

SFJODPS6.5.2

Establish the nature of corporate non-compliance in 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 complex corporate cases. The complexity of cases will be defined by specific parameters for structure, volume of business, case-specific factors and the nature of activities. You will use appropriate evaluation techniques to identify patterns and trends against expectations and support your conclusions with evidence.

SFJODPS6.5.2

Establish the nature of corporate non-compliance in complex cases

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

SFJODPS6.5.2

Establish the nature of corporate non-compliance in complex cases

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

SFJODPS6.5.2

Establish the nature of corporate non-compliance in complex cases

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 as defined within parameters for: structure; volume of business; case- specific factors; nature of activities

SFJODPS6.5.2

Establish the nature of corporate non-compliance in complex cases

Developed by Skills for Justice

Version number 1

Date approved January 2009

Indicative review date January 2011

Validity Current

Status Original

Originating organisation Government Skills

Original URN N6.5.2

Relevant occupations Public Services; Public Service Professionals; Government and Related Organisations

Suite Operational Delivery - Public Services

Key words performance trends, evaluation techniques, evidence-based conclusions, parameters for complexity, operational delivery