

## SFJPD5.1

### Ensure compliance with legal, regulatory, ethical and social requirements



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#### 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

*You need to know and understand:*

#### General knowledge and understanding

- 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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<b>Developed by</b>	Skills for Justice
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<b>Version number</b>	1
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<b>Date approved</b>	July 2010
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<b>Indicative review date</b>	July 2013
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<b>Validity</b>	Current
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<b>Status</b>	Tailored
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<b>Originating organisation</b>	MSC
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<b>Original URN</b>	B8
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<b>Relevant occupations</b>	Public Services; Public Service Professionals; Government and Related Organisations
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<b>Suite</b>	NOS for Operational Delivery Processing roles
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<b>Key words</b>	Operational Delivery, Processing, compliance with legal, regulatory, ethical and social requirements
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