



Oxford Cambridge and RSA

## OCR Level 7 NVQ Diploma in Management – Unit 5

Unit Title:	Establish policies and procedures (B8a)
OCR Unit Number:	5
Unit Number:	R/600/9606
Level:	7
Credit value:	8
Guided learning hours:	35

### Unit purpose and aim

This unit helps learners to establish policies and procedures relating to legal, regulatory, ethical and social requirements, and to communicate these policies and procedures to relevant people.

Learning Outcomes	Assessment Criteria	Exemplification
1 Understand the legal and regulatory requirements that impact upon own area of responsibility	1.1 Examine the legal and regulatory requirements that impact upon own area of responsibility  1.2 Analyse potential risks associated with relevant legal and regulatory requirements.	This may include: <ul style="list-style-type: none"><li>• Legal and regulatory requirements in their sector</li><li>• Consequences of non-compliance</li><li>• Procedures to follow if requirements are not met</li><li>• Where to seek information and advice.</li></ul>
2 Understand the ethical and social requirements that impact upon own area of responsibility	2.1 Examine the ethical and social requirements that impact upon own area of responsibility to others  2.2 Analyse potential risks associated with relevant ethical and social requirements	This may include: <ul style="list-style-type: none"><li>• Importance of having an ethical and value-based approach to governance and how to put this into practice</li><li>• Current and emerging ethical and social concerns and expectations within the sector</li><li>• Culture and values of the organisation and the effect they have on corporate governance</li><li>• Ways in which other organisations deal with current and emerging social concerns and expectations.</li></ul>

Learning Outcomes	Assessment Criteria	Exemplification
3 Be able to develop policies to meet legal, regulatory, ethical and social requirements for own area of responsibility	3.1 Develop policies that meet legal, regulatory, ethical and social requirements  3.2 Ensure procedures are aligned to developed policies	This may include: <ul style="list-style-type: none"> <li>• Policies and procedures that already exist within their organisation</li> <li>• Business impact of introducing additional policies and procedures</li> <li>• How to translate a policy into a step by step procedure which directs activity</li> <li>• Consequences of people not complying with the procedures and how this should be dealt with.</li> </ul>
4 Be able to communicate policies to stakeholders	4.1 Communicate policies to stakeholders	This may include: <ul style="list-style-type: none"> <li>• Organisation structure and business processes</li> <li>• Most effective methods of communication</li> <li>• Needs and expectations of colleagues and other key stakeholders</li> <li>• Organisation culture and ways to influence people.</li> </ul>

## Assessment

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This unit is centre assessed and externally verified. In order to achieve the unit you must produce a portfolio of evidence which 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. Assessment must be based on naturally occurring evidence from the workplace.

## Evidence requirements

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In order to achieve this unit you must demonstrate that you have met all of the stated learning outcomes and assessment criteria. 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

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You should consult with your assessor to agree the most appropriate sources of evidence available to you in your environment. Examples of possible sources of evidence are shown below but this is not a definitive list nor are the examples shown mandatory:

- Copies of queries you have raised with legal experts
- Drafts of policies and procedures that you have created

- Examples of research that you have conducted into other organisations' operating procedures
- Risk analyses that you have completed
- Personal reports explaining the steps you took to develop organisational policies and procedures

## Details of relationship between the unit and national occupational standards

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This unit is based on the NOS produced by the Management Standards Centre (MSC)

Management and Leadership NOS unit B8, Ensure compliance with legal, regulatory, ethical and social requirements.

**NOS can be viewed on the relevant Sector Skills Council's website or the Occupational standards directory at [www.ukstandards.co.uk](http://www.ukstandards.co.uk).**

## Resources

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Stationery 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. For example:

- [www.acas.org.uk](http://www.acas.org.uk)
- [www.hse.gov.uk](http://www.hse.gov.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)

## OCR Level 7 NVQ Diploma in Management

### Evidence Record Sheet

#### Unit 5 Establish policies and procedures (B8a)

I confirm that the evidence provided is a result of my own work.

Signature of candidate: \_\_\_\_\_ Date: \_\_\_\_\_

Evidence reference	Evidence title	Assessment method	LO1		LO2		LO3		LO4
			1.1	1.2	2.1	2.2	3.1	3.2	4.1

I confirm that the candidate has demonstrated competence by satisfying all of the criteria for this unit.

Signature of assessor: \_\_\_\_\_ Name (in block capitals): \_\_\_\_\_ Date: \_\_\_\_\_

Countersignature of qualified assessor (if required) and date: \_\_\_\_\_

IV initials (if sampled) and date: \_\_\_\_\_ Countersignature of qualified IV (if required) and date: \_\_\_\_\_

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