

<b>Unit Title:</b>	<b>Principles of legal, regulatory and ethical requirements of a contact centre</b>
OCR unit number	11
Sector unit number:	CCTC15
Level:	2
Credit value:	2
Guided learning hours:	15
Unit reference number:	F/503/0411

## Unit purpose and aim

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This unit concerns understanding an organisation's procedures for dealing with legal, regulatory and ethical requirements in a contact centre and the legal, regulatory and ethical limits of contact centre work.

Learning Outcomes	Assessment Criteria	Teaching Content
<b>The Learner will:</b> 1 Understand an organisation's procedures for dealing with legal, regulatory and ethical requirements in a contact centre	<b>The Learner can:</b> 1.1 Describe an organisation's procedures for raising legal, regulatory and ethical concerns	Candidates should have an understanding of: <ul style="list-style-type: none"> <li>an organisation's procedures such as               <ul style="list-style-type: none"> <li>at team meetings/briefings</li> <li>one to one review/appraisal</li> <li>grievance</li> <li>others specific to the organisation i.e. trade unions, employee representatives, professional bodies</li> </ul> </li> </ul>
	1.2 Explain the scope of legal, regulatory and ethical requirements in a contact centre	<ul style="list-style-type: none"> <li>the scope should include how it affects               <ul style="list-style-type: none"> <li>the role of agents</li> <li>the organisation's products or service offer</li> </ul> </li> <li>the legal and regulatory requirements related to               <ul style="list-style-type: none"> <li>health and safety</li> <li>equality and diversity</li> <li>confidentiality and data protection</li> </ul> </li> <li>employment</li> </ul>

Learning Outcomes	Assessment Criteria	Teaching Content
		<ul style="list-style-type: none"> <li>the ethical requirements related to               <ul style="list-style-type: none"> <li>employees</li> <li>suppliers</li> <li>customers</li> </ul> </li> </ul>
	1.3 Explain how the legal, regulatory and ethical requirements relate to a contact centre	<ul style="list-style-type: none"> <li>how the requirements relate to the contact centre such as               <ul style="list-style-type: none"> <li>on design, equipment and working environment</li> <li>restrictions on working practice</li> <li>training and development for employees</li> </ul> </li> </ul>
	1.4 Describe internal and external sources of information on legal, regulatory and ethical requirements	<ul style="list-style-type: none"> <li>sources of information including               <ul style="list-style-type: none"> <li>internal such as                   <ul style="list-style-type: none"> <li>notice boards, memos, e-bulletins, intranet</li> <li>colleagues and managers</li> <li>specialists i.e. H &amp; S representatives, HR</li> </ul> </li> <li>external such as                   <ul style="list-style-type: none"> <li>equipment suppliers</li> <li>trade unions, professional bodies</li> <li>agencies i.e. ACAS, HSE, EHRC</li> </ul> </li> </ul> </li> </ul>
	1.5 Explain how an “ethical approach” affects a contact centre	<ul style="list-style-type: none"> <li>the affects on the contact centre such as               <ul style="list-style-type: none"> <li>financial impact</li> <li>customer perception</li> <li>employee motivation and retention</li> </ul> </li> </ul>
	1.6 Explain the importance of contract law in a contact centre	<ul style="list-style-type: none"> <li>the importance of contract law in a contact centre in relation to recording the components parts               <ul style="list-style-type: none"> <li>agreement</li> <li>consideration</li> <li>and intention</li> </ul> </li> </ul>
2 Understand the legal, regulatory and ethical limits of contact centre work	2.1 Explain the legal, regulatory and ethical requirements relevant to the role	<p>Candidates should have an understanding of:</p> <ul style="list-style-type: none"> <li>2.1 the legal and regulatory requirements related to the</li> </ul>

Learning Outcomes	Assessment Criteria	Teaching Content
		individual's role such as <ul style="list-style-type: none"> <li>- health and safety</li> <li>- equality and diversity</li> <li>- confidentiality and data protection</li> <li>- employment</li> </ul> <ul style="list-style-type: none"> <li>• the ethical requirements related to               <ul style="list-style-type: none"> <li>- colleagues</li> <li>- customers</li> </ul> </li> </ul>
	2.2 Describe the potential consequences of not complying with legal, regulatory or ethical requirements	<ul style="list-style-type: none"> <li>• the potential consequences including               <ul style="list-style-type: none"> <li>- to the individual</li> <li>- to the organisation</li> </ul> </li> </ul>
	2.3 Explain the importance of working within the limits of the role, responsibilities and authority	<ul style="list-style-type: none"> <li>• the importance of working within limits including               <ul style="list-style-type: none"> <li>- to comply with organisational and legal requirements</li> <li>- to protect individuals and the business from criminal and civil liability</li> </ul> </li> </ul>
	2.4 Explain the process for reporting legal, regulatory and ethical concerns	<ul style="list-style-type: none"> <li>• the process as stated by the chosen organisation</li> </ul>
	2.5 Explain the importance of clarity of communication with the customer to ensure common understanding of agreements and expectations	<ul style="list-style-type: none"> <li>• the importance of clarity in communication including               <ul style="list-style-type: none"> <li>- to comply with legal and regulatory requirements</li> <li>- to avoid misunderstanding / confusion</li> <li>- to reduce customer attrition/churn rate</li> <li>- to prevent complaints at a later stage</li> </ul> </li> </ul>

## Assessment

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This unit is internally assessed by centre staff (e.g. teachers/tutors, support workers, carers, assessors) and externally verified by OCR.

## Guidance on assessment and evidence requirements

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Please refer to the OCR Centre Handbook available from the OCR website [www.ocr.org.uk](http://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

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Not applicable

## Functional skills signposting

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Training provided for contact centre operations may help to prepare candidates for the functional skills assessment (e.g. report writing may be good preparation for English). It is likely however that further training would be needed to fully prepare candidates for functional skills assessment.

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

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OCR evidence sheets have been produced to support candidates in producing appropriate evidence for these qualifications. Centres may choose to:

- tailor these for candidates
- use these as a benchmark for devising their own evidence sheets to aid candidates

Candidate evidence checklists can be found in the Contact Centre Operations section containing on the OCR website: <http://www.ocr.org.uk>.

## Additional information

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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](http://www.ocr.org.uk).