

	<b>RPL Assessment Sheet</b>	
	KSA Campus:	Current as of:
	Student Name:	Next Review:

<b>Unit Code: CHCLEG003</b>	<b>Unit Name: Manage Legal and ethical compliance</b>
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Mandatory Unit Requirements	Evidence Collected				
	<i>Certificate Statement of Attainment</i>	<i>Third Party Referral (letter from employer etc)</i>	<i>Portfolio of evidence</i>	<i>Practical Assessment</i>	<i>Evidence Accepted Y/N</i>
<b>Elements and Performance Criteria</b>					
<b>1. Research information required for legal compliance</b> 1.1 Identify sources of information about compliance requirements 1.2 Evaluate own area of work and determine scope of compliance requirements 1.3 Access and interpret information relevant to area of work 1.4 Identify risks, penalties and consequences of non compliance 1.5 Assess and act on need for specialist legal advice					
<b>2. Determine ethical responsibilities</b> 2.1 Identify the ethical framework that applies to the work context 2.2 Incorporate scope of practice considerations as part of ethical practice 2.3 Evaluate responsibilities to workers, clients and the broader community 2.4 Model ethical behaviour in own work					

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<p><b>3. Develop and communicate policies and procedures</b></p> <p>3.1 Clearly articulate and document policies and procedures to support legal and ethical practice in readily accessible formats</p> <p>3.2 Integrate documentation and record keeping requirements into policies and procedures</p> <p>3.3 Ensure systems protect client information</p> <p>3.4 Nominate the roles and responsibilities of different people in meeting requirements where multiple people are involved</p> <p>3.5 Distribute policies, procedures and legal information to colleagues and peers in a timely fashion</p>					
<p><b>4. Monitor compliance</b></p> <p>4.1 Evaluate work practices for non-compliance on an ongoing basis, and implement modifications</p> <p>4.2 Maintain and update required accreditations or certifications</p> <p>4.3 Refer issues or breaches of ethical or legal practice to relevant people</p>					
<p><b>5. Maintain knowledge of compliance requirements</b></p> <p>5.1 Identify and use opportunities to maintain knowledge of current and emerging legal requirements and ethical issues</p> <p>5.2 Share updated knowledge and information with peers and colleagues.</p> <p>5.3 Pro-actively engage in process of review and improvement</p>					

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<b>Performance evidence</b>					
<b>There must be evidence that the candidate has:</b> 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					
<b>Knowledge Evidence</b>					
<b>The candidate must be able to demonstrate essential knowledge including:</b> 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"> <li>- children in the workplace</li> <li>- codes of conduct</li> <li>- codes of practice</li> <li>- complaints management</li> <li>- continuing professional education</li> <li>- discrimination</li> <li>- dignity of risk</li> <li>- duty of care</li> <li>- human rights:               <ul style="list-style-type: none"> <li>■ <i>Universal declaration of human rights</i></li> </ul> </li> </ul>					

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<ul style="list-style-type: none"> <li>■ relationship between human needs and human rights</li> <li>■ frameworks, approaches and instruments used in the workplace</li> <li>- informed consent</li> <li>- mandatory reporting</li> <li>- practice standards</li> <li>- practitioner/client boundaries</li> <li>- privacy, confidentiality and disclosure</li> <li>- policy frameworks</li> <li>- records management</li> <li>- rights and responsibilities of workers, employers and clients</li> <li>- industrial relations legislation and requirements relevant to organisation</li> <li>- specific requirements in the area of work, including: <ul style="list-style-type: none"> <li>■ key practices that are prohibited by law</li> <li>■ auditing and inspection regimes</li> <li>■ main consequences of non-compliance</li> <li>■ need to apply for licences and associated mandatory training and certification requirements</li> <li>■ statutory reporting requirements</li> <li>■ business insurances required including public liability and workers compensation</li> <li>■ accreditation requirements</li> <li>■ requirements to develop and implement plans, policies, codes of conduct or incorporate certain workplace practices</li> </ul> </li> <li>- work role boundaries – responsibilities and</li> </ul>					

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limitations of different people - work health and safety					
Sources of information and advice on compliance including: <ul style="list-style-type: none"> <li>- local, state/territory or commonwealth government departments or regulatory agencies</li> <li>- industry associations</li> <li>- plain English documentation that explains legislation</li> </ul>					
Functions and operating procedures of regulatory authorities of particular relevance to the health and community service sector					
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					
<b>RPL Outcome:</b>					
<b>Student signature:</b>  <b>Date:</b>	Assessor Name:			Upgrade Required Y/N	
	Assessor Signature:			Competent / NYC	
				Date:	