



**AUSTRALIAN
HEALTHCARE**
QUALIFICATIONS & TRAINING

Learner Assessment

Task 1 – Written Questions

Unit Code: CHCLEG003

Unit Name: Manage Legal and ethical compliance

Qualification:

Participant Name: _____

Version Control:

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Contents

Assessment Information	2
Instructions to the student.....	4
Assessment Agreement.....	6
Assessment Task 1 - Written Questions.....	7

Assessment Information

Unit Code & Title:	CHCLEG003 – Manage Legal and Ethical compliance
Unit Descriptor:	The focus of this unit is on researching information about compliance and ethical practice responsibilities, and then develop and monitor policies and procedures to meet those responsibilities.
Application of the Unit:	This unit applied to people working in roles with managerial responsibility for legal and ethical compliance in small to medium sized organisations.
Elements:	<ol style="list-style-type: none"> 1. Research information required for legal compliance 2. Determine ethical responsibilities 3. Develop and communicate policies and procedures. 4. Monitor compliance 5. Maintain knowledge of compliance requirements
Performance Knowledge:	<ul style="list-style-type: none"> • Determined the scope of legal and ethical compliance requirements and responsibilities, and developed policies and procedures for at least 1 workplace or business • Developed a strategic response to at least 3 different situations where legal or ethical requirements have been breached
Knowledge Evidence:	<ul style="list-style-type: none"> • Legal responsibilities and liabilities of managers and others in different types of organisation • Legal and ethical frameworks (international, national state/territory, local), how these apply in the workplace, and the responsibilities of managers in the development and monitoring of policies and procedures, including those related to: <ul style="list-style-type: none"> - Children in the workplace, codes of conduct, codes of practice, complaints Management, continuing professional education - Discrimination, dignity of risk, duty of care - Human rights: <ul style="list-style-type: none"> • <i>Universal declaration of human rights</i> • Relationship between human needs and human rights • Frameworks, approaches and instruments used in the workplace - Informed consent, mandatory reporting, practice standards, practitioner/client Boundaries, privacy, confidentiality and disclosure - Policy frameworks, records management, rights and responsibilities of workers, employers and clients • Industrial relations legislation and requirements relevant to organisation, specific requirements in the area of work, including: <ul style="list-style-type: none"> • Key practices that are prohibited by law • Auditing and inspection regimes • Main consequences of non-compliance • Need to apply for licences and associated mandatory training and certification requirements • Statutory reporting requirements • Business insurances required including public liability and workers compensation • Accreditation requirements

	<ul style="list-style-type: none"> • Requirements to develop and implement plans, policies, codes of conduct or incorporate certain workplace practices - Work role boundaries – responsibilities and limitations of different people, work health and safety • Sources of information and advice on compliance including: <ul style="list-style-type: none"> - Local, state/territory or commonwealth government departments or regulatory agencies, industry associations - Plain English documentation that explains legislation - Functions and operating procedures of regulatory authorities of particular relevance to the health and community service sectors - Methods of receiving updated information on requirements - Use of policies and procedures in managing compliance and ethical practice in both Internal work practice and external service delivery - Formats for policies and procedures and what they should include • Techniques for monitoring compliance
Assessment Conditions:	<p>Skills must have been demonstrated in the workplace or in a simulated environment that reflects workplace conditions. Use of current legislation and regulations and workplace policies and procedures are required. Modelling of industry operating conditions, including use of real or simulated organisations for which the candidate develops policies and procedures, integration of problem-solving activities.</p>

Instructions to the student

Purpose of this assessment

This Assessment is designed to test your knowledge and skills against the criteria that is required in order for you to research information about compliance and ethical practice responsibilities, and then develop and monitor policies and procedures to meet those responsibilities and applies to people working in roles with managerial responsibility for legal and ethical compliance in small to medium sized organisations.

Methods of Assessment

The assessments have been developed in consideration to assessment requirements, learning environment and the expectations by industry.

To be deemed competent in this unit of competency the following assessment requirements must be completed. You must achieve a satisfactory result for each task to be deemed competent in this unit.

Assessment Task 1 – Written Questions – The Written Questions provided in this assessment kit is required to be completed. Assessment Task 1 may be completed within allocated training time or during periods of self-study.

Resources needed for assessment:

- Learner Guide
- Current legislation and regulations
- Workplace policies and procedures or policies and procedures from Australian Healthcare simulated resources
- Use of a real or simulated organisation for which the candidate develops policies and procedures
- Model of industry operating conditions to enable integration of problem-solving activities.

What you need to do:

- Complete the activities as described above
- Take a photo copy of your work if you would like to
- Collect all the required evidence and provide to your trainer
- Sign the Assessment Agreement
- Submit the completed assessment kit to your assessor.

If you have any difficulties or there is anything you don't understand, talk with your Trainer/Assessor; they are here to help you. Never be too afraid to ask about anything you don't understand related to safety and do not attempt to complete tasks you are unsure about. You can raise any concerns with your trainer/assessor.

Your assessor will provide you with feedback both verbally and in writing.

Assessment outcomes

Satisfactory – Evidence provided meets the requirements of the assessment method and unit of competency

Not Satisfactory – Evidence provided does not meet the requirements of the assessment method and unit of competency.

If you have been given a Not Satisfactory assessment outcome you will be given the chance to review with your assessor and discuss the area/s for improvement and time will be elected where you will be required to resubmit the Assessment Workbook as per the assessor's instructions. If you receive a Satisfactory outcome for the individual Assessment Mode, then this outcome will contribute to final judgement of competency for this unit.

Reasonable Adjustment

Special consideration may be applied, and reasonable adjustment given to this assessment, as required. *(See further information in student handbook – Access & Equity and RTO policies and procedures – Assessment Policy)*

Any adjustments made to standard assessment will be documented clearly in assessment kit either at the front of the booklet or in the individual competency record.

Document any adjustments to standard assessment

Reassessment

Where you are found not yet competent, the RTO will provide three further opportunities to achieve competency at no cost. If you request to be re-assessed after the 3 attempts a cost of \$200 per unit will be applied and any attempt thereafter. *(see Assessment Policy for further information).*

Assessment Agreement

An assessment agreement is required to ensure that all students are aware of the process and purpose of an assessment and the requirements that achieve competence in this unit.

Student Full Name:			
Unit Code and Title:	CHCLEG003 – Manage legal and ethical compliance		
Qualification:			
Please tick as appropriate	Yes	No	Comment
The purpose of the assessment has been clearly explained			
Assessment methods and outcomes required have been clearly explained and I understand what is required of me to achieve competency in this unit			
I have been made aware of the Assessment and Appeals Policy			
I have discussed any special needs to be considered during assessment with my assessor			
I understand I have three attempts to complete each task satisfactorily. After three attempts, \$200 per unit will be charged to reassess the unit of competency. If after the fourth attempt I am deemed 'Not Yet Competent', I will be required to do further training before reattempting this unit.			
I give permission for the RTO to use my assignment for assessment moderation / validation purposes.			
<p>I declare that I understand how assessment will take place for this unit.</p> <p>I also understand that work completed towards this assessment must be verifiably my own.</p>			
<p>Student's Name: _____</p> <p>Student's Signature: _____ Date: ____ / ____ / _____</p>			
<p>Assessor's Name: _____</p> <p>Assessor's Signature: _____ Date: ____ / ____ / _____</p>			

Assessment Task 1 - Written Questions

Assessment description

This assessment task requires you to provide answers to the listed written questions.

1. **Where can you find information about compliance requirements that will relate to an area where you work?**

Assessor Use Only: Satisfactory response provided **YES** **NO**

- 1b. **How could you ensure your knowledge about compliance requirements is kept up to date?**

Assessor Use Only: Satisfactory response provided **YES** **NO**

1c. How do you support others in maintaining their knowledge?

Assessor Use Only: Satisfactory response provided **YES** **NO**

2. How often should a work place evaluate practices against compliance requirements?

Assessor Use Only: Satisfactory response provided **YES** **NO**

2b. What tools would you use to manage compliance and ethical practice?

Assessor Use Only: Satisfactory response provided **YES** **NO**

3. Access a compliance requirement of your area/workplace/industry. What are the risks, penalties and/or consequences of non-compliance?

Assessor Use Only: Satisfactory response provided **YES** **NO**

3b. If an area of non-compliance is found what action would need to be taken?

Assessor Use Only: Satisfactory response provided **YES** **NO**

4. List the legal and ethical frameworks that apply to your workplace.

Assessor Use Only: Satisfactory response provided **YES** **NO**

4b. Identify an ethical framework that applies to your work. What practices would be aligned to this framework?

Assessor Use Only: Satisfactory response provided **YES** **NO**

4c. Who is required to follow these frameworks?

Assessor Use Only: Satisfactory response provided **YES** **NO**

5. Why is it important for senior staff to model ethical behaviour in their own work practices?

Assessor Use Only: Satisfactory response provided **YES** **NO**

5b. What are the legal responsibilities and liability for managers?

Assessor Use Only: Satisfactory response provided

YES

NO

5c. How does this differ to other staff?

Assessor Use Only: Satisfactory response provided

YES

NO

6. Describe the process your work takes to communicate policies and procedures.

Assessor Use Only: Satisfactory response provided YES NO

7. What considerations would you take when developing policies and procedures that include legal and ethical requirements?

Assessor Use Only: Satisfactory response provided YES NO

8. How do policies and procedures surrounding legal compliance protect clients?

Assessor Use Only: Satisfactory response provided **YES** **NO**

9. Describe how compliance should be monitored. What tools would you use and what systems/processes would you put in place?

Assessor Use Only: Satisfactory response provided **YES** **NO**

10. What action would you take if a breach of ethical or legal practice is found?

Assessor Use Only: Satisfactory response provided **YES** **NO**

11. Select a regulatory authority that relates to the health and community service sector and describe its main function and how it operates.

Assessor Use Only: Satisfactory response provided **YES** **NO**

Written Questions Assessment Record

CHCLEG003

Manage Legal and ethical compliance

Reasonable Adjustments made

Assessment activity

Task 1 – Written Questions

Satisfactory

Not Satisfactory

Assessor Initials

Date: ___ / ___ / _____

Assessment Guide

Satisfactory

The Assessor has reviewed the Assessment Workbook against the requirements of the Assessment Mode and is satisfied that all requirements have been met.

Not Satisfactory

The Assessor has reviewed the Assessment Workbook against the requirements of the Assessment Mode and is not satisfied that all requirements have been met.

Re- Assessment

___ / ___ / _____

___ / ___ / _____

___ / ___ / _____

___ / ___ / _____

Competency Record

Unit Code & Title	CHCLEG003 – Manage legal and ethical compliance		
Student Name:			
Assessment Strategies:	Assessment Task 1 - Written Questions	Satisfactory	Unsatisfactory
Student Feedback:			
Assessment Result:	The participant is COMPETENT The participant is NOT YET COMPETENT		
Assessor Declaration:	Evidence of Competency is: Valid Authentic Sufficient Current All the above assessment modes have been met The assessment has been modified due to Reasonable Adjustment (see below) Gaps in performance were identified and reassessment completed (as per record of results) Feedback given to student: Written (above) Email (attached)		
Assessor's Name:			
Assessor's Signature:	Date: ____ / ____ / _____		