



CHCLEG003

**Manage legal and ethical
compliance**

**LEARNING
ACTIVITY
BOOKLET**



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Version Control & Document History

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Overview

CHCLEG003 - Manage legal and ethical compliance (Release 1)

This unit describes the skills and knowledge required to research information about compliance and ethical practice responsibilities, and then develop and monitor policies and procedures to meet those responsibilities.

This unit applies to people working in roles with managerial responsibility for legal and ethical compliance in small to medium sized organisations. There may or may not be a team of workers involved.

The skills in this unit must be applied in accordance with Commonwealth and State/Territory legislation, Australian/New Zealand standards and industry codes of practice.

A complete copy of the above unit of competency can be downloaded from the TGA website:

<https://training.gov.au/Training/Details/CHCLEG003>

Learner Instructions

This Learning Activity Booklet contains formative activities that learners will complete in the classroom or a similar environment.

These formative activities include knowledge questions to test your underpinning generic knowledge and practical activities to test your skills relevant to the unit/s of competency.

These formative assessments are used by your trainer to complement both the learning and training processes, and to evaluate how you are progressing throughout these processes.

You may reference your Learner Guide and other learning materials to complete the activities included in this workbook.

IMPORTANT:

The completion of the formative assessments and learning activities included in this workbook DOES NOT lead to a Qualification or a Statement of Attainment (SOA).

Learner Information

Learner name	
Phone	
Email	

Trainer Information

Trainer name	
RTO name	
RTO phone	
RTO email	

Resources Required

Resources needed to complete activities included in this workbook include:

- Computer with Internet, email access, and a working web browser
- Installed software: MS Word, Adobe Acrobat Reader
- Learner guide

Work Health and Safety

Both the trainers and learners have duty of care in ensuring that the learning environment is free from hazards that may pose risks to their health and safety.

According to WHS legislation, trainers and learners must take reasonable care while undertaking the activities included in this workbook in the learning environment.

Reasonable Adjustment

‘Reasonable adjustment’ in VET is the term applied to modifying the learning environment or making changes to the training delivered to assist a learner with a disability. A reasonable adjustment can be as simple as changing classrooms to be closer to amenities or installing a particular type of software on a computer for a person who has low vision.

Why make a reasonable adjustment?

We make reasonable adjustments in VET to make sure that learners with disability have:

- The same learning opportunities as learners without disability, and
- The same opportunity to perform and complete assessments as those without disability.

Reasonable adjustment applied to participation in teaching, learning, and assessment activities can include:

- Customising resources and assessment activities within the training package or accredited course
- Modifying the presentation medium
- Learner support
- Use of assistive/adaptive technologies
- Making information accessible both before enrolment and during the course
- Monitoring the adjustments to ensure learner needs continue to be met

Assistive/Adaptive Technologies

Assistive/adaptive technology means ‘software or hardware that has been specifically designed to assist persons with disability in carrying out daily activities’ (World Wide Web Consortium - W3C). It includes screen readers, magnifiers, voice recognition software, alternative keyboards, devices for grasping, visual alert systems, and digital note-takers.

(Adapted Reasonable Adjustment in teaching, learning and assessment for learners with a disability - November 2010 - Prepared by - Queensland VET Development Centre)

IMPORTANT:

Reasonable adjustment made for collecting learner assessment evidence must not impact the standard expected by the workplace, as expressed by the relevant unit/s of competency. For example, if the assessment were gathering evidence of the learner’s competency in writing, allowing the learner to complete the assessment verbally would not be a valid assessment method. The method of assessment used by any reasonable adjustment must still meet the competency requirements.

Formative Activities

I. Research Information Required for Legal Compliance

Activity 1.1

Matching Type

Listed below are different topics of legal compliance requirements.

- a. Discrimination
- b. Duty of Care
- c. Privacy, Confidentiality and Disclosure
- d. Mandatory Reporting
- e. Records Management

Match each to the corresponding legal compliance requirement described below, by writing the letter that corresponds to your answer in the space provided.

Legal Compliance Requirements	
	i. Clients must be promptly informed of how the organisation will use their personal information.
	ii. Workers in charge of supervising clients are responsible for protecting their clients from risks of harm.
	iii. Employees whose roles involve working with children must report suspected cases of child abuse and neglect.
	iv. Workers must follow policies and procedures when disposing of or destroying any records kept by the organisation.
	v. Organisations must provide equal access to all who need to avail of their services.

Activity 1.2

List down four types of penalties for non-compliance.

i.
ii.
iii.
iv.

II. Determine Ethical Responsibilities

Activity 2.1

True or False

Review the statements below about scope of practice considerations in relation to ethical practice. Indicate whether each statement is True or False.

Tick the box that corresponds to your answer.

<input type="checkbox"/> TRUE <input type="checkbox"/> FALSE	i. Rank and file workers may be placed in charge of supervising the overall implementation of programs in a service.
<input type="checkbox"/> TRUE <input type="checkbox"/> FALSE	ii. Only an organisation's director may liaise with clients' families.
<input type="checkbox"/> TRUE <input type="checkbox"/> FALSE	iii. Service workers need to know about ethical practice because their scope of practice involves interacting with and providing care for clients.
<input type="checkbox"/> TRUE <input type="checkbox"/> FALSE	iv. A worker's scope of practice will dictate what tasks they are qualified and permitted to perform based on their qualifications.
<input type="checkbox"/> TRUE <input type="checkbox"/> FALSE	v. Managing compliance with legal requirements is the responsibility of the clients of a service.

Activity 2.2

List down four ways to model ethical behaviour at work.

i.
ii.
iii.
iv.

III. Develop and Communicate Policies and Procedures

Activity 3.1

Matching Type

Listed below are different parts of an organisational policy.

- a. Statement of purpose
- b. Scope
- c. Background
- d. Restrictions
- e. Attachments

Match each to their description below, by writing the letter that corresponds to your answer in the space provided.

Description	
	i. This part states what the policy is trying to achieve.
	ii. This part lists down workplace documents needed to comply with the policy.
	iii. This part identifies legislation and guidelines that serve as bases for the policy.
	iv. This part describes acceptable or unacceptable behaviour based on the policy.
	v. This part lists down persons to whom the policy will apply.

Activity 3.2

Explain the difference between documentation requirements and record keeping requirements.

IV. Monitor Compliance

Activity 4.1

Matching Type

Listed below are techniques for monitoring compliance.

- a. Audit
- b. Risk assessment
- c. Inspections and walkthroughs
- d. Reporting
- e. Feedback

Match each to their description below, by writing the letter that corresponds to your answer in the space provided.

Description	
	i. This is the process of identifying workplace hazards and evaluating their associated risks.
	ii. This refers to a comprehensive review of all compliance areas related to the service.
	iii. In this process, employees inform their managers of compliance issues they find in the workplace.
	iv. This includes opportunities for employees to talk to their managers and give suggestions and opinions about compliance practices.
	v. This is done by observing different activities within a workday or workweek and taking notes.

Activity 4.2

List down the common stages in an accreditation process.

i.
ii.
iii.
iv.
v.

V. Maintain Knowledge of Compliance Requirements

Activity 5.1

True or False

Review the statements below about current and emerging legal requirements and ethical issues. Indicate whether each statement is True or False.

Tick the box that corresponds to your answer.

<input type="checkbox"/> TRUE <input type="checkbox"/> FALSE	i. Emerging legal requirements are new requirements that result from updates in legislation.
<input type="checkbox"/> TRUE <input type="checkbox"/> FALSE	ii. Industry publications may contain information about updates to legal and ethical requirements.
<input type="checkbox"/> TRUE <input type="checkbox"/> FALSE	iii. Using outdated information on requirements may put your service at risk of non-compliance.
<input type="checkbox"/> TRUE <input type="checkbox"/> FALSE	iv. The Fair Work Ombudsman provides information on updates to human rights principles.
<input type="checkbox"/> TRUE <input type="checkbox"/> FALSE	v. Regulatory authorities can only provide organisations with updated legal requirements during designated assessment periods.

Activity 5.2

List down three kinds of updated knowledge and information that you can share with peers and colleagues.

i.
ii.
iii.

End of Document