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## Overview

### **What this standard is about**

This standard is about the importance of managing the organisation's compliance with regulatory requirements and how this affects the organisation's day to day operational procedures. The standard is aimed at the Authorised Warehouse Keeper or those who contribute to this role.

The standard covers reporting, investigating and recording non-compliance. An understanding of what constitutes dangerous goods and duty of care for employees and visitors is also considered important.

### **Who this standard is for**

This standard is relevant to all individuals involved in managing excise warehouse operations.

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## Performance criteria

You must be able to:

1. Identify and name the **responsible person** for compliance within the organisation
2. Document and retain all operational procedures in the correct location and according to the organisational systems and procedures
3. Ensure all operational procedures and policies comply with the relevant regulatory requirements
4. Ensure operational procedures are updated to reflect any changes to regulatory or legislative requirements and that all relevant documentation is updated accordingly
5. Manage the compliance of operational procedures according to organisational protocol
6. Manage, identify and report **non-compliance** to the relevant **responsible person** using the correct processes and documentation
7. Respond to any areas of **non-compliance** and ensure appropriate corrective actions are taken to prevent recurrence, where appropriate.
8. Record and remove **dangerous goods** in accordance with legislative and operational procedures
9. Ensure all personnel adhere to and wear the required **Personal Protective Equipment**
10. Manage **duty of care** procedures for all visitors to the organisation and warehouse environment

## Knowledge and understanding

You need to know and understand:

1. The importance of the role of the **responsible person** for organisational compliance
2. The necessary regulatory requirements for documentation and the organisational procedures that are in place to ensure compliance
3. The importance of managing compliance, including the legal implications of **non-compliance** and how this effects business and operational decisions
4. The organisational procedure for the recording of updates and revisions to the regulations
5. The organisational procedure for reporting **non-compliance** to the responsible person and the implications of **non-compliance** to the organisation.
6. The organisations procedure to ensure any **non-compliance** identified is rectified and action is taken to prevent recurrence.
7. The different way and methods of checking compliance in relation to organisational protocol and procedures e.g. to **Her Majesty's Revenue & Customs** (HMRC) requirements and associated organisational procedures
8. The different categorisations of **dangerous goods** and reasons for correctly recording removal
9. The organisational guidelines for **Personal Protective Equipment**
10. and the implications of personnel not wearing **Personal Protective Equipment**
11. The types of visitors and organisational responsibilities in relation to **duty of care** and the implications of not following the correct procedure

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## Glossary

### **Responsible person**

A named person within the organisation, this will either be: the sole proprietor of the business, one of the partners if the business is a partnership, or a director or the company secretary or an authorised signatory if the business is a corporate body.

### **Non-compliance**

Failure to comply with stated conditions and requirements of any approval or authorisation.

### **Dangerous goods**

Dangerous goods may be pure chemicals, mixtures of substances, manufactured products or articles which can pose a risk to people, animals or the environment if not properly handled in use or in transport.

### **Personal Protective Equipment (PPE)**

Personal Protective Equipment, including clothing and work-wear

### **Duty of care**

A moral or legal obligation to ensure the safety or well-being of others, employers have a duty of care to their employees

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