

SFJODPS6.5.1

Establish the nature of corporate non-compliance in large scale complex cases



Overview

This unit concerns using a range of information sources from which an evaluation can be made to establish the nature of non-compliance in large scale, complex corporate cases. The complexity of cases will be defined by the case itself, the size or complexity of the business structure, the volume of business, the market and the location of the business base. You will use appropriate evaluation techniques to identify patterns and trends against expectations and support your conclusions with evidence.

SFJODPS6.5.1

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Performance criteria

You must be able to:

- P1 follow organisational procedures at all times
- P2 maintain your own personal safety
- P3 work in a way that ensures the safety of others
- P4 obtain all relevant information and intelligence from all relevant sources
- P5 evaluate relevant information and intelligence from relevant sources against expectations and legislation
- P6 use appropriate evaluation techniques to identify patterns and trends
- P7 identify inconsistencies in information
- P8 identify other suspected areas of non-compliance
- P9 support your conclusions of the likely cause of non-compliance with evidence from your evaluation
- P10 include specialist technical input in your report when relevant
- P11 record and report your findings according to procedures

SFJODPS6.5.1

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Knowledge and understanding

You need to know and understand:

- K1 the requirements of organisational procedures
- K2 the legal requirements for health and safety
- K3 your organisation's health and safety requirements
- K4 organisational policies, objectives and priorities
- K5 how legislation works in your own discipline
- K6 the aims and objectives of legislation in other disciplines
- K7 organisational guidance, mandatory instructions and procedures
- K8 sources of information and how to access them
- K9 information-sharing protocols
- K10 how to interpret financial and non-financial information
- K11 which evaluation technique is appropriate and why
- K12 risk assessment techniques relevant to the case
- K13 how to identify and to whom to report non-compliance and weaknesses in law or practice

SFJODPS6.5.1

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Additional Information

Scope/range related to performance criteria

Different conditions which affect how you apply your knowledge, and in which you must demonstrate competence are:

1. expectations: guidance; customer performance against sector norms; customer performance against previous performance
2. likely causes: ignorance/negligence; error; avoidance/fraud
3. complexity: of the case; large size and/or high complexity of business structure; volume of business; market (UK/overseas); location of business base

SFJODPS6.5.1

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