

Unit Title: **Ensure compliance with legal, regulatory, ethical and social requirements**

OCR unit number: 4
Sector unit number: B8b
Level: 4
Credit value: 5
Guided learning hours: 25
Unit reference number: H/600/9609

Unit purpose and aim

This unit aims to provide the candidate knowledge and skills to ensure that they comply with all regulatory, statutory, ethical and social requirements relating to their area of responsibility. It will also enable them to recognise failure or omission in compliance within their own area and to make appropriate recommendations to correct such problems.

Learning Outcomes	Assessment Criteria	Teaching Content
<p>The Learner will:</p> <p>1 Be able to monitor the operational compliance of procedures in meeting legal, regulatory, ethical and social requirements.</p>	<p>The Learner can:</p> <p>1.1 Monitor the operational compliance of procedures in meeting legal, regulatory, ethical and social requirements.</p>	<p>The candidate will be expected to know:</p> <ul style="list-style-type: none"> the compliance requirements of their own area of responsibility e.g. financial, data protection, research or medical ethics. the underpinning legal, ethical, social and regulatory documentation relating to the compliance requirements. Methods for recording the appropriate monitoring requirements to ensure compliance.
<p>2 Be able to identify and make recommendations on areas of non-compliance with procedures for legal, regulatory, ethical and social requirements relating to own area of responsibility.</p>	<p>2.1 Identify areas of non-compliance with legal, regulatory, ethical and social procedures.</p> <p>2.2 Examine reasons for non-compliance with procedures</p> <p>2.3 Make recommendations for corrections to ensure compliance with procedures.</p>	<p>The candidate will be expected to know:</p> <ul style="list-style-type: none"> Occurrences of non-compliance through monitoring or other means. The reasons for non-compliance including failure of 'hard' and 'soft' preventive measures. How to make recommendations for corrective action to ensure future compliance

Assessment

This unit is centre assessed and externally verified. In order to achieve the unit you must produce a portfolio of evidence which, on request, will need to be made available to the OCR external verifier. Portfolios of work must be produced independently and Centres must confirm to OCR that the evidence is authentic. An OCR Centre Authentication form is provided in the Centre Handbook and includes a declaration for assessors to sign. It is a requirement of the Ofqual Common Criteria for all Qualifications that proof of authentication is received.

Evidence requirements

In order to achieve this unit you must demonstrate that you have met all of the stated learning outcomes, the assessment criteria and all aspects of the knowledge, understanding and skills. Your assessor must be able to observe you in the workplace or you must provide tangible evidence of your real work activities. Simulation is not allowed for this unit.

Guidance on assessment and evidence requirements

Candidates are encouraged to use evidence, where appropriate across a number of units to reduce repetition, in consultation with their assessors. **For this unit it is expected that your evidence will include witness testimony or some other form of feedback on your performance from both those to whom you report and those that report to you** (except if you do not report to anyone, for example, if you own the organisation). Further examples of possible sources of evidence are shown below but this is not a definitive list nor are the examples shown mandatory:

Reports created for the organisation,

- Monitoring reports
- Identification of non-compliance reports
- Recommendations for corrective action to re-establish compliance
- Recommendations for enhancements to the compliance procedures.

In addition, evidence can be sought in a number of ways, when it is not available through normal work or where ephemeral evidence such as that of behaviour is required, these methods may include:

- Witness testimonies from colleagues, managers and subordinates
- Observations of tasks and interactions with others
- Case studies where the candidate explains and reflects upon specific events which demonstrate competence, where current evidence is not available.
- Professional discussions where the candidate explains the rationale for a particular approach to the assessor.

This is a level four unit and thus the candidate must demonstrate complex skills and knowledge, often covering more than one element of the assessment criteria. The ability to recognise and develop competence across these criteria is to be encouraged but it does mean that reports, whilst aiming for succinctness and clarity of thought will need to be of sufficient depth and breadth to meet the level-four standard. Minutes of meetings must demonstrate that the candidate's contribution is significant and contributes to the meeting of assessment criteria and be easily identifiable within the document.

Digital evidence such as recordings of meetings, photographs, scanned documents are also permitted.

Please refer to the OCR Centre Handbook available from the OCR website www.ocr.org.uk.

You should refer to the '*Admin Guide: Vocational Qualifications (A850)*' for *Notes on Preventing Computer-Assisted Malpractice*.

National Occupational Standards (NOS) mapping/signposting

The mapping in the table below provides an indication of where evidence might be available for assessment against some of the knowledge and understanding contained in the national occupational standards (NOS). It does not claim to guarantee that evidence will meet the NOS.

Occupational standards	Unit number	Title
Management and Leadership	B8	Ensure compliance with legal, regulatory, ethical and social requirements

Functional skills signposting

This section indicates where candidates may have an opportunity to develop their functional skills.

Functional Skills Standards					
English		Mathematics		ICT	
Speaking and Listening	✓	Representing		Use ICT systems	
Reading	✓	Analysing		Find and select information	
Writing	✓	Interpreting		Develop, present and communicate information	

Resources

Stationery, USB drive or a CD-rom.

Access to photocopier, PC and printer is desirable but not essential.

Access to sources of under-pinning knowledge such as websites, books, journals, etc, might be of help, but you are not expected to reproduce other people's written work.

- GOLD, J. THORPE, R. and MUMFORD, A. (April, 2010) Leadership and Management Development. ISBN: 1843982447
- <http://www.dalecarnegie.com/kc/>
- <http://www.What-are-good-leadershipskills.com> (2010)
- <http://www.smallbusiness.co.uk/>
- <http://www.businesslink.gov.uk>
- Collins, J. Drucker, P and Maciariello, (2009) J A Management ISBN-10: 0007312113
- Silverman, G.(2008) Compliance Management for Public, Private, or Non-Profit Organizations McGraw-Hill Professional **ISBN-10:** 0071496408

For further information regarding administration for this qualification, please refer to the OCR document '*Admin Guide: Vocational Qualifications' (A850)* on the OCR website www.ocr.org.uk.