SFJCCAK1.1
Ensure compliance with legal, regulatory, ethical and social requirements

Overview

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.

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Performance criteria

You must be able to:

P1   monitor the relevant national and international 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

P2   develop effective policies and procedures to make sure your organisation meets all the necessary requirements

P3   make sure relevant people have a clear understanding of the 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

P5   encourage a climate of openness about meeting and 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	**General knowledge and understanding**
You need to know and understand:	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

Industry/sector specific knowledge and understanding

You need to know and understand:

K4 legal, regulatory and ethical requirements in your sector, both national and international

K5 procedures to follow if you do not meet the requirements

K6 particular current and emerging social concerns and expectations that are relevant to your sector

K7 ways in which other organisations deal with current and emerging social concerns and expectations

Context specific knowledge and understanding

You need to know and understand:

K8 the culture and values of your organisation and what effect they have on corporate governance

K9 policies and procedures that make sure people meet the requirements.

K10 the processes for maintaining the relevant policies and procedures and making sure they continue to be effective and sustainable

K11 the different ways in which people may not meet the requirements and the risks of these actually happening

K12 the procedures for dealing with people who do not meet the requirements, including requirements for reporting

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Additional Information

Behaviours

1. You recognise changes in circumstances promptly and adjust plans and activities accordingly
2. You make time available to support others
3. You give feedback to others to help them improve their performance
4. You identify and raise ethical concerns
5. You are vigilant for potential risks
6. You make appropriate information and knowledge available promptly to those who need it and have a right to it
7. You encourage others to share information and knowledge within the constraints of confidentiality
8. You show sensitivity to stakeholders' needs and manage these effectively

Skills

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

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