



Chisholm

LEARNER AND ASSESSMENT GUIDE

CHCLEG003 - Manage legal and ethical compliance

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Teaching and Learning, Chisholm Institute, PO Box 684 Dandenong VIC 3175,*

Telephone: +61 3 9212 5000.

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INTRODUCTION

This learner and assessment guide is designed to present a clear pathway of your learning and assessment journey for the associated unit/s. The schedule summary outlines the planned time frame and assessment points and is further described in the Schedule Overview. All relevant information such as **resources required, planned activities and assessment tasks are included**. If additional support is required please refer to your course guide for further information or contact your teacher.

The table below describe the planned learning progression and assessment schedule of your course.

- X indicates the planned start duration and finish period for each of your units.
- Critical assessments for your unit/s is indicate using the following assessment key

Key

O: Observation, Q: Questioning, T: Test/Quiz, P: Presentation, E: Portfolio of evidence,
R: Report Essay, PR Project, TP: Third Party Report,

SCHEDULE SUMMARY

Cluster title: If applicable	Sessions									
CHCLEG003 - Manage legal and ethical compliance	1	2	3	4	5	6	7	8	9	10
	X	X	X	X	X	X	X	X	X	X
				Q			Q			

Cluster title: If applicable	Sessions	
CHCLEG003 - Manage legal and ethical compliance	11	12
	X	X
	R	

SCHEDULE OVERVIEW

Session	Learning	Performance	Assessment
1	Unit Overview <ul style="list-style-type: none"> - Ice breaker – getting to know you activity - Unit outline explained - Overview of the Assessment - Moodle Understanding legal compliance <ul style="list-style-type: none"> - What Is Compliance and Why It's Important - What does Legal Compliance mean to the youth work sector - Understanding compliance requirements - Scope of compliance requirements for the community services sector 	Identify sources of information about compliance requirements Evaluate own area of work and determine scope of compliance requirements Access and interpret information relevant to area of work	

2	Monitor compliance <ul style="list-style-type: none"> - Evaluate work practices for non-compliance - Legal responsibilities and liabilities of managers and others - Techniques for monitoring compliance - Methods of receiving updated information on requirements - Monitoring of policies and procedures 	Identify risks, penalties and consequences of non-compliance Assess and act on need for specialist legal advice	
3	Maintain knowledge of compliance requirements <ul style="list-style-type: none"> - Current and emerging legal requirements and ethical issues - Review and improve Process - Understanding legislation - Australian Administrative Law - Industrial relations legislation 	Identify and use opportunities to maintain knowledge of current and emerging legal requirements and ethical issues Share updated knowledge and information with peers and colleagues. Pro-actively engage in process of review and improvement	
4	Universal declaration of human rights <ul style="list-style-type: none"> - History of human rights - Relationship between human needs and human rights - Frameworks, approaches and instruments used in the workplace - rights and responsibilities of workers, employers and clients 	Identify the ethical framework that applies to the work context Evaluate responsibilities to workers, clients and the broader community Model ethical behaviour in own work	Assessment Task 1
5	Specific requirements in work <ul style="list-style-type: none"> - Key practices that are prohibited by law - Auditing and inspection regimes - Consequences of non-compliance - licences and associated mandatory training and certification requirements 	Incorporate scope of practice considerations as part of ethical practice	
6	Specific requirements in work <ul style="list-style-type: none"> - Business insurances required including public liability and workers compensation - Accreditation requirements - Requirements to develop and implement plans, policies, codes of conduct or incorporate certain workplace practices - Work role boundaries – responsibilities and limitations of different people - Sources of information and advice on compliance 	Nominate the roles and responsibilities of different people in meeting requirements where multiple people are involved	
7	Legal and Ethical frameworks <ul style="list-style-type: none"> - Framework for Human Services Workers - Ethical and impartial service delivery - Personal values, principles and beliefs - Ethical dilemmas - Resolving ethical issues - A model for ethical decision-making - Dealing with unethical conduct in others and developing a strategic response where legal or ethical requirements have been breached 	Identify the ethical framework that applies to the work context	Assessment Task 2

8	Developing a Compliance management system <ul style="list-style-type: none"> - Determining the scope of legal and ethical compliance requirements and responsibilities - Introduction to compliance management - CMS development overview 	Integrate documentation and record keeping requirements into policies and procedures	
9	Implementation steps of compliance management system <ul style="list-style-type: none"> - Create an organisational structure for compliance - Develop a compliance management framework 	Nominate the roles and responsibilities of different people in meeting requirements where multiple people are involved	
10	Implementation steps of compliance management system <ul style="list-style-type: none"> - Develop a compliance management policy - Identify your compliance obligations and commitments - Establish procedures and processes - Develop compliance management procedures 	Distribute policies, procedures and legal information to colleagues and peers in a timely fashion	
11	Completing your compliance Management system <ul style="list-style-type: none"> - What to include in your policy - How to read the template Working in your compliance groups	Evaluate work practices for non-compliance on an ongoing basis, and implement modifications Maintain and update required accreditations or certifications Refer issues or breaches of ethical or legal practice to relevant people	Assessment Task 3
12	Recap and evaluation		

LEARNING MATERIALS & RESOURCES

The following learning resources will be required by each student to use and practice skills to develop competency in the unit. Practical tasks may require the student to have purchased particular items, whilst Chisholm Institute will provide other resources to the learner.

The following information outlines the resources required to complete the learning and assessment tasks, and identifies what the student needs to bring for each session.

Materials Required
<p>For each class please come prepared with the following:</p> <ul style="list-style-type: none"> - Notebook - Pen - Highlighters - Laptop (if you have one) - Assessment guide and learner guides (downloadable from Moodle) - Handouts from previous sessions if applicable - Session notes from previous sessions if applicable
Youth Work recommended text books and eBooks available through Chisholm library for loan
<p>Abowitz, M. P. (2017). <i>Engaging Youth in Leadership for Social and Political Change</i>. San Francisco: John Wiley & Sons Incorporated.</p> <p>Banks, S. (2010). <i>Ethical Issues in Youth Work</i>. Hoboken: Taylor & Francis.</p> <p>Beck, D. (2010). <i>Popular education practice for youth and community development work</i>. Exeter England : Learning Matters Ltd.</p> <p>Bennett, A. (2004). <i>After subculture: critical studies in contemporary youth culture</i>. New York: Palgrave Macmillan.</p> <p>Bertolino, B. (2014). <i>Thriving on the front lines: a guide to strengths-based youth care work</i>. New York : Routledge .</p> <p>Brian Belton. (2010). <i>Radical youth work: developing critical perspectives and professional judgement</i>. Dorset England : Russell House .</p> <p>Calvert, M. (2013). <i>Youth programs as builders of social capital</i>. John Wiley & Sons Incorporated.</p> <p>Epstein, J. S. (1998). <i>Youth culture: identity in a postmodern world</i>. Wiley.</p> <p>Fitzsimons, A. (2011). <i>Empowerment and participation in youth work</i>. Exeter England : Learning Matters.</p> <p>Gibson, A. (1995). <i>Project-based group work facilitator's manual : young people, youth workers, and projects</i>. London : Jessica Kingsley Publishers.</p> <p>Harris, B. (2011). <i>Working with distressed young people</i>. Exeter: Learning Matters.</p> <p>Jeffer, T. (1989). <i>Youth Work</i>. Basingstoke, Hamps: Macmillan Educational.</p> <p>Laughey, D. (2006). <i>Music and youth culture</i>. Edinburgh: Edinburgh University Press.</p> <p>Mansouri, F. (2009). <i>Youth identity and migration : culture, values and social connectedness</i>. Altona, Vic: Common Ground, .</p> <p>Packham, C. (2008). <i>Active citizenship and community learning</i>. Exeter England: Learning Matters.</p> <p>Parkin, C. (2010). <i>Using theory in youth and community work practice</i>. Exeter England : Learning Matters.</p>

- Parkin, C. (2010). *Using theory in youth and community work practice*. Exeter England: Learning Matters.
- Powell, A. (2010). *Sex, power and consent : youth culture and the unwritten rules*. Port Melbourne: Cambridge University Press.
- Sapin, K. (2013). *Essential skills for youth work practice*. Los Angeles: Sage .
- Savage, J. (2008). *Teenage: the creation of youth culture, 1875-1945*. London : Pimlico.
- Sercombe, H. (2010). *Youth work ethics*. London: Sage.
- Smith, T. J. (2010). *Youth work practice*. New York : Palgrave Macmillan.
- Tyler, M. (2009). *Managing modern youth work*. Exeter England: Learning Matters.
- White, R. (2009). *Concepts and methods of youth work*. Hobart : Australian Clearinghouse for Youth Studies.

Digital Resources (Please Note at time of publication of the learner guide all links are active, in some cases links may become unavailable)

[Bretzius, M. \(2013, October 7\). Defining Compliance for Your Organization. Retrieved from Aiim Community:](#)

[Rosell, R. \(Director\). \(2004\). Compliance is just the beginning \[DVD located in Frankston library along with notes book educator will show in session\]](#)

[Trevino, L. K. \(1999\). Managing Ethics and Legal Compliance. California: California Management Review.](#)

[Australian Government Attorney-General's. \(2011\). Australian Administrative Law Policy Guide. Canberra: Commonwealth of Australia.](#)

[Australian Association of Social Workers. \(2015\). Industrial and Workplace Issues Information Sheet. North Melbourne: AASW.](#)

[: Australian Human Rights Commission. \(2018, July 20\). What is the Universal Declaration of Human Rights?](#)

[Australian Association of Social Workers. \(2015\). Industrial and Workplace Issues Information Sheet. North Melbourne: AASW.](#)

[Compliance Monitoring and Auditing. \(2018, August 16\). Retrieved from Australian Government Department of Environment and Energy:](#)

[Australian Government Department and Environment and Energy. \(2018, August 16\). Compliance auditing.](#)

[Youthlaw. \(2012\). What Do I Do When? Melbourne: Youthlaw Young People's Legal Rights Centre Inc.](#)

[Youth Work Essentials. \(2018, August 16\). Code of Conduct.](#)

[NSW Industrial relations. \(2013\). Workplace Policies and Procedures. Sydney: NSW Government.](#)

[Standards Australia Limited. \(2018, August 17\). Becoming Accredited. Retrieved from Standards Australia:](#)

[Kepner Tregoe. \(2001\). Strategic Response. New Jersey: Kepner Tregoe.](#)

[Disability Rights: Facilitating the empowerment of people with disability. \(2016\). Legal and ethical considerations of service delivery. Sydney: Australian Human Rights Commission.](#)

Australian Association of Social Workers. (2013). Practice Standards. Canberra: Australian Association of Social Workers.

Australian Association of Social Workers. (2010). Code of Ethics. Canberra: Australian Association of Social Workers.

Australian Community Workers Association. (2017). Australian Community Workers Ethics and Good Practice Guide. Melbourne : ACWA.

: Lea Fourkiller, B. T. (2016). Developing the Framework for your Compliance Program Policies & Procedures. Jordan Valley: HCCA Compliance Institute.

Youth Affairs Council of Victoria. (2007). Code of Ethical Practice – A First Step for the Victorian Youth Sector. Melbourne: YACVic.
Academique. (2015). Plan and establish compliance management systems. Academique.

University of Sunshine Coast. (2018, August 17). Compliance Management Framework - Governing Policy. Retrieved from USC:

Handouts

ASSESSMENTS

The following assessments will be used to collect evidence of the knowledge and skills you have gained from your Learning Program. You will be required to demonstrate your ability to perform to the standard required in the workplace, as specified within the assessment task criteria as detailed below:

Assessment Tasks	Week
1: Questioning - Compliance Questions	Week 4
2: Questioning - Compliance Questions	Week 7
2: Report -Strategic response & policy development	Week 11

REQUIREMENTS

Please read the following instructions about your assessment. They will help you to achieve the level of performance required for a successful assessment.

Please read all assessment instructions to ensure you are clear and fully understand the requirements as outlined in each task.

To achieve competence in the unit/s a learner must meet requirements for all assessment tasks listed before a judgment of competency can be made. Where competency is not achieved your assessor will provide feedback and request further evidence as needed.

It is important that you clearly understand all the requirements of assessment. If you have difficulty with the assessment terms or the steps to follow please speak to your Assessor/ instructor prior to commencing the task/s. Your Assessor will provide additional information to ensure all aspects of the tasks are clear.

The specific assessment instructions for each task will be provided in the Assessment Guide for this unit/s. General information about assessment methods used for this unit are outlined below:

Questioning:

You will be provided with, or verbally asked, a series of questions related to the unit of competency undertaken in your course. The questions are used to assess your level of knowledge in relation to various aspects of the unit/s. Questioning may occur during an observable task where skills and knowledge are integrated.

Report:

Report assessments are generally a combination of several tasks combined together to establish a deep understanding of concepts and their application. Reports will require significant planning, research and may follow a systematic process as outlined by your Assessor. These tasks will generate evidence that must be submitted as a collective to demonstrate competence and may involve the submission of work samples as well as evidence of research and specific tasks undertaken.

RE-ASSESSMENT

If you do not achieve the required standard to achieve competence, you will be given the opportunity to be re-assessed by the assessor and the requirement for additional evidence will be outlined. Arrangements will be made on an individual basis to ensure the process is valid, fair and reliable.

ASSESSMENT APPEALS

A student who is dissatisfied with the outcome of his/her assessment should first discuss their concerns with the teacher/assessor and/or program coordinator in the associated business area. If the issue is not resolved, the student may appeal the decision(s) by following the Complaints and Appeals process as outlined in the Chisholm Student Guide.

FACILITIES AND RISK CONTROL PLAN

It is essential that all assessment tasks are conducted at appropriate locations with safe working equipment and adequate facilities, following all relevant legislation, policies and procedures.

The following items identify the location of organisational policies and procedures identifying safe work practices for all learning and assessment activities and are underpinned by federal, state or local government legislation.

Please ask your trainer/assessor for a copy of the QMS document should further information be required.

Description of item	Organisational Process
Student induction	QMS106
Practical Placements	QMS109
Emergency Management	QMS401
First Aid	QMS402
Hazard Management	QMS405
Manual Handling	QMS408
Electrical Safety	QMS413
Workplace inspections	QMS418
Work environment	QMS422

The following information describes the facilities where training and assessment is conducted, and the risk management processes in place to ensure safe working practices for students and assessors.

Description of item/task	Hazard	Risk Rating	Control
Assessment Task 1, 2 Class Room /Independent learning,	Lifting, carrying, pushing and pulling objects slips, trips and falls	Low	All noted hazards in the classroom are required to be reported to the class room teacher as soon as possible. Take reasonable care for health and safety in the classroom, independent learning time Also take reasonable care for the health and safety of others who may be affected by what you do or don't do.
	Psychological	Low /moderate	
	Occupational violence	Low	
	Bullying and harassment	Low	

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