

CFAM&LBB4 (SQA Unit Code – H8H3 04)

Ensure compliance with legal, regulatory, ethical and social requirements



Overview

This standard is about being clear about your organisation's legal, regulatory, ethical and social requirements, providing policies and procedures to ensure compliance, monitoring compliance and taking action to rectify any breaches in compliance and avoid them being repeated.

This standard is for managers and leaders with specific responsibility for ensuring their organisation's compliance with legal, regulatory, ethical and social requirements.

This standard underpins ethical behaviour throughout the standards.

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Performance criteria

- You must be able to:*
- P1 Monitor relevant national and international legal, regulatory, ethical and social requirements and the effect they have on your organisation, including what will happen if you don't meet them.
 - P2 Develop effective policies and procedures to make sure your organisation meets all the necessary requirements.
 - P3 Make sure people have a clear understanding of relevant policies and procedures and the importance of putting them into practice.
 - P4 Monitor the way policies and procedures are put into practice and provide support, where required.
 - P5 Support people to report any concerns about not meeting the requirements.
 - P6 Identify and correct any failures to meet the requirements.
 - P7 Identify reasons for not meeting requirements and adjust the policies and procedures to reduce the likelihood of failures in the future.
 - P8 Provide full reports about any failures to meet the requirements to the relevant stakeholders.

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Knowledge and understanding

You need to know and understand:

General knowledge and understanding

- K1 The importance of having an ethical and value-based approach to governance and how to put this into practice
- K2 Relevant legal requirements governing the running of organisations
- K3 Current and emerging social attitudes to management and leadership practice and the importance of being sensitive to these.
- K4 Ways in which other organisations deal with current and emerging social concerns and expectations.

You need to know and understand:

Industry/sector specific knowledge and understanding

- K5 Legal, regulatory and ethical requirements in your sector, both national and international.
- K6 Particular current and emerging social concerns and expectations that are relevant to your sector.

You need to know and understand:

Context specific knowledge and understanding

- K7 The culture and values of your organisation and the effect they have on corporate governance.
- K8 Policies and procedures that make sure people meet the requirements.
- K9 Procedures to follow if people do not meet the requirements.
- K10 Support available to enable people to report concerns about not meeting requirements.
- K11 The processes for maintaining the relevant policies and procedures and making sure they continue to be effective.
- K12 The different ways in which people may not meet the requirements and the risks of these actually happening.
- K13 The procedures for dealing with people who do not meet the requirements, including requirements for reporting.

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Behaviours

When performing to this standard, you are likely to demonstrate the following behaviours:

- 1 Recognise changes in circumstances promptly and adjust plans and activities accordingly
- 2 Present information clearly, concisely, accurately and in ways that promote understanding
- 3 Make time available to support others
- 4 Give feedback to others to help them maintain and improve their performance
- 5 Comply with, and ensure others comply with, legal requirements, industry regulations, organisational policies and professional codes
- 6 Watch out for potential risks and hazards
- 7 Say no to unreasonable requests
- 8 Identify and raise ethical concerns
- 9 Make appropriate information and knowledge available promptly to those who need it and have a right to it
- 10 Encourage others to share information and knowledge within the constraints of confidentiality
- 11 Recognise stakeholders' needs and interests and manage these effectively
- 12 Take and implement difficult and/or unpopular decisions, if necessary

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Skills

When performing to this standard, you are likely to demonstrate the following skills:

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

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