how to use risk assessment to support compliance	Can explain how to use risk assessment to support compliance	Can explain how to use risk assessment to support compliance and illustrate with relevant examples	Can explain how to use risk assessment to support compliance and apply to the broader regulatory environment

	<b>Element of Standard</b>	<b>Fail</b>	<b>Pass</b>	<b>Merit</b>	<b>Distinction</b>
Business stakeholders and their compliance needs	Knowledge of the business environment they interact with	Cannot fully describe the business environment they interact with	Can describe the business environment they interact with	Can describe the business environment they interact with and illustrate with relevant examples	Can describe the business environment they interact with and apply to the broader regulatory environment
	How regulation and the way it is enforced can impact on the businesses regulated	Cannot fully describe how regulation and the way it is enforced can impact on the businesses regulated	Can describe how regulation and the way it is enforced can impact on the businesses regulated	Can describe how regulation and the way it is enforced can impact on the businesses regulated and illustrate with relevant examples	Can describe how regulation and the way it is enforced can impact on the businesses regulated and apply to the broader regulatory environment
	The factors that affect business approaches to compliance	Cannot fully describe the factors that affect business approaches to compliance	Can describe the factors that affect business approaches to compliance	Can describe the factors that affect business approaches to compliance and illustrate with relevant examples	Can describe the factors that affect business approaches to compliance and apply to the broader regulatory environment
	The need to provide compliance support to businesses they work with	Cannot fully demonstrate understanding of the need to provide compliance support to businesses they work with	Can demonstrate understanding of the need to provide compliance support to businesses they work with	Can demonstrate understanding of the need to provide compliance support to businesses they work and illustrate with relevant examples	Can demonstrate understanding of the need to provide compliance support to businesses they work and apply to the broader regulatory environment
<b>Skill</b>	<b>Assessment of the apprentice's ability to;</b>	<b>Fail</b>	<b>Pass</b>	<b>Merit</b>	<b>Distinction</b>
Understand businesses they work with	Engage constructively with business and tailor their approach to businesses that they interact with	Cannot fully demonstrate how they would engage constructively with business and tailor their approach to businesses that they interact with	Can demonstrate how they would engage constructively with business and tailor their approach to businesses that they interact with	Can demonstrate with relevant examples how they would engage constructively with business and tailor their approach to businesses that they interact with	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
	Take account of the provisions of statutory Codes in order to engage effectively with businesses	Cannot fully demonstrate how they would take account of the provisions of statutory codes in order to engage effectively with businesses	Can demonstrate how they would take account of the provisions of statutory codes in order to engage effectively with businesses	Can demonstrate with relevant examples how they would take account of the provisions of statutory codes in order to engage effectively with businesses	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

	Element of Standard	Fail	Pass	Merit	Distinction
Plan their activities	Work as part of a team building and maintaining good working relationships with both business and regulator stakeholders	Cannot fully demonstrate how they would work as part of a team building and maintaining good working relationships with both business and regulator stakeholders	Can demonstrate how they would work as part of a team building and maintaining good working relationships with both business and regulator stakeholders	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	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
Choose appropriate interventions	Make appropriate intervention choices to have the greatest impact on supporting compliance	Cannot fully demonstrate how they would make appropriate intervention choices to have the greatest impact on supporting compliance	Can demonstrate how they would make appropriate intervention choices to have the greatest impact on supporting compliance	Can demonstrate with relevant examples how they would make appropriate intervention choices to have the greatest impact on supporting compliance	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
	Take a proportionate approach to intervention choice	Cannot fully demonstrate how they would take a proportionate approach to intervention choice	Can demonstrate how they would take a proportionate approach to intervention choice	Can demonstrate with relevant examples how they would take a proportionate approach to intervention choice	Can demonstrate how they would take a proportionate approach to intervention choice, and show how they would apply this skill in other regulatory environments
	Work effectively with other organisations	Cannot fully demonstrate how they would work effectively with other organisations	Can demonstrate how they would work effectively with other organisations	Can demonstrate with relevant examples how they would work effectively with other organisations	Can demonstrate how they would work effectively with other organisations, and show how they would apply this skill in other regulatory environments
Check compliance	Prepare appropriately for checks on compliance	Cannot fully demonstrate how they would prepare appropriately for checks on compliance	Can demonstrate how they would prepare appropriately for checks on compliance	Can demonstrate with relevant examples how they would prepare appropriately for checks on compliance	Can demonstrate how they would prepare appropriately for checks on compliance, and show how they would apply this skill in other regulatory environments

	<b>Element of Standard</b>	<b>Fail</b>	<b>Pass</b>	<b>Merit</b>	<b>Distinction</b>
	Conduct interventions in a proportionate manner	Cannot fully demonstrate how they would conduct interventions in a proportionate manner	Can demonstrate how they would conduct interventions in a proportionate manner	Can demonstrate with relevant examples how they would conduct interventions in a proportionate manner	Can demonstrate how they would conduct interventions in a proportionate manner, and show how they would apply this skill in other regulatory environments
	Be responsive to the circumstances encountered	Cannot fully demonstrate how they would be responsive to the circumstances encountered	Can demonstrate how they would be responsive to the circumstances encountered	Can demonstrate with relevant examples how they would be responsive to the circumstances encountered	Can demonstrate how they would be responsive to the circumstances encountered, and show how they would apply this skill in other regulatory environments
	Make informed assessments of compliance and risk	Cannot fully demonstrate how they would make informed assessments of compliance and risk	Can demonstrate how they would make informed assessments of compliance and risk	Can demonstrate with relevant examples how they would make informed assessments of compliance and risk	Can demonstrate how they would make informed assessments of compliance and risk, and show how they would apply this skill in other regulatory environments
	Follow-up on checks on compliance in an appropriate manner	Cannot fully demonstrate how they would follow-up on checks on compliance in an appropriate manner	Can demonstrate how they would follow-up on checks on compliance in an appropriate manner	Can demonstrate with relevant examples how they would follow-up on checks on compliance in an appropriate manner	Can demonstrate how they would follow-up on checks on compliance in an appropriate manner, and show how they would apply this skill in other regulatory environments
Respond to non-compliance	Work with partner organisations to support proportionate, risk based responses to non-compliance	Cannot fully demonstrate how they work with partner organisations to support proportionate, risk based responses to non-compliance	Can demonstrate how they work with partner organisations to support proportionate, risk based responses to non-compliance	Can demonstrate with relevant examples how they work with partner organisations to support proportionate, risk based responses to non-compliance	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

	<b>Element of Standard</b>	<b>Fail</b>	<b>Pass</b>	<b>Merit</b>	<b>Distinction</b>
	Conduct thorough investigations of non-compliance and allegations of non-compliance	Cannot fully demonstrate how they would conduct thorough investigations of non-compliance and allegations of non-compliance	Can demonstrate how they would conduct thorough investigations of non-compliance and allegations of non-compliance	Can demonstrate with relevant examples how they would conduct thorough investigations of non-compliance and allegations of non-compliance	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
	Provide appropriate support for those adversely affected by non-compliance	Cannot fully demonstrate how they would provide appropriate support for those adversely affected by non-compliance	Can demonstrate how they would provide appropriate support for those adversely affected by non-compliance	Can demonstrate with relevant examples how they would provide appropriate support for those adversely affected by non-compliance	Can demonstrate how they would provide appropriate support for those adversely affected by non-compliance and show how they would apply this skill in other regulatory environments
Evaluate	Monitor and report on their activities and performance	Cannot fully demonstrate how they would monitor and report on their activities and performance	Can demonstrate how they would monitor and report on their activities and performance	Can demonstrate with relevant examples how they would monitor and report on their activities and performance	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
	Evaluate their activities in relation to their regulatory objectives and their organisation's strategic priorities	Cannot fully demonstrate how they would evaluate their activities in relation to their regulatory objectives and their organisation's strategic priorities	Can demonstrate how they would evaluate their activities in relation to their regulatory objectives and their organisation's strategic priorities	Can demonstrate with relevant examples how they would evaluate their activities in relation to their regulatory objectives and their organisation's strategic priorities	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

	<b>Element of Standard</b>	<b>Fail</b>	<b>Pass</b>	<b>Merit</b>	<b>Distinction</b>
<b>Behaviour</b>	<b>Assessment of the apprentices' behaviours in:</b>	<b>Fail</b>	<b>Pass</b>	<b>Merit</b>	<b>Distinction</b>
Collaboration	Working collaboratively and building professional relationships with colleagues and partner organisations	Cannot fully demonstrate how they have worked collaboratively and built professional relationships with colleagues and partner organisations	Can demonstrate how they have worked collaboratively and built professional relationships with colleagues and partner organisations	Can demonstrate how they have worked collaboratively and built professional relationships with colleagues and partner organisations and describe the benefits	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
Quality service delivery	Delivering a quality service by having a customer focussed mind set	Cannot fully demonstrate how they have delivered a quality service by having a customer focussed mind set	Can demonstrate how they have delivered a quality service by having a customer focussed mind set	Can demonstrate how they have delivered a quality service by having a customer focussed mind set and describe the benefits	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	Leading by example. This includes being even-handed, supportive, and not letting personal opinions override business needs, and communicating professionally, openly and honestly	Cannot fully demonstrate how they have led by example	Can demonstrate how they have led by example	Can demonstrate how they have led by example and describe the benefits	Can demonstrate how they have led by example and describe how the benefits could be achieved in other regulatory environments
Change and improvement	Being open to change. This includes being creative in supporting continuous improvement or changes to systems or processes	Cannot fully demonstrate how they have been creative and open to change	Can demonstrate how they have been creative and open to change	Can demonstrate how they have been creative and open to change and describe the benefits	Can demonstrate how they have been creative and open to change and describe how the benefits could be achieved in other regulatory environments

## QA Internal

A robust grading scheme must be used by all Apprenticeship Assessors in the end-point assessment of each of the assessment components which must be based on valid and reliable judgments in all cases. Evidence of judgments must be retained as they will be subject to External Quality Assurance. Whilst Apprenticeship Assessors make the final decision on the grade to be awarded; the End-point Assessment Organisation will moderate the end-point assessments on a risk-based sampling system.

End-point assessors must demonstrate that they:

- Have credible expertise in regulatory delivery relative to the Knowledge, Skills and Behaviours detailed in the Standard and have kept themselves up-to-date with developments in regulatory practice. This should include regulatory expertise at either a policy or delivery level of not less than 3 years post qualification.
- Hold, or are working towards, an accredited assessor / verifier qualification or demonstrate equivalent experience.

Consistency and accuracy of end-point assessments and judgments will be achieved through the End-point Assessment Organisation conducting the following:

- Training for Apprenticeship Assessors and other administration and management staff members
- Advanced planning of internal quality assurance activities to ensure these cover all end-point assessment methods; all Apprenticeship Assessors; all component parts of the Apprenticeship and end-point assessment elements
- Monitoring and reviewing of all of the end-point assessors including physical on-site monitoring.
- Interim and random sampling of Work-based Portfolios of Evidence and other evidence produced by the apprentice
- Reviewing of results and data analysis to identify issues/areas of concern, conduct evaluation exercises to inform future areas for improvement.
- Standardisation activities and events for all Apprenticeship Assessors involved in the end-point assessment and other administration and management staff involved in the delivery of the end-point assessments, it is expected that these activities will take place once every quarter.
- Reviewing CPD records to ensure end-point assessors maintain their knowledge and qualifications.

The responsibility for the robustness of the end-point assessment process is held by the End-point Assessment Organisation (IAO). The overall responsibilities of the EPAO are summarised below:

- Ensures there are robust processes in place to deliver end-point assessments to the required standard and that they are appropriate for the sector.
- Develops and maintains a set of Assessment Tools that are used by all of their own assessors to carry out end-point assessments, which will ensure consistency.
- Provides end-point assessors that meet the requirements set out in this End-point Assessment Plan.
- Trains and certifies all individual assessors to be able to assess consistently against the Standard.
- Applies robust quality assurance and verification processes to the end-point assessments e.g. use of standard formats, moderation and standardisation of scoring, oversight of end-point assessment.
- Runs the appeal process for any initial appeals that arise from grading decisions.

IAOs will create and maintain their own Assessment Tools to ensure continuing robustness (independent, consistent, accurate), working with employers in the industry as appropriate.

The assessment methods described previously are designed to produce end-point assessment outcomes that are consistent and reliable, allowing fair and proper comparison between apprentices employed in different types and sizes of organisations. At the core of this will be their set of Assessment Tools that are used by all of their own assessors

and will be a part of the training that assessors receive. EPAOs can create and hold their own Assessment Tools, or use tools that are available in the public domain.

All end-point assessors will be required to have the skills and experience outlined in Table 2. They will be trained and approved by the IAO to ensure that they are capable of carrying out end-point assessments in a fair and consistent manner to make reliable judgments.

The EPAO will provide robust validation and quality assurance processes to ensure that all end-point assessments are robust, that they assess fully against the Standard, are undertaken consistently and to the same standard and that the individuals carrying out the end-point assessment are occupationally competent as detailed in Table 2.

### QA external

External quality assurance of the End-point Assessment for this apprenticeship standard will be undertaken by the Institute for Apprenticeships.

### Independence

EPAs are carried out by staff from independent End-point Assessment organisations on the Education and Skills Funding Agency's Register of End-point Assessment Organisations (RoEPAOs). An apprenticeship certificate is only issued if approved by the independent assessor.

**Table 4. End-point final judgement – summary of roles and responsibilities**

Role	Responsibilities
Apprentice	<ul style="list-style-type: none"> <li>• Participates fully in their training and development</li> <li>• Actively contributes to their performance review</li> <li>• Contributes to the decision on the timing of their End-point Assessment</li> </ul>
Employer	<ul style="list-style-type: none"> <li>• Supports the apprentice throughout their training and development particularly in relation to ensuring that organisational specific technical specialisms are trained</li> <li>• Regularly conducts reviews to monitor progress</li> <li>• Provides pastoral support and helps facilitate the apprentice acquiring workplace evidence to show how the Regulatory Compliance Officer has demonstrated the competencies required of the Standard</li> <li>• Participates in consensus decision making with training provider on the behaviours of the Regulatory Compliance Officer</li> <li>• Decides on the timing of final end-point assessment with the support of the training provider</li> <li>• Works with the training provider to carry out a continuous review of the evidence generated by the Regulatory Compliance Officer apprentice against the training manual as part of the formative on-programme assessment process</li> <li>• Determines when the apprentice is ready to attempt the End-point Assessment</li> </ul>

<p>Training Provider</p>	<ul style="list-style-type: none"> <li>• Takes no part in the design and delivery of the End-point Assessment</li> <li>• Provides on-going training for the apprentice</li> <li>• Provides tools and processes to support the apprentice</li> <li>• Carries out regular reviews with the apprentice and employer</li> <li>• Participates in consensus decision with the employer on the behaviours of the Regulatory Compliance Officer</li> <li>• Supports the employer on deciding the timing of final end-point assessment and advises the employer when the apprentice is ready to undertake the end-point assessment.</li> <li>• Works with the employer to carry out a continuous review of the evidence generated by the Regulatory Compliance Officer against the standard and meeting the agreed assessment strategy as part of the formative on-program assessment process</li> </ul>
<p>Assessment Organisation</p>	<ul style="list-style-type: none"> <li>• Takes no part in the training of those apprentices for whom they complete End-point Assessments</li> <li>• Devises and administers the End-point Assessment</li> <li>• Recruits and trains independent assessors</li> <li>• Ensures assessors are occupationally competent i.e. are an experienced practitioner who has demonstrated competencies in the requirements of the Standard and/or is currently responsible for monitoring or managing those who are performing the functions required of the standard</li> <li>• Operates an appropriate CPD scheme for assessors</li> <li>• Are able to assess the performance of the apprentice in all components of the End-point Assessment and are able to determine the grade achieved</li> <li>• Maintains robust quality assurance processes</li> <li>• Actively participates in the quality assurance procedures described in this end-point assessment plan</li> </ul>

### Implementation – manageability and feasibility

Whilst the major focus of this end-point assessment plan is to ensure that it delivers robust and high quality end-point assessments that accurately assess competence against the Standard, the practicalities of implementation have been carefully considered in the light of the proposed number of apprenticeships and geographic coverage.

This approach to independent end-point assessment is evidence based and sector specific and has been tested with employers who have confirmed that it is the preferred approach.

At this early stage we expect approximately 200 apprentices in the first year. We expect this to grow in future years due to three main factors – the impact of the Apprenticeship Levy; apprenticeships becoming more established in the sector with stronger links to career paths; apprenticeships becoming a more acceptable alternative to full time Higher Education.

We are confident that this approach can be used in organisations of any size within the sector, in part through flexing the role of the Training Provider to ensure the totality of the learning, on-programme assessment and guidance on the end-point assessment can be delivered.

As this Standard is new, we have no direct evidence of the costs of delivering this end-point assessment approach. However, we believe that up to 20% of the costs will be spent on end-point assessment.

## Appendix 1. Apprenticeship Standard - Regulatory Compliance Officer

**Occupation Overview:** Well designed and enforced regulation plays a vital role in improving the way markets work for the benefit of business, employees and citizens, supporting sustainable growth, trade and investment and improved social and environmental outcomes. It is well recognised that the regulatory climate is a key contributor to the creation of a positive and supportive business environment whilst also assuring public and environmental protection.

**Role Profile:** 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

### Requirements: Knowledge, Skills and Behaviour (KSBs)

<b>Key:</b>	
<b>Knowledge Exam</b>	<b>KE</b>
<b>Observation of Professional Practice</b>	<b>OPP</b>
<b>Viva</b>	<b>V</b>

<b>Knowledge</b>	<b>What is required - The Regulatory Compliance Officer will require a comprehensive understanding of;</b>	
Regulation	<ul style="list-style-type: none"> <li>• The role of regulation as a tool of Government.</li> <li>• Legal frameworks and powers.</li> <li>• The law and where it applies to businesses' customers.</li> <li>• The legislation relevant to their regulatory function(s).</li> <li>• The role and responsibilities of partner organisations and their interrelationships.</li> <li>• The architecture of regulatory frameworks and their role within it.</li> </ul>	KE, V KE, V KE, V KE, V KE, V KE, V
Risk Assessment	<ul style="list-style-type: none"> <li>• Risk assessment as a tool to support compliance.</li> </ul>	KE
Business stakeholders and their compliance needs	<ul style="list-style-type: none"> <li>• Knowledge of the business environment they interact with.</li> <li>• How regulation and the way it is enforced can impact on the businesses regulated.</li> <li>• The factors that affect business approaches to compliance.</li> <li>• The need to provide compliance support to businesses they work with.</li> </ul>	KE, V KE, V KE, V KE, V

Evaluation	<ul style="list-style-type: none"> <li>The value of feedback from those they regulate, and the beneficiaries of regulation such as consumers in informing future activities.</li> </ul>	OPP
<b>Skill</b>	<b>What is required</b> - The Regulatory Compliance Officer will have the ability to;	
Deliver a Service	<ul style="list-style-type: none"> <li>Plan and deliver compliance support services in line with business expectation.</li> <li>Carry out activities in line with their organisation's regulatory outcomes – ensuring business prosperity and consumer/environmental protection.</li> <li>Work within the organisation's policies and procedures and the law.</li> </ul>	OPP OPP OPP
Risk Assess	<ul style="list-style-type: none"> <li>Assess regulatory risks and use risk assessment to guide their activities and target resources.</li> </ul>	OPP
Collect and analyse data	<ul style="list-style-type: none"> <li>Gather, analyse, use and share data to inform risk assessment.</li> </ul>	OPP
Understand businesses they work with	<ul style="list-style-type: none"> <li>Engage constructively with business and tailor their approach to businesses that they interact with.</li> <li>Take account of the provisions of statutory Codes in order to engage effectively with businesses.</li> </ul>	V V
Plan their activities	<ul style="list-style-type: none"> <li>Plan their compliance support activities so as to deliver their responsibilities efficiently.</li> <li>Work as part of a team building and maintaining good working relationships with both business and regulator stakeholders.</li> </ul>	OPP V
Choose appropriate interventions	<ul style="list-style-type: none"> <li>Make appropriate intervention choices to have the greatest impact on supporting compliance</li> <li>Take a proportionate approach to intervention choice.</li> <li>Work effectively with other organisations.</li> </ul>	V V V
Check compliance	<ul style="list-style-type: none"> <li>Prepare appropriately for checks on compliance.</li> <li>Conduct interventions in a proportionate manner.</li> <li>Be responsive to the circumstances encountered.</li> <li>Make informed assessments of compliance and risk.</li> <li>Follow-up on checks on compliance in an appropriate manner.</li> </ul>	V OPP, V OPP, V OPP, V OPP, V
Support compliance	<ul style="list-style-type: none"> <li>Promote the importance of compliance and their organisation's role in supporting compliance.</li> <li>Provide information and guidance that is needed by businesses and/or those they regulate.</li> <li>Provide the tailored advice that is needed by businesses where appropriate.</li> </ul>	OPP OPP OPP
Respond to non-compliance	<ul style="list-style-type: none"> <li>Communicate effectively with businesses that have failed to comply.</li> <li>Work with partner organisations to support proportionate, risk based responses to non-compliance.</li> <li>Conduct thorough investigations of non-compliance and allegations of non-compliance.</li> <li>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</li> <li>Provide appropriate support for those adversely affected by non-compliance.</li> </ul>	OPP V V OPP V
Effective decision making	<ul style="list-style-type: none"> <li>Having sound judgement. This includes making decisions about the relevance, quality and accuracy of the information available and using and sharing it appropriately.</li> </ul>	OPP
Evaluate	<ul style="list-style-type: none"> <li>Monitor and report on their activities and performance.</li> <li>Evaluate their activities in relation to their regulatory objectives and their organisation's strategic priorities.</li> </ul>	V V

IT and Digital	<ul style="list-style-type: none"> <li>Use IT systems to manage, share and store information in accordance with data protection requirements where appropriate.</li> <li>Use digital technologies to communicate with and support partner organisations and regulated entities.</li> <li>Use digital competencies to support the regulation of online markets.</li> </ul>	OPP OPP OPP
<b>Behaviour</b>	<b>What is required</b> - The Regulatory Compliance Officer will behave in a way that enables;	
Collaboration	<ul style="list-style-type: none"> <li>Working collaboratively and building professional relationships with colleagues and partner organisations.</li> </ul>	V
Delivery at pace	<ul style="list-style-type: none"> <li>Delivering at pace, working to agreed goals and activities, responding to challenges constructively, for example managing time well and thinking positively.</li> </ul>	OPP
Quality service delivery	<ul style="list-style-type: none"> <li>Delivering a quality service by having a customer focussed mind set.</li> </ul>	V
Leadership and communication	<ul style="list-style-type: none"> <li>Leading by example. This includes being even-handed, supportive, and not letting personal opinions override business needs, and communicating professionally, openly and honestly.</li> </ul>	OPP/V
Change and improvement	<ul style="list-style-type: none"> <li>Being open to change. This includes being creative in supporting continuous improvement or changes to systems or processes.</li> </ul>	V

#### Additional Information

<b>Entry Requirements</b>	Whilst any entry requirements will be a matter for individual employers, typically an apprentice might be expected to have already achieved GCSE Maths and English on entry.
<b>Duration, Level &amp; Renewal</b>	Typically 24 months. Level 4. Renewal 3 years from date of approval.
<b>Qualifications</b>	Apprentices without level 2 English and maths will need to achieve this level prior to taking the end-point assessment.