

Apprenticeships

Find your inner Superhero

Regulatory Compliance Officer Level 4



Overview

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. 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

Key Modules:

- Regulation – the role of regulation, legal frameworks and powers
- Risk Assessment – a tool to support compliance
- Business Stakeholders, Compliance and Collaboration
- Delivering a Service – business expectations, regulatory requirements and quality service delivery
- Intervention strategies and responding to non-compliance
- Effective decision making
- Leadership and communication
- Change and improvement
- IT and digital

The modules are underpinned by a set of knowledge requirements and professional behaviours.



Length of Programme:
Typically 18-24 months

Benefits:

- Supports a business with ensuring their own regulatory compliance
- Encourages individuals to offer a quality service by having a customer focussed mindset
- Involves working collaboratively and building professional relationships with colleagues and partner organisations
- Knowledge builder – risk assessments, compliance, decision making and evaluation
- Earn as you learn
- Level 4 standard equivalent to an HNC, a foundation degree, or the first year of an undergraduate degree





End Point Assessment:

End Point Assessment or EPA as it's known has been created to assess the knowledge, skills and behaviours gained throughout the qualification. EPA is conducted by an external independent body chosen by the employer. EPA offers the chance to showcase your skills and be awarded a grade that reflects your performance. For this qualification the EPA consists of the following:

- Multiple choice and short answer knowledge exam (90 minutes, 50 questions)
- Observation of professional practice, allowing the apprentice to demonstrate technical skills and regulatory competencies based on the regulated environment within which they are working.
- Interview and Professional Discussion, based on evidence submitted in a work based portfolio. The portfolio will 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 (2000 words).

