



Unit DR50 04 (705)

Ensure Compliance with Legal, Regulatory, Ethical and Social Requirements

Unit Summary

This Unit is about being proactive as a business in complying with the law in key areas such as health and safety, employment, finance and company law. It is about developing a business that acts responsibly in relation to its staff, customers, investors and the communities in which you work.

Many companies have to work within specific regulations for their industry and ethical frameworks. Companies who want to maintain a good reputation also have to take account of the views of people in the communities on a whole range of issues such as the environment and other ways in which the business affects people's quality of life.

In order to achieve this Unit you must demonstrate that you meet all the requirements of the Units. This means all of the stated outcomes and behaviours and every item of knowledge and understanding. Your assessor must be able to observe you in the workplace or you must provide the following **tangible evidence** to your assessor. Please note that **simulation** is **not** allowed for this Unit, ie all your evidence must relate to real work activities.

Achievement of this Unit will provide you with opportunities to develop the following SQA Core Skills:

Communication Higher

- ◆ Produce and respond to oral communication on a complex topic.
- ◆ Produce well-structured written communication on complex topics.

Working With Others Higher

- ◆ Work with others in a group to analyse, plan and complete a complex activity.

Problem Solving Higher

- ◆ Plan, organise and complete a complex task.
- ◆ Review and evaluate a complex problem solving activity.

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I have completed the requirements of this Unit.

Candidate name: _____ **Date:** _____

Candidate signature: _____ **Date:** _____

I can confirm the candidate has completed all requirements of this Unit.

Assessor signature: _____ **Date:** _____

IV signature: _____ **Date:** _____

Assessment centre: _____

You must be able to

- 1 Monitor the relevant legal, regulatory, ethical and social responsibilities 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 business 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.

Behaviours

This means you:

- ◆ recognise changes in circumstances promptly
- ◆ make time available to support others
- ◆ give feedback to others to help them improve their performance
- ◆ identify and raise ethical concerns
- ◆ are vigilant for potential risks
- ◆ make appropriate information and knowledge available promptly to those who need it and have a right to it
- ◆ encourage others to share information and knowledge within the constraints of confidentiality
- ◆ show sensitivity to stakeholders' needs and manage these effectively

Evidence of Performance

The following provides guidance on **possible** examples of evidence.

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
- ◆ 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
- ◆ risk assessments you have undertaken or commissioned

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
- ◆ documentation you have been responsible for developing relating to the assessment, recognition and auditing of the organisation for external standards (eg ISO14000)
- ◆ 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
- ◆ 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

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Candidate name:		Assessor initials/date
No	Activity	
1		
2		
3		
4		
5		
6		
7		
8		

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You need to know and understand		Evidence
Evidence of knowledge and understanding should be collected during observation of performance in the workplace. Where it cannot be collected by observing performance, other assessment methods should be used.		
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 businesses.	
K3	Current and emerging social attitudes to management and leadership practice and the importance of being sensitive to these.	
Knowledge and understanding in the context of your business		
K4	The culture and values of your business and what effect they have on corporate governance.	
K5	Policies and procedures that make sure people meet the requirements	
K6	The processes for maintaining the relevant policies and procedures and making sure they continue to be effective.	
K7	The different ways in which people may not meet the requirements and the risks of these actually happening.	
K8	The procedures for dealing with people who do not meet the requirements, including requirements for reporting.	
Industry or sector specific knowledge and understanding		
K9	Relevant legal, regulatory and ethical requirements in your sector.	
K10	Procedures to follow if you do not meet the requirements.	
K11	Particular current and emerging social concerns and expectations that are relevant to your sector.	
K12	Ways in which other businesses deal with current and emerging social concerns and expectations.	

Notes/Comments

Assessor signature: _____ **Date:** _____