

Unit Title: Establish organisational governance controls

OCR unit number: 5
 Level: 7
 Credit value: 4
 Guided learning hours: 26
 Unit reference number: F/506/2078

Unit aim and purpose

This unit aims to develop the knowledge and skills required to establish organisational governance controls. Upon completion of this unit, learners will have developed an understanding of the nature of compliance and non-compliance with governance requirements and the legal and regulatory framework affecting businesses. Learners will be able to establish governance controls.

| Learning Outcomes | Assessment Criteria | Additional Guidance |
|---|--|---|
| The Learner will: 1 Understand the nature of compliance and non-compliance with governance requirements | The Learner can: 1.1 Analyse the scope and types of compliance and non-compliance 1.2 Evaluate the seriousness of instances of non-compliance 1.3 Assess the way in which the structure and culture of an organisation influences attitudes to compliance | |
| 2 Understand the legal and regulatory framework affecting businesses | 2.1 Appraise different models of governance structures and their implications 2.2 Analyse the roles of those within an organisation's governing body 2.3 Analyse the legal and regulatory requirements for a range of statutory reports 2.4 Analyse an organisation's potential scope of non-compliance 2.5 Analyse the responsibility for individual and corporate non-compliance 2.6 Clarify the distinctions between statutory and regulatory requirements and codes of practice 2.7 Appraise the role of overseas bodies and their influence of an organisation's business | <p>Models of Governance should cover non-profit making and for profit models and could include:</p> <ul style="list-style-type: none"> • Carver Policy Governance • Partnership • Membership • Advisory • Co-operative <p>Codes of practice should include, but not—be limited, to the Eurozone.</p> |

| Learning Outcomes | Assessment Criteria | Additional Guidance |
|--|--|---------------------|
| | 2.8 Evaluate the concept, application and implications of good governance | |
| 3 Be able to establish governance controls | 3.1 Analyse an organisation's governance requirements for legal, regulatory, ethical and social matters 3.2 Establish controls that are capable of ensuring the probity of an organisation's activities 3.3 Resolve tensions between an organisation's governance requirements and those of its stakeholders 3.4 Analyse the extent of an organisation's compliance with legal requirements and assess the potential consequences 3.5 Take action commensurate with the nature of the non-compliance and associated consequences | |

Assessment

This unit is internally assessed by centre staff and externally verified by OCR Assessors.

Guidance on assessment

Skills CFA Assessment Strategy Competence units (S/NVQ)

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.

NOS can be viewed on the relevant Sector Skills Council's website or the Occupational standards directory at www.ukstandards.co.uk.

| Occupational standards | Unit number | Title |
|------------------------|-------------|-------|
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Additional information

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 .