

UNIT B8 ENSURE COMPLIANCE WITH LEGAL, REGULATORY, ETHICAL AND SOCIAL REQUIREMENTS

UNIT SUMMARY

What is the unit about?

Organisations must show that they act responsibly in relation to their staff, customers, investors and the communities in which they work. All types of organisations must obey the law in key areas such as health and safety, employment, finance and company law. Many organisations also have to work within specific regulations for their industry and ethical frameworks. Organisations who want to maintain a good reputation also have to take account of the views of people in their communities on a whole range of issues such as the environment and other ways in which the organisation affects people's quality of life.

Who is the unit for?

The unit is recommended for middle managers and senior managers.

Links to other units

This unit is linked to all other units in the overall suite of National Occupational Standards for management and leadership where compliance with legal, regulatory, ethical and social requirements is a possible requirement.

Skills

Listed below are the main generic 'skills' which need to be applied in ensuring compliance with legal, regulatory, ethical and social requirements. These skills are explicit/implicit in the detailed content of the unit and are listed here as additional information.

- Information management
- Communicating
- Involving others
- Analysing
- Monitoring
- Assessing
- Motivating
- Decision-making
- Reporting
- Risk management
- Valuing and supporting others
- Managing conflict
- Presenting information
- Leadership

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Outcomes of effective performance

You must be able to do the following:

- 1 Monitor the relevant legal, regulatory, ethical and social requirements and the effect they have on your area of responsibility, including what will happen if you don't meet them.
- 2 Develop effective policies and procedures to make sure your organisation meets all the necessary requirements.
- 3 Make sure relevant people have a clear understanding of the policies and procedures and the importance of putting them into practice.
- 4 Monitor the way policies and procedures are put into practice and provide support.
- 5 Encourage a climate of openness about meeting and not meeting the requirements.
- 6 Identify and correct any failures to meet the requirements.
- 7 Identify reasons for not meeting requirements and adjust the policies and procedures to reduce the likelihood of failures in the future.
- 8 Provide full reports about any failures to meet the requirements to the relevant stakeholders.

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Behaviours which underpin effective performance

- a You recognise changes in circumstances promptly and adjust plans and activities accordingly.
- b You make time available to support others.
- c You give feedback to others to help them improve their performance.
- d You identify and raise ethical concerns.
- e You are vigilant for potential risks.
- f You make appropriate information and knowledge available promptly to those who need it and have a right to it.
- g You encourage others to share information and knowledge within the constraints of confidentiality.
- h You show sensitivity to stakeholders' needs and manage these effectively.

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Knowledge and understanding

You need to know and understand the following:

General knowledge and understanding

- 1 The importance of having an ethical and value-based approach to governance and how to put this into practice.
- 2 Relevant legal requirements governing the running of organisations.
- 3 Current and emerging social attitudes to management and leadership practice and the importance of being sensitive to these.

Industry/sector specific knowledge and understanding

- 4 Legal, regulatory and ethical requirements in your sector.
- 5 Procedures to follow if you do not meet the requirements.
- 6 Particular current and emerging social concerns and expectations that are relevant to your sector.
- 7 Ways in which other organisations deal with current and emerging social concerns and expectations.

Context specific knowledge and understanding

- 8 The culture and values of your organisation and what effect they have on corporate governance.
- 9 Policies and procedures that make sure people meet the requirements.
- 10 The processes for maintaining the relevant policies and procedures and making sure they continue to be effective.
- 11 The different ways in which people may not meet the requirements and the risks of these actually happening.
- 12 The procedures for dealing with people who do not meet the requirements, including requirements for reporting

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Evidence requirements

Outcomes	Evidence of Outcomes: • possible examples of evidence	Behaviours	Knowledge and Understanding		
			General	Industry specific	Context specific
O1 O2 O3 O5	Policies, systems, procedures and reports you have originated or instigated:				
	• records of training, consultations, working groups, project teams, committees and other forums you have organised and/or participated in to develop, review and implement policies in relation to legal, regulatory, ethical and social issues	a, d, e, f, g, h, i, j	1, 2, 3	1, 2, 3, 4	1, 2
	• health and safety, environmental, corporate social responsibility, equal opportunities, employment, recruitment, customer service and other policy statements you have developed, initiated and/or agreed in relation to legal, regulatory, ethical and social issues	a, d, e, f, g, h, i, j	1, 2, 3	1, 2, 3, 4	1, 2, 5
	• risk assessments you have undertaken or commissioned	a, d, e, f, g, h	1, 2, 3	1, 2, 3, 4	2, 3, 4, 5
O3 O4 O5 O6 O7 O8	Records of actions you have taken to implement policy and address any risks identified:				
	• plans, specifications action plans and other records of systems and procedures, roles and responsibilities, training and development, objectives and other actions you have organised and/or participated in to implement organisational policies in relation to legal, regulatory, ethical and social issues	a, b, c, d, e, f, g, h, i, j	1, 2, 3	1, 2, 3, 4	2, 3, 4, 5
	• documentation you have been responsible for developing relating to the assessment, recognition and auditing of the organisation for external standards (eg ISO14000)	a, e, f, h	1, 2, 3	1, 2, 3, 4	2, 3, 4, 5
	• personal statements, action plans, reports you have prepared and records of actions you have taken, to monitor and review organisational performance, and take appropriate action, in relation to legal, regulatory, ethical and social issues	a, b, c, d, e, f, g, h	1, 2, 3	1, 2, 3, 4	2, 3, 4, 5
	• specifications, action plans, reports from project teams, working groups or committees you have organised and/or participated in, to monitor and review organisational performance, and take appropriate action, in relation to legal, regulatory, ethical and social issues	a, b, c, d, e, f, g, h	1, 2, 3	1, 2, 3, 4	2, 3, 4, 5

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