

CFAS7.7

Ensure compliance with legal, regulatory, ethical and social requirements



Overview

This unit is about managing an organisation's operations in ways that are consistent with its values and ethical principles, and which fulfil legal and regulatory requirements.

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.

For the purposes of this unit, 'organisation' can mean a self-contained entity such as a private sector company, a charity or a local authority, or a significant operating unit, with a relative degree of autonomy, within a larger organisation.

This unit is for Sales Managers, Senior Sales Managers and Key Customer Managers

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Performance criteria

You must be able to:

- P1 monitor the relevant legal, regulatory, ethical and social requirements and the effect they have on your area of responsibility, including what will happen if they are not met
- P2 develop effective policies and procedures to make sure that the organisation meets all the necessary requirements
- P3 ensure that relevant people have a clear understanding of the policies and procedures and the importance of putting them into practice
- P4 monitor the way that 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:

- 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 practice and the importance of being sensitive to these

Industry/sector specific knowledge and understanding

- K4 legal, regulatory and ethical requirements in the sector
- K5 procedures to follow if the organisation does not meet the requirements
- K6 particular current and emerging social concerns and expectations that are relevant to the sector
- K7 ways in which other organisations deal with current and emerging social concerns and expectations

Context specific knowledge and understanding

- K8 the culture and values of the 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
- 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 efficiently within the constraints of confidentiality
8. you show sensitivity to stakeholders' needs and manage these effectively

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3542 Sales representatives
7113 Telephone salespersons
7129 Sales related occupations nec

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