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## Overview

This standard is about identifying compliance and non-compliance with legal, regulatory, ethical and social requirements for logistics operations. This includes having policies and procedures in place to monitor compliance in your organisation. It involves acting responsibly in relation to colleagues, customers, investors and the communities in which you work. It covers working within specific regulations and ethical frameworks for your industry.

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This standard is relevant to those with responsibility for the management of compliance in your logistics organisation. You could be working, for example, in warehousing and storage, transport, or freight forwarding.

## Performance criteria

### *You must be able to:*

1. obtain information from the relevant sources on current organisational and operational policies and procedures for legal, regulatory, ethical and social requirements for logistics operations
2. provide the relevant information to staff to confirm they have an understanding of the policies and procedures for legal, regulatory, ethical and social requirements, and the importance of putting them into practice
3. monitor the way the policies and procedures are put into practice and provide support to staff implementing them
4. support staff to have open discussions and voice their concerns about meeting, or not meeting, the policies and procedures for legal, regulatory, ethical and social requirements
5. provide opportunities for staff to share information and knowledge about compliance, within the constraints of confidentiality and the requirements for data protection
6. identify and review potential risks to compliance with legal, regulatory, ethical and social requirements for logistics operations, using organisational risk management procedures
7. identify reasons for not meeting requirements and adjust policies and procedures to reduce the likelihood of failures in the future
8. provide full reports of any non-compliance with policies and procedures for legal, regulatory, ethical and social requirements for logistics operations, to the relevant stakeholders
9. make time available to support and provide feedback to staff to help them improve their performance in meeting legal, regulatory, ethical and social requirements for logistics operations
10. identify stakeholders' compliance requirements and manage relationships with them
11. record any non-compliance with policies and procedures for legal, regulatory,

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ethical and social requirements for logistics operations, in accordance with organisational procedures and following any relevant data and information security regulations relating to staff, customers and delivery partners

## Knowledge and understanding

### *You need to know and understand:*

1. the relevant organisational processes for monitoring national and international developments in legislation and regulations affecting logistics operations
2. the relevant organisational processes for monitoring current and emerging ethical and social requirements for logistics operations
3. the importance of having an ethical and values based approach to corporate governance, and how to put this into practice
4. the culture and values of your organisation and the effect they have on corporate governance
5. the relevant organisational and operational policies and procedures for compliance with legal, regulatory, ethical and social requirements for logistics operations
6. the organisation's approach to current and emerging social attitudes to management and leadership practice, and the importance of being sensitive to these
7. the organisational and operational policies and procedures that confirm staff meet the requirements for legal, regulatory, ethical and social requirements
8. the different ways in which staff may not meet the requirements for legal, regulatory, ethical and social requirements, how to identify these and the risks they pose to non-compliance
9. the relevant organisational procedures to follow when non-compliance with legal, regulatory, ethical and social requirements occurs
10. the relevant organisational procedures for dealing with situations and staff who do not meet the requirements for legal, regulatory, ethical and social requirements, including reporting procedures
11. the processes for reviewing and maintaining the relevant policies and procedures for compliance with legal, regulatory, ethical and social requirements, to confirm they continue to be effective and sustainable
12. the information and recording systems used by the organisation and the requirements for maintaining records

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## Glossary

**Operational policies and procedures** e.g. Key Performance Indicators (KPIs), industry standards, legal requirements, licenses, FORs, environmental standards, hazard and risk management, continuous improvement, continuous effective control management

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