INSML013

Ensure compliance with legal, regulatory, ethical and social requirements

Overview

This standard is about ensuring compliance with your organisation's legal, regulatory, ethical and social requirements. You monitor your organisation's compliance with specified requirements and the impact, developing policies and procedures to support the process. You also emphasise the importance of putting policies into practice and provide support for colleagues. You identify risks, hazards and ethical concerns, taking action to rectify any breaches in compliance and avoid them being repeated. The standard also includes providing information to support compliance and reporting to stakeholders.
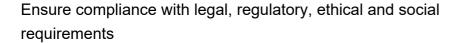
This standard is for all managers and leaders.

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Performance criteria

You must be able to:

1. monitor national and international legal, regulatory, ethical and social requirements and the effect they have on your organisation

2. evaluate what will happen if you do not meet national and international legal, regulatory, ethical and social requirements

3. develop policies and procedures to make sure your organisation meets all requirements

4. check that colleagues understand organisational policies and procedures and the importance of putting them into practice

5. monitor the way policies and procedures are put into practice and provide support

6. support colleagues or team members to report any concerns about not meeting the requirements

7. identify potential risks and hazards

8. identify and raise ethical concerns with colleagues and decision-makers

9. identify and correct failures to meet the requirements

10. identify reasons for not meeting requirements

11. encourage others to share information and knowledge within the constraints of confidentiality

12. adjust policies and procedures to reduce the likelihood of failures in the future

13. implement difficult or unpopular decisions when necessary to ensure compliance

14. provide full reports about any failures to meet the requirements to
key stakeholders

15. provide information and knowledge to support compliance with
legal, regulatory, ethical and social requirements

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Knowledge and understanding

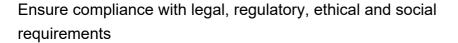*You need to know and understand:*

General knowledge and understanding

1. the importance of having an ethical and value-based approach to governance and how to put this into practice

2. the legal requirements governing the running of organisations

3. the current and emerging social attitudes to management and leadership practice and the importance of being sensitive to these

4. the ways in which other organisations deal with current and emerging social concerns and expectations

5. how to identify potential risks and hazards related to legal, regulatory, ethical and social requirements

6. the ways that ethical concerns can be identified and raised

Industry and sector specific knowledge and understanding

7. the legal, organisational, codes of practice and policies relevant to your role and the activities being carried out (national and international)

8. the current and emerging social concerns and expectations within your sector

Context specific knowledge and understanding

9. the organisation's culture and values and the effect these have on corporate governance

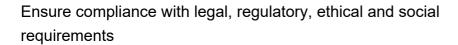10. the organisational policies and procedures that support colleagues to meet the requirements specified

11.   the support available to enable colleagues to report concerns about not meeting requirements

12.   the processes for maintaining policies and procedures and the colleagues involved

13.   the importance of making sure that policies and procedures continue to be effective

14.   the different ways that colleagues or team members may not meet the requirements and the risks of these happening

15.   the organisational procedures for dealing with colleagues who do not meet the requirements, and how these are reported

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Skills

1. Analysing
2. Assessing
3. Communicating
4. Decision-making
5. Information management
6. Involving others
7. Leadership
8. Monitoring
9. Motivating
10. Presenting information
11. Providing feedback
12. Reporting
13. Risk management
14. Valuing and supporting members of staff

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