

SFJODPS6.5.3

Establish the nature of corporate non-compliance



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 corporate cases. You will use appropriate evaluation techniques to identify patterns and trends against expectations and support your conclusions with evidence. The likely causes of non-compliance are ignorance/negligence, error and avoidance/fraud.

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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

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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

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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

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