

Regulatory Compliance Officer

LEVEL 4



This advanced apprenticeship has been designed to help professionals form in-depth knowledge of the industry and business environment in which they work.

Introduction to the course

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.

Learner outcomes

The role of a Regulatory Compliance Officer involves undertaking risk assessments, carrying out investigations and compiling formal reports. Apprentices will develop their skills to investigate complaints and incidents and their ability to work effectively with partner agencies. They will also develop their understanding of the benefits of promoting compliance and they will become skilled at following up on actions and evaluating effectiveness.

A good fit for

Learners need to be:

- A regulator who enforces the law working in Local Government, including Trading Standards, Environmental Health, Environmental Protection, Licensing, Housing and Planning
- A regulator who enforces the law working for a national regulator such as HSE, CAA, DVSA, EA, OFQUAL, ORR, FSA, OPSS
- A compliance officer working within a company to help assure compliance with the law or standards. This might include sectors including Care, Health, Education, Manufacturing, Logistics, Retail, Finance, Pharmaceuticals, Construction etc.

Assessment

The EPA consists of two assessments:

1. A project report with a presentation followed by question and answers lasting 60 minutes
2. 60 minute professional discussion with the independent assessor based on their submitted portfolio of evidence.

What's next?

RCO graduates can go on to become senior regulatory officers leading investigations. In the private sector they might go on to become Compliance Managers with accountability for legal compliance in areas like Health and Safety. Some of our graduates go on to complete professional qualifications in their chosen sector.

This apprenticeship aligned with the International Compliance Association (ICA) for Professional Member, and the Chartered Institute of Environmental Health (CIEH) for Associate membership.

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Course overview



Start Date
Flexible



Level
4



Duration
15 months + 3 months EPA



Delivery
Blended



Assessment
On-Programme and End-Point Assessment



Qualification
Regulatory Compliance Officer Level 4

Regulatory Compliance Officer

LEVEL 4

unlocking potential
delivering personalisation
enhancing performance



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Blended Delivery Model

Month	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
Programme Induction & Enrolment	Blended Learning, Coaching, Mentoring & Peer Support														
	Personal Management & Development Programme launch. Foundations of professional conduct. Workload management and time organisation. Well-being and adaptability. Sustainable resource use.	Legislation Understanding legal and regulatory frameworks. Interpreting and applying legislation. Promoting compliance and ethical standards.	Data Analysis & Management Collecting and managing compliance data. Analysing and interpreting trends. Building data-informed risk assessments.	Risk Management Defining and assessing regulatory risk. Applying data-driven insights to decision-making. Ensuring data quality and integrity.	Inspections, Audits, & Investigations Planning and conducting inspections and audits. Gathering and documenting evidence. Investigating and responding to non-compliance.	Relationship Management & Communication Communicating findings effectively. Building stakeholder relationships. Applying ethical and inclusive communication practices.	Regulatory Compliance Excellence Integrating knowledge, skills, behaviours. Demonstrating real-world application. Achieving independent professional competence.								

Gateway



End Point Assessment

3 Months

- Project report with presentation, question and answers
- Professional discussion underpinned by a portfolio of evidence

Apprenticeship Achieved

Key



Workshop Progress Reviews