

**Assessment Workbook 1**

**CHC52015 Diploma**

**of Community Services**

**Specialising in Case Management**



**Legal and Ethical Compliance**

**Version 1.5 Produced 27 November 2018**

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Version control & document history

|  |  |  |
| --- | --- | --- |
| **Date** | **Summary of modifications made** | **Version** |
| 16 January 2017 | Version 1 final produced following assessment validation. | 1.0 |
| 9 March 2017 | Version 1.1 final produced with the following amendment(s):   * Amended number of options to be selected in KA Part 1 Question 1 * Amended KA Part 2 Question 5 * Case Study 3 Task 3 instructions rectified | 1.1 |
| 1 August 2017 | Edited table for Knowledge Assessment P1 Q13 – 2 should have “part time” | 1.2 |
| 27 September | Corrected error in Case Study numbers in Additional Case Study Activities: Task 1 | 1.3 |
| 10 September 2018 | Updated rates for Knowledge Assessment: Part 1 Q14 | 1.4 |
| 27 November 2018 | Updated Knowledge Assessment item 7 ‘Guide to Aged Care Law’ to ‘My Aged Care website, factsheets, guides and policy’ as per new legislation. | 1.5 |

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**Introduction**

The questions in this workbook are divided into two categories: Knowledge Assessment and Case Studies.

The questions under **Knowledge Assessments** are all in a short answer format. The longer questions requiring creative and analytical thought processes are covered in the **Case Studies** assessment. **You must answer all questions using your own words**. However, you may reference your learner guide and other relevant resources and learning materials to complete this assessment.

Some questions cover processes you would likely encounter in a workplace. Ideally, you should be able to answer these questions based on the processes that are currently in place in your workplace. If this is not the case, then answer the questions based on processes that should be implemented in your workplace.

**What is competency based assessment**

**The features of a competency based assessment system are:**

* It is focused on what learners can do and whether it meets the criteria specified by industry as competency standards.
* Assessment should mirror the environment the learner will encounter in the workplace.
* Assessment criteria should be clearly stated to the learner at the beginning of the learning process.
* Assessment should be holistic. That is it aims to assess as many elements and/or units of competency as is feasible at one time.
* In competency assessment a learner receives one of only two outcomes – competent or not yet competent.
* The basis of assessment is in applying knowledge for some purpose. In a competency system, knowledge for the sake of knowledge is seen to be ineffectual unless it assists a person to perform a task to the level required in the workplace.
* The emphasis in assessment is on assessable outcomes that are clearly stated for the trainer and learner. Assessable outcomes are tied to the relevant industry competency standards where these exist. Where such competencies do not exist, the outcomes are based upon those identified in a training needs analysis.

**Definition of competency**

Assessment in this context can be defined as:

* The fair, valid, reliable and flexible gathering and recording of evidence to support judgement on whether competence has been achieved. Skills and knowledge (developed either in a structured learning situation, at work, or in some other context) are assessed against national standards of competence required by industry, rather than compared with the skills and knowledge of other learners.

**The basic principles of assessing nationally recognised training**

Developing and conducing assessment, in an Australian vocational education and training context, is founded on a number of basic conventions:

**The principles of assessment**

* Assessment must be valid
  + Assessment must include the full range of skills and knowledge needed to demonstrate competency.
  + Assessment must include the combination of knowledge and skills with their practical application.
  + Assessment, where possible, must include judgements based on evidence drawn from a number of occasions and across a number of contexts.
* Assessment must be reliable
* Assessment must be reliable and must be regularly reviewed to ensure that assessors are making decisions in a consistent manner.
* Assessors must be trained in national competency standards for assessors to ensure reliability.
* Assessment must be flexible
* Assessment, where possible, must cover both the on and off-the-job components of training within a course.
* Assessment must provide for the recognition of knowledge, skills and attitudes regardless of how they have been acquired.
* Assessment must be made accessible to learners though a variety of delivery modes, so they can proceed through modularised training packages to gain competencies.
* Assessment must be mutually developed and agreed upon between assessor and the assessed.
* Assessment must be able to be challenged. Appropriate mechanisms must be made for reassessment as a result of challenge.

(*Sourced and adapted from: Standards for RTOs 2015, Clauses 1.8 – 1.12*)

**The rules of evidence** (from *Training in Australia* by M Tovey, D Lawlor)

When collecting evidence there are certain rules that apply to that evidence. All evidence must be valid, sufficient, authentic and current;

* Valid
* Evidence gathered should meet the requirements of the unit of competency. This evidence should match or at least reflect the type of performance that is to be assessed, whether it covers knowledge, skills or attitudes.
* Sufficient
  + This rule relates to the amount of evidence gathered It is imperative that enough evidence is gathered to satisfy the requirements that the learner is competent across all aspects of the unit of competency.
* Authentic
* When evidence is gathered the assessor must be satisfied that evidence is the learner’s own work.
* Current
* This relates to the recency of the evidence and whether the evidence relates to current abilities.

**The Dimensions of Competency**

The national concept of competency includes all aspects of work performance, and not only narrow task skills. The four dimensions of competency are:

* Task skills
* Task management skills
* Contingency management skills

**Reasonable Adjustment**

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

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 with vision impairment.

**Why make a reasonable adjustment?**

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

* the same learning opportunities as learners without a disability
* the same opportunity to perform and complete assessments as those without a 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 prior to 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 people with disabilities 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, digital note takers.

**IMPORTANT NOTE**

Reasonable adjustment made for collecting candidate assessment evidence must not impact on the standard expected by the workplace, as expressed by the relevant Unit(s) of Competency. E.g. If the assessment was gathering evidence of the candidates competency in writing, allowing the candidate 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.

**The Units of Competency**

The units of competency specify the standards of performance required in the workplace.

This assessment addresses the following unit of competency from CHC52015 Diploma of Community Services specialising in Case Management:

**CHCLEG003 Manage legal and ethical compliance**

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

**HLTWHS004 Manage work health and safety**

1. Establish work health and safety practices
2. Facilitate consultation, cooperation and communication
3. Monitor compliance with risk control processes
4. Evaluate and maintain WHS

**For complete copies of the above units of competency:**

Download them from the TGA website: [www.training.gov.au](https://training.gov.au/Training/Details/CHC52015)

**Context for Assessment**

To complete the assessments in this workbook, students need to have access to their learning materials and the internet. The written questions and project may be completed wholly at the student’s home or chosen place of study.

**Assessment Requirements**

The assessment requirements specify the evidence and required conditions for assessment.

Each unit of competency can be unbundled to reveal three key assessment components:

1. Performance Evidence

* describes the subtasks that make up the element of the unit

1. Knowledge Evidence

* describes the knowledge that must be applied in understanding the tasks described in the elements

1. Assessment Condition

* describes the environment and conditions that assessments must be conducted under

The associated assessment method in this kit covers all of these components as detailed in the matrix to follow:

|  |  |  |
| --- | --- | --- |
|  | Units of Competency | |
| **Assessment Activities** | **CHCLEG003** | **HLTWHS004** |
| Knowledge assessment | 🗹 | 🗹 |
| Case studies | 🗹 | 🗹 |

**Assessment Methods**

There are seven (7) Assessment Workbooks for the course. Six (6) of which are Theory Workbooks and one (1) is the Skills Workbook. This is **Workbook 1.**

**Theory Workbooks**

The Theory Workbooks use the following assessment methods:

1. Knowledge Assessment – A set of generic and workplace questions testing the student’s general knowledge and understanding of the general theory behind the unit.
2. Case Studies – Detailed scenarios and simulated environments providing all necessary information required to complete relevant tasks and activities

The theory workbooks in this course are as follow:

|  |
| --- |
| **Workbook 1 – Legal and Ethical Compliance** |

Workbook 2 – Society and Diversity

Workbook 3 – Personal and Professional Development

Workbook 4 – Case Management Part I: Working with Clients

Workbook 5 – Case Management Part II: Working with Peer Case Workers

Workbook 6 – Program Development

**Skills Workbook**

The Skills Workbook contains the practical assessment which covers all units of competency of CHC52015 Diploma of Community Services Specialising in Case Management.

These practical assessment activities will be completed during the course of your Vocational Placement.

**You should not commence with the Skills Workbook until you have completed the six (6) theory workbooks and have received feedback from your assessor.**

The assessment method used in the Skills Workbook includes:

1. Practical Assessment **–** a set of tasks or activitiescompleted according to set instructions and guidelines to meet the requirements of the relevant units. These tasks and activities require you to have access to a workplace.

The skills workbook in this course is:

Workbook 7 – Skills Workbook

**Resources Required for Assessment**

**Assessor to provide:**

* Case studies and simulations
* Information about work activities, as necessary

**Candidate will need access to:**

* Computer with internet and email access and a working web browser
* Installed software: MS Word, Adobe Acrobat Reader
* Access to legislation relevant to the community services industry, including codes of conduct, WHS legislation, practice standards, etc.
* At least two (2) persons who will volunteer in the roleplay activity
* Video camera or a mobile phone with video and audio recording capabilities
* At least five (5) people who have email accounts
* Printer to print policies and procedures in the Case Study Assessment

**Assessment Workbook Cover sheet**

|  |  |  |  |
| --- | --- | --- | --- |
| WORKBOOK: | WORKBOOK 1 | | |
| TITLE: | Legal and Ethical Compliance | | |
| FIRST AND SURNAME: |  | | |
| PHONE: |  | | |
| EMAIL: |  | | |
|  | | | |
| **Please read the Candidate Declaration below and if you agree to the terms of the declaration sign and date in the space provided.** | | | |
| **By submitting this work, I declare that:**   * **I have been advised of the assessment requirements, have been made aware of my rights and responsibilities as an assessment candidate, and choose to be assessed at this time.** * **I am aware that there is a limit to the number of submissions that I can make for each assessment and I am submitting all documents required to complete this Assessment Workbook.** * **I have organised and named the files I am submitting according to the instructions provided and I am aware that my assessor will not assess work that cannot be clearly identified and may request the work be resubmitted according to the correct process.** * **This work is my own and contains no material written by another person except where due reference is made. I am aware that a false declaration may lead to the withdrawal of a qualification or statement of attainment.** * **I am aware that there is a policy of checking the validity of qualifications that I submit as evidence as well as the qualifications/evidence of parties who verify my performance or observable skills. I give my consent to contact these parties for verification purposes.** | | | |
| **Name :** | | **Signature:** | **Date:** |

**Knowledge Assessment**

**Part 1 – Managing legal and ethical compliance**

|  |  |
| --- | --- |
| 1. Crucial to your work role in case management in community services is a solid understanding of legal and ethical compliance requirements.   Which of the following are reliable sources of information about compliance requirements. From the options below, select only six (6). | |
|  | |
|  | 1. Federal Register of Legislation (www.legislation.gov.au) |
|  | 1. Legal specialists (e.g. lawyers) |
|  | 1. Relevant legislation and regulations |
|  | 1. Newspapers, tabloids, and magazines |
|  | 1. Peak bodies and industry associations |
|  | 1. Local, state/territory, national government bodies |
|  | 1. Social media platforms (e.g. Facebook and Twitter) |
|  | 1. Relevant supervisors, managers, or other industry personnel |

|  |  |
| --- | --- |
| 1. Provide one (1) local government department or regulatory agency in your state or territory relevant to the delivery of community services and provide a description of the department of the agency, including their function and how they operate.   *Guidance: Indicate your state or territory for your assessor’s reference.* | |
|  | |
| Your state or territory |  |
| One (1) local government department or regulatory agency in your state or territory |  |
| Description of its function and how they operate |  |

|  |  |
| --- | --- |
| 1. Listed below are some of the national government departments and regulatory agencies relevant to the delivery of community services in Australia. Describe their function and how they operate. | |
|  | |
| National government departments and regulatory agencies | Their function and how they operate |
| Aged and Community Services Australia |  |
| Secretariat of National Aboriginal and Islander Child Care (SNAICC) |  |
| Department of Social Services Australia |  |
| Mental Health Australia |  |

|  |  |
| --- | --- |
| 1. Listed below are some industry associations relevant to the delivery of community services in Australia. In your own words, describe their function and how they operate. | |
|  | |
| Industry association | Their function and how they operate |
| Australian Institute of Welfare and Community Workers Inc. (National Office) |  |
| Case Management Society of Australia and New Zealand |  |
| Australian Association Of Social Workers Ltd |  |

|  |
| --- |
| 1. In your own words, describe the purpose and relevance of having plain English documentation for explaining legislation in the delivery of community services. |
|  |
|  |

|  |  |
| --- | --- |
| 1. From the options below, select the two (2) correct sources where you can access plain English documentation to help explain legislation in the community services industry. | |
|  | |
|  | 1. Cultural interpreter |
|  | 1. Guiding documents officially published by the relevant government departments or regulatory agencies |
|  | 1. TGA (www.training.gov.au) |
|  | 1. Official or organizational websites of relevant government departments, regulatory agencies, and industry associations |
|  | 1. Federal Register of Legislation (www.legislation.gov.au) |

|  |  |
| --- | --- |
| 1. The *Aged Care Act 1997* is one of the many pieces of legislation relevant to the community services industry. From the options below, select the one (1) correct source of plain English documentation used to help explain this legislation. | |
|  | |
|  | 1. Residential Care Manual |
|  | 1. Educators’ Guide to the Early Years Learning Framework (EYLF) |
|  | 1. My Aged Care website, factsheets, guides and policy |
|  | 1. Quality of Care Principles 2014 |
|  | 1. The Guide to the Model WHS Act |

|  |  |
| --- | --- |
| 1. Listed below are legal and ethical frameworks to which delivery of community services must adhere to. In your own words, discuss how each framework applies to the community services industry. | |
|  | |
| Legal and ethical framework | How this applies in the community services industry |
| Children in the workplace |  |
| Codes of conduct |  |
| Codes of practice |  |
| Complaints management |  |
| Continuing professional education |  |
| Discrimination |  |
| Dignity of risk |  |
| Duty of care |  |
| Universal declaration of human rights |  |
| Informed consent |  |
| Mandatory reporting |  |
| Practice standards |  |
| Practitioner/client boundaries |  |
| Privacy, confidentiality and closure |  |
| Policy frameworks |  |
| Records management |  |
| Work role boundaries |  |
| Work health and safety |  |

|  |  |
| --- | --- |
| 1. The case workers, case managers, other staff, clients, and employers (community services provider) are all stakeholders in the community services industry. Each stakeholder have rights and responsibilities recognised and required, respectively, in accordance with relevant legislation, standards, and regulations.   For each stakeholder, provide two (2) rights they have and (2) responsibilities they must fulfil in accordance with relevant legislation, standards, and regulations.  Write your answers in the spaces provided. The first answer has already been provided for your reference. | |
|  | |
| Client | |
| Rights | Responsibilities |
| *Sample answer:*  *The right to be treated with respect and courtesy.* | *Sample answer:*  *Treat staff and volunteers with respect and courtesy.* |
|  |  |
|  | |
| Case manager, case workers, and other staff (Employee) | |
| Rights | Responsibilities |
|  |  |
|  |  |
|  | |
| Community services provider (Employer) | |
| Rights | Responsibilities |
|  |  |
|  |  |

|  |
| --- |
| 1. Human rights sits at the core of all legal and ethical frameworks especially in the health and community services.   Explain how human rights is related to human needs, and provide an example how this is applied in the community services industry.  Your response must be between 60 – 100 words in length. |
|  |
|  |

|  |  |
| --- | --- |
| 1. Listed below are some of the basic principles underlying the human rights framework and approaches used to continuously recognise, uphold, and protect these rights.   Explain how each principle is applied in your case management practice in the community services industry. | |
|  | |
| Principle underlying human rights frameworks and approaches | How this is applied in your case management practice in the community services industry |
| Universality |  |
| Indivisibility |  |
| Participation |  |

|  |  |
| --- | --- |
| 1. From the options below, select six (6) instruments or tools used in the workplace in meeting legal and ethical requirements for human rights. | |
|  | |
|  | 1. Certification and qualification requirements for case workers |
|  | 1. Financial assessment to determine whether a client can pay for services |
|  | 1. Charter of clients’ rights and responsibilities |
|  | 1. Organisational policies and procedures relevant to client complaints. |
|  | 1. Plain English documentation that help explain legislation |
|  | 1. Continuous improvement policy and procedures |
|  | 1. Person-centred approach to service delivery |

|  |  |  |
| --- | --- | --- |
| 1. The Fair Work Act 2009 is the legislation governing industrial relations in all organisations in Australia, including organisations providing community services and case management services. The Act sets the National Employment Standards outlining minimum employment entitlements, including maximum weekly hours, flexible working arrangements, leaves, and more.   There are specific requirements for maximum weekly hours that apply to organisations in the following sub-industries in the social, community, disability and home care services industry.  Complete the table below by supplying the required information about these requirements.  *Guidance: Access* [*www.fairwork.gov.au/employee-entitlements/hours-of-work-breaks-and-rosters*](https://www.fairwork.gov.au/employee-entitlements/hours-of-work-breaks-and-rosters/hours-of-work%232146-2159) *to help you complete this part of the assessment.* | | |
|  | | |
| Sub-industry | Requirements for maximum weekly hours | |
| Children’s services | Maximum number of work hours for full time |  |
| Maximum number of work hours for part time |  |
| Minimum hours |  |
| Social and community services | Maximum number of work hours for full time |  |
| Maximum number of work hours for part time |  |

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| 1. Fair Work Australia provides up to date information on the social and community service industry pay rates. Navigate around the website: [www.fairwork.gov.au/pay/minimum-wages/social-and-community-services-industry-pay-rates](https://www.fairwork.gov.au/pay/minimum-wages/social-and-community-services-industry-pay-rates) and determine the hourly rates for the following work role classifications in their respective industries and states/territories.   Complete the table below.  *Guidance: The first answer has already been provided for your reference.* |

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| Pay guide | Classification |  | State or territory | Hourly pay rate |
| Social and Community Services Employees (State) Award [AN120505] Pay Guide | Level 2 - pay point 1 | Community services worker grade 1 - Year 1 | - | *$25.42* |
| Social and Community Services (Queensland) Award 2001 [AP808848] Pay Guide | Level 7 - pay point 2 | Community Services Worker, Level 7, Pay point 2 | Queensland |  |
| Social and Community Services Industry - Community Services Workers - Northern Territory Award 2002 [AP817216] Pay Guide | Level 4 - pay point 1 | Community services worker grade 4, Pay point 1 | Northern Territory |  |

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| --- | --- | --- |
| 1. The table below lists specific requirements in the community services area. For each area mentioned, provide one (1) example of a work practice that would be prohibited by law and the associated consequence that may occur as a result of this practice.   *Guidance: Your responses must be relevant to the community services industry. The first response has been provided for your reference.* | | |
|  | | |
|  | Practice prohibited by law  *Provide one (1) example* | Consequence |
| 1. Discrimination | *Sample answer:*  *Case manager or case worker refusing to take a case from a client from a different cultural background.* | *Sample answer:*  *The case manager or worker who refused to provide the service can be reported to the organisation or to the Australian Human Rights Commission or may be reported to Federal Court of Australia or the Federal Magistrates Court and face legal consequences* |
| 1. Privacy and confidentiality |  |  |
| 1. Work health and safety |  |  |

|  |  |
| --- | --- |
| 1. There following are areas in Community Services where workers require specific licenses, mandatory training or certification/qualifications.   Explain how they apply to the community services industry. | |
|  | |
| Blue Card (Queensland) |  |
| First Aid Certificate |  |
| Australian Community Workers Association Membership |  |

|  |  |
| --- | --- |
| 1. Different industry sectors have different statutory reporting requirements in place. Below are examples of situations across industry sectors that need to be reported.Describe the reporting requirements for each situation that applies in your state or territory.   *Guidance: Indicate your state/territory. Provide the link to the webpage containing the information you used as reference.* | |
|  | |
| Your state or territory |  |

|  |  |  |  |
| --- | --- | --- | --- |
| Industry sector | Scenario | Reporting requirements | Link to webpage containing information |
| Aged Care | Suspected financial abuse of a client |  |  |
| Youth | Homeless fourteen year-old |  |  |
| Disability | Suspected abuse of a person with |  |  |

|  |  |
| --- | --- |
| 1. Listed below are three (3) business insurances required for community service organisations. In your own words, discuss the purpose of each.   Each discussion must be between 60 – 100 words in length. | |
|  | |
| Public liability |  |
| Workers compensation insurance |  |
| Personal accident insurance |  |

|  |
| --- |
| 1. When an organisation is undertaking accreditation they are required to meet a number of standards. Identify and explain two (2) of the service areas that would be considered or assessed.   Each discussion must be between 80 – 100 words in length. |
|  |
|  |
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| 1. Listed below are the five (5) steps that organisations, including community services, they are typically required to follow in developing their plans, policies, and codes of conduct for service delivery.   Explain each step. Do not exceed 100 words for each step.  *Guidance: Ensure that your responses are within the context of the community services industry.* |
|  |
| 1. Planning and consultation |
| 1. Research and defining policy terms |
| 1. Drafting the policy |
| 1. Implementing the policy |
| 1. Monitoring compliance |

|  |
| --- |
| 1. In your own words, discuss the role and responsibilities of case managers in the development, implementation, and review of organisational policies and procedures in line with the legal and ethical requirements identified in Part 1 – Written Question 8.   Your discussion must be between 60 – 100 words in length. |
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| 1. Provide two (2) ways that a community service organisation can ensure they remain up-to-date with compliance requirements. |
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| 1. How would the implementation of workplace policies and procedures assist a community services organisation ensure that their internal work practices and external service delivery comply with legal and ethical requirements?   Your discussion must be 50 – 200 words in length and must cover both internal work practice and external service delivery. |
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| 1. The Queensland Council of Social Service (QCOSS) has developed policy templates and guidelines to assist community services organisations in implementing the standards set in the Human Services Quality Framework (HSQF).   Access [www.communitydoor.org.au](http://communitydoor.org.au/quality-assurance/hsqf-templates) and provide two (2) policy templates organisations can use for each of the standard in the HSQF.  A sample answer has been provided for your reference. | |
|  | |
| The six (6) standards in the HSQF | Two (2) policy templates |
| Standard 1: Governance and management | Sample answer: *Election of governing body template* |
|  |
| Standard 2: Service Access |  |
|  |
| Standard 3: Responding to individual need |  |
|  |
| Standard 4: Safety, wellbeing, and rights |  |
|  |
| Standard 5: Feedback, complaints, and appeals |  |
|  |
| Standard 6: Human resources |  |
|  |

|  |  |
| --- | --- |
| 1. Access and review the *vision, values, planning policy* guidelines and template from [www.communitydoor.org.a/standard-1-governance-and-management](http://communitydoor.org.au/quality-assurance/standard-1-governance-and-management).   In your own words, discuss what information is included in each of the section found in this policy. The first answer has already been provided for your reference. | |
|  | |
| Section in this policy | What information is included in this section |
| Purpose | *Sample response: A written statement of the organisation’s vision and values that will provide the guide to everyone how they approach the work. This will also provide an overview or a picture to other stakeholders on what the organisation is all about, its goals as an organisation, and its philosophies.* |
| Scope |  |
| Policy statement: Our commitment |  |
| Procedures |  |
| Other related policies and procedures |  |
| Review processes |  |

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| 1. Identify three (3) techniques for monitoring compliance in the community service organisation.In your own words, discuss each technique. |
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**Part 2 – Managing work health and safety**

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| --- | --- |
| 1. State/territory WHS authorities regulate and enforce work health and safety legislation in their jurisdiction.   On which areas do they impact the workplace or organisation’s policies and procedures, regulations, codes of practice and industry standards? Select only five (5) from the options below. | |
|  | |
|  | 1. Monitoring attrition rate of employees |
|  | 1. Compliance with work and health and safety laws |
|  | 1. Funding community services |
|  | 1. Reporting requirements for workplace incidents |
|  | 1. Implementation of anti-discrimination policies |
|  | 1. Injuries and workers’ compensation claims |
|  | 1. Handling clients’ complaints |
|  | 1. Health and safety representative training |
|  | 1. Work health and safety training and assessment |

|  |  |
| --- | --- |
| 1. Persons conducting a business or undertaking (PCBUs), workers, and officers (e.g. supervisors or WHS officer) all have legal rights and responsibilities as set in the relevant WHS legislation.   In your own words, discuss how these legal rights and responsibilities impact workplace or organisation’s policies and procedures, regulations, codes of practice, and industry standards.  Each discussion must be between 60 – 100 words in length. | |
|  | |
| Stakeholder | How do these legal rights and responsibilities impact workplace or organisation’s policies and procedures, regulations, codes of practice and industry standards? |
| PCBU |  |
| Workers |  |
| Officers |  |

|  |  |
| --- | --- |
| 1. Discuss how the current legislative requirements for record-keeping and reporting impact your organisation’s policies and procedures and regulations.   Each discussion must be between 60 – 100 words in length. | |
|  | |
| Legislative requirement | Impact on your organisation’s policies and procedures and regulations |
| Record-keeping |  |
| Reporting |  |

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| 1. In your own words, discuss how due diligence and general duty requirements impact your organisation’s policies and procedures and regulations.   Your discussion must be between 60 – 100 words in length. |
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| 1. Work health and safety legislation have in place regulatory requirements for all types of industry setting or work site, including the work settings in the community services industry.   In your own words, discuss how these WHS requirements impact the organisation’s policies, procedures, and regulations.  Your discussion must be between 60 – 100 words in length. |
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| 1. Work health and safety legislation have in place regulatory requirements for all organisations to conduct WHS consultation with stakeholders.   In your own words, discuss how these requirements impact the organisation’s policies, procedures, and regulations.  Your discussion must be between 60 – 100 words in length. |
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| --- | --- |
| 1. Work health and safety legislation have in place regulatory requirements for hazardous manual tasks and infection control.   In your own words, discuss how these legislative requirements impact the organisation’s policies, procedures, and regulations.  Each discussion must be between 60 – 100 words in length. | |
|  | |
| Hazardous manual tasks |  |
| Infection control |  |

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| 1. Identify three (3) hazards common in the community services work setting. List one (1) associated risk for each hazard you identify and provide one (1) strategy how to minimise this risk from happening.   Write your answers in the spaces provided.  *Guidance: Ensure that your responses are relevant to the community services industry.* |

|  |  |  |
| --- | --- | --- |
| Common hazards in working in the community services industry  *Guidance: List three (3).* | Associated risk  *Guidance: List only (1) for each hazard you identify.* | Strategy for minimising associated risk  *Guidance: List only (1) for each hazard you identify.* |
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| 1. Work health and safety legislation have in place specific requirements for organisations’ policies and procedures. Listed below are some of these requirements.   In your own words, discuss how each of these requirements apply to your organisation’s policies and procedures.  *Guidance: You may refer to the provisions in the WHS legislation relevant to your home state/territory.* | |
|  | |
| WHS Requirement | How this requirement apply in organisational policies and procedures |
| Human resources policies and procedures |  |
| Consultation and participation |  |
| Incident investigation and record-keeping |  |
| Quality system documentation |  |
| Designated person/s for raising issues |  |
| Workplace support services |  |
| Use of personal protective equipment (PPE) |  |
| Emergency procedures |  |
| Hazard identification |  |
| Risk assessment and control |  |

|  |  |
| --- | --- |
| 1. From the options below, select the three (3) statements that are accurate about the principles of risk assessment. | |
|  | |
|  | 1. Risk assessment is a complex process that only licensed specialists are authorised to conduct it. |
|  | 1. Risk assessment involves considering what could happen if someone is exposed to a hazard and the likelihood of it happening. |
|  | 1. Risk assessment is not required and is an optional third-party service that organisations may avail. |
|  | 1. Risk assessment helps determine the severity of a risk and whether any existing control measures are effective. |
|  | 1. Risk assessment determines what action should be taken to the control the risk and how urgently the action needs to be. |

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| 1. In your own words, discuss what risk analysis is and the principle underlying this process.   Your response must be between 60 – 100 words in length. |
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| 1. Hazard identification is an important process in hazard and risk management. Provide two (2) procedures that organisation’s would follow to identify hazards. |
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| 1. From the options below, select the three (3) statements that are accurate about the principles of hierarchy of control. | |
|  | |
|  | 1. Hierarchy of control follows a ranking system to control risk – from the highest level of protection and reliability to the lowest. |
|  | 1. The primary aim in the hierarchy of control is to eliminate the risk by removing the hazard. |
|  | 1. Risks are minimised by randomly selecting from the controls available. |
|  | 1. The primary aim in the hierarchy of control is to administer personal protective equipment (PPE). |
|  | 1. Risks are minimised by working through the other alternatives in the hierarchy of control, for example if the risk cannot be removed, then substitute/replace the hazard, etc. |

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| 1. Listed below are two (2) hazards common in working in community services and their associated risks.   Provide at least one (1) way how to minimise the associated risk based on the recommended control to be used.  The first response has already been provided for your reference. |

|  |  |  |  |
| --- | --- | --- | --- |
| Hazard | Associated risk | Recommended control | How to minimise the risk |
| Tripping hazard from electrical cords | Physical injury from slips and falls | Engineering control | *Sample answer: Cover electrical cords with cord cover.* |
| Distressed and angry client | Psychological and emotional stress on the case worker | Administrative control |  |

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| --- | --- |
| 1. From the list below, select the four (4) examples or sources for work health and safety benchmarks. | |
|  | |
|  | 1. Work health and safety legislation |
|  | 1. Codes of practice |
|  | 1. Work health and safety compliance codes |
|  | 1. Work health and safety standards set internally within the organisation |
|  | 1. Articles about work health and safety published online by dubious websites |

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| 1. Listed below are the five (5) principles or key elements of safe design outlined in the *Guidance on the Principles of Safe Design for Work.*   In your own words, discuss each principle. Each discussion must be between 60 – 100 words in length. | |
|  | |
| Principle | Discussion |
| Principle 1: Persons with control |  |
| Principle 2: Product lifecycle |  |
| Principle 3: Systematic risk management |  |
| Principle 4: Safe design knowledge and capability |  |
| Principle 5: Information transfer |  |

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| 1. When might a community services provider consider engaging a person to provide advice on WHS?   *Guidance: Identify at least two (2) examples.* |
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**Case Studies**

Instructions to Student

These case studies are hypothetical situations which will not require you to have access to a workplace, although, your past and present workplace experiences may help with the responses you provide. You will be expected to encounter similar situations to these in the future as you work in community services settings.

In real life, case managers will be required to participate and contribute to managing legal and ethical compliance in their respective organisations, as well as encounter problems and issues along the way. This assessment will allow you to demonstrate your problem solving abilities in such situations.

**Case Study 1 – Alex**

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| **SCENARIO**  https://photos-6.dropbox.com/t/2/AAChchzWv79Mx8j4e0v_geUF5X2RjSlQqAFDITkEy7vMyg/12/186348893/jpeg/32x32/3/1483023600/0/2/Broken%20Piggy%20Bank.JPG/ENm--LICGNUPIAIoAg/jVw055_-WNF3i3D2VVQh-3Gdz4x_SqPlkptOG5O5Ycs?size_mode=3&dl=0&size=800x600You are working as a volunteer in a government-funded community services organisation catering for homeless persons.  You are working with Alex who is also a volunteer. He has been assigned in an outreach service that assists clients to secure permanent housing. Since the community is far from the main office of the organisation, Alex often has to make out-of-pocket expenditures for activities involved in the community programs. Staff and volunteers are required, as per organisation’s policies and procedures, to report any reimbursements for expenses in behalf of the organisation. Reporting these expenses for reimbursements are done via an online portal every week.  One day, you overheard Alex speaking with a new volunteer about how he makes extra money from his work. Alex said that he would increase the values of the expenses incurred in his reports for reimbursements. He said that he has never been questioned because they submit digital copies of receipts as part of the reporting process. He also told the new volunteer that people he knew would assist him with dockets that he would report as his own. He further asked the new volunteer not to tell anyone about this. |

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| 1. Identify and explain two (2) legal and ethical responsibilities that were breached in the scenario. |
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| 1. Write an email to your supervisor and report about the scenario. In your email, provide the following information:    * details of the situation    * your assessment of the situation and explain why there is a need for specialist legal advice    * the risks, consequences, and possible penalties of Alex’s actions   *Guidance: There is no need to send an actual email. Write your email in the spaces provided below. Ensure to maintain privacy and confidentiality when writing your email.* | |
|  | |
| From |  |
| To | Adam Laurens <adam.l@servicesforhomelesspeople.org.au> |
| Subject |  |
|  | |

**Case Study 2 – Skylar**

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| **SCENARIO**  Skylar is a teenager referred to *Happy Backpacks*, a community services organisation catering to homeless juveniles. He ran away from home three years ago and he is now living in the streets. He stays in one area for at least a week and then moves to another. You learned from your referral networks that Skylar would often be involved in street fights, so he doesn’t stay long in one place. He has also been involved with other homeless adults who influenced him into drinking. You learned that his father was an alcoholic and would hit Skylar and his mum when he’s intoxicated.  You speak with Skylar one day during his assessment and you mentioned his father. Skylar’s face suddenly looked upset, he walks away from you and as he walk past other juveniles in the centre, he started verbally abusing them. Two male youth workers rushed to his side to stop him but he started throwing things across the room. He even hit one of the youth workers when they tried to restrain him.  The WHS policies and procedures in Happy Backpacks have been reviewed two years ago and it does not state what to do when clients show aggressive behaviour inside the centre as this rarely happens. |

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| 1. What are your legal responsibilities as a youth worker based from the scenario? Explain why you say so.   *Guidance: There are two (2) responses. Include any hazards involved in your responses.* |
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| 1. This task requires you to develop a WHS policies and procedures relevant to   Case Study 2: Skylar which must be communicated to the organisation.  In the template provided, write a policy that must be included in the staff handbook regarding the incident. Your policy must specifically cover the following:   1. Roles and responsibilities of different workers towards the aggressive behaviour of clients   *Guidance: Refer also to the legal responsibilities you have specified in Case Study 2, Question 1.*   1. Emergency procedures on instances when a client shows aggressive behaviour 2. Reporting and documentation procedures, including a policy in protecting client information   To guide you in drafting the policy, research on relevant legislation, practice standards, or source documentation (e.g. workplace handbooks, policies and procedures similar to this incident), and include any legal information in the template.  Specifically, your policy must contain the following:   1. Policy name 2. Version no. and creation date   *Guidance: For the purpose of this assessment, use the current date*   1. Purpose statement, including definition of terms where possible 2. Specific sections of the policy, as specified above 3. Procedures, including consequences if policy is breached   *Guidance: Include legal information to support the procedures you are developing.*   1. Review date |

|  |  |
| --- | --- |
| **Happy Backpacks** | |
| Policy: | |
| Policy Developer: | |
| Version no. | Date: |
| Purpose: | |
| Definition of Terms: | |
| Procedures:  *Guidance: Include legal information as necessary.* | |
| Next Review Date: | |

**Case Study 3 – Eliza**

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| **SCENARIO**  Community workers in *Happy Backpacks* are also sent to local communities to teach and disseminate information to teenage mothers about proper care for babies and young children. Most of these communities are in remote towns and people from these communities go distances when they need to access health services.  https://photos-4.dropbox.com/t/2/AAA65QzXKHvEO2Rkgr4Kl0cHMV3nIpmSkg4xeYP4EL2xfQ/12/186348893/jpeg/32x32/3/1483027200/0/2/1050236_s.jpg/ENm--LICGNUPIAIoAg/gBshm9EP1O2fUzFz9tGGJCIvBzQ8LWUam45xzVZSeS0?size_mode=3&dl=0&size=800x600One of the new case workers, Eliza, reports that two children in the community where her team have been assigned were diagnosed with chickenpox. Some other clients in that community catch illnesses but are unable see health specialists. The community where she works have also homeless animals around.  Eliza is still under training and the manager of Happy Backpacks suggests that new case workers be placed in communities requiring health service delivery. Before Eliza and her team can return to the community, they must undergo training regarding infectious diseases.  To address this, your supervisor has assigned you write a new policy for risk management for community workers in health service delivery in remote areas. |

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| 1. What are the hazards involved in this situation? List two (2). |
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| 1. What are the two (2) most recommended control measures that Eliza and her team must implement when they return to the community? Explain why. |
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| 1. This task requires you to develop a WHS policies and procedures relevant to   Case Study 3: Eliza which must be communicated to the organisation.  In the template provided, write a policy that must be included in the staff handbook relevant to risk management for community workers in health service delivery. Your policy must specifically cover the following:   1. Roles and responsibilities of different workers who are assigned in health services 2. Procedures for ongoing hazard identification and risk assessment 3. Risk controls and measures to be implemented   *Guidance: These must be specific with the scenario.*   1. Reporting and documentation procedures, including a policy in protecting client information   To guide you in drafting the policy, research on relevant and current legislation, practice standards, or source documentation (e.g. workplace handbooks, policies and procedures similar to this incident), and include any legal information in the template.  Specifically, your policy must contain the following:   1. Policy name 2. Version no. and creation date   *Guidance: For the purpose of this assessment, use the current date*   1. Purpose statement, including definition of terms where possible 2. Specific sections of the policy, as specified above 3. Procedures, including consequences if policy is breached   *Guidance: Include legal information to support the procedures you are developing.*   1. Review date |

|  |  |
| --- | --- |
| **Happy Backpacks** | |
| Policy: | |
| Policy Developer: | |
| Version no. | Date: |
| Purpose: | |
| Definition of Terms: | |
| Procedures:  *Guidance: Include legal information as necessary.* | |
| Next Review Date: | |

**Additional Case Study Activities**

Task 1 – Roleplay Activity: Communicating Policies and Procedures

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| This part of the assessment is a **Roleplay Activity.**  This activity will require you to communicate the policies and procedures you developed for Case Studies 2 and 3.  To complete this part of the assessment, you will need access to:   * Two (2) volunteers who will roleplay as your co-workers in Happy Backpacks. * Video camera or a mobile phone with video and audio recording capabilities.   ***Read the instructions carefully before proceeding.***  **Steps to take:**   1. Gather your volunteers and roleplay the meeting where you will communicate the policies and procedures you developed in *Case Study 2 – Skylar* and *Case Study 3 – Eliza.* 2. In the meeting, you must be able to:  * Communicate and clearly explain the policies and procedures you developed in *Case Study 2 – Skylar* and *Case Study 3 – Eliza* to your ‘co-workers’. * Encourage your ‘co-workers’ to provide feedback. Specifically, your ‘co-workers’ must participate in the discussion about the outcome of risk assessment and the risk controls and measures developed.   *Guidance: Refer to your responses in the questions following both n Case Study 2 – Skylar and Case Study 3 – Eliza. Ensure that the volunteers provide feedback regarding work health and safety issues.*   * Nominate the roles and responsibilities to workers as written in the policies you developed (e.g. what are their roles and responsibilities in the policies and procedures?) * Discuss and demonstrate the emergency procedures you developed from Case Study 2: Skylar. * Demonstrate the use of personal protective equipment (PPE) as part of the policies and procedures developed. * Share updated knowledge and legal information in relation to the policies developed. |
| **Guidelines**   1. To demonstrate your completion of this activity, the meeting must be recorded. Save the recorded video using the filename:   **[Last Name, First Name]\_Subject 1 – Roleplay Activity**  For example, as seen below:  Image result for video icon in windows  Smith, John\_Subject 1 – Roleplay Activity.avi   1. Your video submission must not be longer than fifteen (15) minutes in length. Any submission longer than fifteen (15) minutes will be considered not satisfactory. 2. There is no specific script to be followed in the roleplay activity. However, you must be able to demonstrate all steps outlined above. Moreover, your submission will be assessed against the checklist provided below. |

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| **Task 1 – Role Play Activity: Communicate Policies and Procedures**  **Assessor’s Checklist**  *(For the assessor’s use only)* | | | |
|  | | | |
| Has the following been demonstrated in candidate’s video submission? | Yes | No | Comment |
| 1. Both policies and procedures were clearly explained to the workers. |  |  |  |
| 1. Workers were able to provide feedback and advice on health and safety issues during the discussion. |  |  |  |
| 1. Roles and responsibilities of workers were identified in relation to each policy discussed. |  |  |  |
| 1. Updated legal knowledge and information were included in the discussion. |  |  |  |
| 1. Use of PPE was demonstrated (must include gloves, mask and gown/apron). |  |  |  |
| 1. Demonstrated and discussed the emergency procedures when addressing aggressive behaviour in clients. |  |  |  |

Task 2 – Distributing Policies and Procedures

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| This task will require you to document and distribute the policies and procedures you developed in an electronic and printed format.  This task is divided into two (2) parts:   1. Distributing policies and procedures in electronic format 2. Distributing policies and procedures in printed format   To complete this part of the assessment, you will need access to:   * At least five (5) people with email accounts. You will be sending your policies and procedures to them. * Two (2) people, may be two (2) from the five (5) people above. You will be providing them with printed copies of your policies and procedures. Both must be able to sign the printed copies as acknowledgement of receipt. * Camera or a mobile phone with camera * Printer |

|  |  |  |
| --- | --- | --- |
| 1. Distribute the policies and procedures in electronic format   Create a final copy of the policies and procedures from Case Studies 2 and 3, incorporating any suggestions that were raised during the consultation process. These must be saved using readily accessible formats. The first format must be a memo, in either Word document or PDF format.  Use the filenames:  **[Last Name, First Name]\_Subject 1 – Policy 1**  **[Last Name, First Name]\_Subject 1 – Policy 2**  For example, as seen below:   |  |  | | --- | --- | | Image result for word png  Smith, John\_Subject 1 – Policy 1.docx | Image result for pdf icon png  Smith, John\_Subject 1 – Policy 2.pdf |   Send an email to at least five (5) persons with these policies and procedures attached.   1. Post screenshots of the following in the spaces provided below: 2. The email, including the email addresses of recipients, header, and attached policies. 3. At least two (2) acknowledgement emails from your respondents. |

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| 1. Attach a screenshot showing your email to your five (5) recipients. |
|  |

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| 1. Attach screenshots showing the acknowledgement emails you received.   *Guidance: You must attach at least two (2) screenshots.* |
| Acknowledgement email from recipient 1 |
| Acknowledgement email from recipient 2 |

|  |  |
| --- | --- |
| 1. Distribute the policies and procedures in printed format   The second format of the final copy of the policies and procedures must be printouts.  Have each policy document signed by at least two (2) persons.  Take photos of the signed documents and submit the copy to your assessor. It is recommended that you compile the photos in a .zip folder.  Use the filename:  **[Last Name, First Name]\_Subject 1 – Printed Policies**  For example, as seen below:   |  | | --- | | Image result for zip icon png  Smith, John\_Subject 1 – Printed Policies.zip |   Note that your assessor may need to verify the authenticity of the signees in your submissions. |

**Workbook Checklist**

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| When you have completed assessing the assessment workbook, review the candidate’s submission against the checklist below:  **The candidate has completed all the assessments in the workbook and has submitted all of the required evidence:**  **Knowledge Assessment**  **Case Studies**  **Case Study 1 – Alex**  **Case Study 2 – Skylar**  **Case Study 3 – Eliza**  **Additional Case Study Activities**  **Task 1 - Roleplay Activity: Communicating Policies and Procedures**  Video recording of roleplay activity  **Task 2 – Distributing Policies and Procedures**  Word document/PDF version of policies and procedures  Photos of printed policies and procedures contained in a .zip file.  **IMPORTANT REMINDER**  **Candidates must achieve a satisfactory result to ALL assessment tasks to be awarded COMPETENT for the units relevant to this cluster.**  To award the candidate competent in the units relevant to this subject, the candidate must successfully complete all the requirements listed above according to the prescribed benchmarks. |

**Feedback**

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