



CATAPULT

SITXGLC002

Identify and manage legal risks and comply with law

Unit/Assessment Mapping (Extract)

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This Unit/Assessment Mapping extract is taken from Catapult Smallprint's full hardcopy Trainer/Assessor Guide for the unit SITXGLC002.

For more information, including using our enhanced online version of this unit in Catapult LMS, or to purchase the Learner or Trainer printed books, please see this unit on our website by clicking this link:

<https://catapultlearning.com.au/product/SITXGLC002/>

Unit mapping

KQ: Knowledge questions

P: Project

PA: Practical assessment

KQ

P

PA

Elements and performance criteria

E 1 Identify legal risks and compliance needs

PC 1.1	Evaluate areas of business operation for which legal risk management and compliance is required	Q 1.1 Q 1.2 Q 1.3	P 1	PA
PC 1.2	Identify legal risks and compliance requirements that arise in business operations	Q 1.4	P 1	PA

E 2 Research information required for legal compliance

PC 2.1	Identify sources of information for compliance with laws and licensing for business operations	Q 2.1 Q 2.2 Q 2.3	P 1	PA
PC 2.2	Access regulatory and other legal information relevant to specific business operation	Q 2.4 Q 2.5	P 1	PA
PC 2.3	Identify risks, penalties and consequences of non-compliance	Q 2.6 Q 2.7	P 1	PA
PC 2.4	Assess and act on need for specialist legal advice	Q 2.8 Q 2.9	P 1	PA

E 3 Consider legal risk management strategies and actions for legal compliance

PC 3.1	Articulate legal risk management strategies and actions necessary to comply with laws	Q 3.1	P 1	PA
PC 3.2	Develop practices for updating personnel to ensure they have current knowledge of roles and responsibilities for legal risk management and compliance	Q 3.2	P 1	PA

KQ: Knowledge questions

P: Project

PA: Practical assessment

KQ

P

PA

Elements and performance criteria

E 4 Ensure management of legal risks and compliance with legal requirements

PC 4.1	Maintain business and occupational licences and check contractor contracts and conduct to avoid risk to business	Q 4.1 Q 4.2 Q 4.3 Q 4.4	P 1	PA
PC 4.2	Continuously evaluate business operations for non-compliance and implement modifications	Q 4.5 Q 4.6 Q 4.7	P 1	PA

E 5 Maintain personal and organisational knowledge of legal risk management strategies and compliance requirements

PC 5.1	Identify and use opportunities to maintain knowledge of current legal risk management strategies and legal compliance requirements	Q 5.1	P 1	PA
PC 5.2	Use organisational communication methods to share updated regulatory knowledge	Q 5.2	P 1	PA

KQ: Knowledge questions**P: Project****KQ****P****PA****PA: Practical assessment****Knowledge evidence**

KE 1	Legal advantages and disadvantages, risks and benefits of different business operation structures: <ul style="list-style-type: none"> ▪ sole trader ▪ partnership ▪ company 	Q 6.1	
KE 2	Sources of information and advice on legal risk management and compliance: <ul style="list-style-type: none"> ▪ local, state, territory or Commonwealth government departments or regulatory agencies ▪ plain English documentation that explains the operational requirements of legislation ▪ computer data ▪ the internet ▪ discussions with experienced industry personnel ▪ industry: <ul style="list-style-type: none"> – accreditation operators – associations and organisations – developers of codes of conduct or ethics – journals – seminars ▪ lawyers ▪ libraries ▪ personal observations and experience ▪ reference books ▪ training courses 	Q 1.4 Q 2.4 Q 2.5 Q 2.8 Q 2.9	P 1
KE 3	Functions of regulatory authorities relevant to the tourism, travel, hospitality and events industries	Q 2.1 Q 2.2 Q 2.3	P 1
KE 4	Methods of receiving updated information on managing legal risks and compliance requirements	Q 3.2 Q 5.1	P 1
KE 5	Strategies for managing legal risks and legal compliance	Q 2.6 Q 2.7 Q 2.8 Q 2.9 Q 3.2	P 1

KQ: Knowledge questions				
P: Project		KQ	P	PA
PA: Practical assessment				
KE 6	<p>Primary components of legal principles and of local, state, territory and Commonwealth government laws to which all types of businesses must comply:</p> <ul style="list-style-type: none"> ▪ anti-discrimination, including provisions for equal employment opportunity (EEO) and harassment ▪ anti-trust laws ("restrictive trade practices"), including the prohibitions on anti-cartel, resale price maintenance and third line forcing ▪ Australian Consumer Law (ACL), including provisions for refunds, exchanges and cancellations, terms and conditions of quotations and consumer contracts ▪ contract formation and content ▪ copyright law ▪ duty of care and negligence ▪ e-commerce and social media ▪ employer superannuation contributions ▪ Fair Work Act 2009, including provisions for National Employment Standards (NES) ▪ insurance, including public liability and professional indemnity insurance ▪ privacy law ▪ trade mark law ▪ work health and safety ▪ workers' compensation, including provisions for injury reporting and occupational rehabilitation 	<p>Q 2.1 Q 2.2 Q 2.3 Q 2.4 Q 2.5 Q 4.1 Q 4.2 Q 4.3 Q 4.4</p>	P 1	
KE 7	<p>Laws, codes, standards and licensing requirements that impact on specific operators in the tourism, travel, hospitality and event industries and are applicable to the individual's context:</p> <ul style="list-style-type: none"> ▪ Criminal Code Act 1995 as it relates to child sex offences outside Australia ▪ European Economic Directive of Foreign Travel ▪ food safety ▪ Food Standards Australia New Zealand Act 1991 ▪ liquor licensing, including responsible service of alcohol ▪ Queensland Tourism Services Act 2003 ▪ Residential Tenancy Act ▪ responsible conduct of gaming regulation 	<p>Q 2.1 Q 2.2 Q 2.3 Q 2.4 Q 2.5 Q 4.1 Q 4.2 Q 4.3 Q 4.4</p>	P 1	

KQ: Knowledge questions**P: Project****KQ****P****PA****PA: Practical assessment**

KE 8	For each relevant law, code, standard and licensing requirement listed above: <ul style="list-style-type: none"> objectives and primary components key practices and legal risks that need to be managed key actions needed to manage the legal risks and comply with the law main consequences of failure to manage the legal risks or non-compliance with the law requirements for record keeping and acceptable record keeping mechanisms 	Q 1.1 Q 1.2 Q 1.3 Q 2.1 Q 2.2 Q 2.3 Q 2.6 Q 2.7 Q 2.8 Q 2.9 Q 4.1 Q 4.2 Q 4.3 Q 4.4	P 1	
KE 9	Opportunities to maintain knowledge of legal risks and legal risk management and compliance requirements: <ul style="list-style-type: none"> participating in industry seminars membership of professional industry associations participating in training courses 	Q 5.1	P 1	

Performance evidence

PE 1	Identify six different legal risks requiring risk management and legal compliance for the operations of a specific tourism, travel, hospitality or events business		P 1	PA
PE 1	Develop risk management strategies and legal compliance actions for each of the six legal areas above			PA
PE 3	Integrate the risk management strategies and legal compliance actions into operational planning activities for each of the six legal areas above			PA
PE 4	Identify sources of information and advice on risk management and legal compliance for each of the six legal areas above		P 1	PA

Trainer/assessor instructions and requirements

These training and assessment materials are a commercially produced resource designed to underpin training and assessment delivery strategies.

Catapult Smallprint resources

Catapult Smallprint resources are current, according to information provided by the official National Register of Information on Training Packages, training.gov.au (TGA).

Catapult Smallprint offer:

- a learning resource—theory component
- an assessment workbook—a suite of assessment tools

The assessment tools are mapped against:

- elements and performance criteria
- performance evidence
- knowledge evidence

Information for Registered Training Organisation only

RTOs must conduct their own validation and mapping to verify that the assessment tools and instruments used:

- enable the collection of evidence that complies with the Principles of Assessment and the Rules of Evidence
- can be used by different trainer/assessors to achieve consistent results
- can be applied in a range of assessment situations
- align with the RTO's Training and Assessment Strategy (TAS)

If any gaps are identified the RTO must develop their own evidence gathering methods, assessment tools or activities.

If used correctly the assessment tools should provide a comprehensive assessment.

Catapult Smallprint do not promote that the use of their resources will ensure compliance with all VET Regulations. It is the responsibility of the RTO to meet those requirements and develop their own Training and Assessment Strategy (TAS).

Learning resource

The learning content is divided into topics which address the learning elements and performance criteria for each unit.

At the end of each topic the learner is provided with:

- a set of true or false questions
- a set of multiple choice questions

These questions are self-marking and do not form part of the assessment. They provide an opportunity for learners to test their understanding of the topics.

The learning resource is designed for self-paced learning but is also suitable for face to face or workshop delivery.

The trainer/assessor should provide supplementary information including interpretation of the contents of this resource. They should initiate discussion about the subject matter and encourage learners to contribute their own experiences and their interpretations of the material.

Learners should be encouraged to undertake additional research.

This might include:

- reading
- reflection
- drawing on their own knowledge and experience

It is not necessary to work through the resource in the order in which it is written. This is at the discretion of the trainer/assessor.

Assessment workbook

The trainer/assessor must explain to learners:

- what competency-based training is
- how competency-based assessment works and how they will be assessed
- what constitutes competency
- the assessment conditions applicable to this unit
- the resources required for assessment
- the Rules of Evidence
- the training organisation's complaints and appeals procedures
- the role of the trainer/assessor
- how the skills recognition (RPL) checklist can be used
- when the completion record will be signed

The tools that can be used to assess learners' competencies include the:

- knowledge questions
 - project
 - practical assessment
-

Assessment agreement

The trainer/assessor must explain:

- how and when assessment will occur
- the tools and instruments that will be used to collect evidence
- the assessment conditions that apply to this unit
- how adjustments can be made for special needs
- the learner's rights if they want to dispute an assessment result
- that all work submitted by the learner must be their own
- that plagiarism is not acceptable
- why the assessment agreement must be signed

The learner and the trainer/assessor need to sign the assessment agreement.

Foundation skills checklist

The trainer/assessor should identify the foundation skills levels of learners to determine whether additional support needs to be provided.

The foundation skills checklist in this resource is a general listing of the base foundation skills that are required to successfully complete any unit of competency

Foundation skills are:

- LLN Skills
 - reading
 - writing
 - oral communication
 - numeracy
- Employability skills
 - navigating the world of work
 - interacting with others
 - getting the work done

Training packages identify foundation skill requirements in a variety of ways:

- in some packages foundation skills are explicit in the performance criteria of the unit of competency
- in others specific foundation skills are identified for individual units of competency
- in others all foundation skills are identified separately

The trainer/assessor should source and use foundation skills assessment methodologies that suit the learner cohort.

Skills recognition

The trainer/assessor needs to determine how they wish to use this section.

Evidence of existing skills can be provided for all or parts of the unit. This could mean that some of the knowledge questions or practical tasks do not need to be completed.

Evidence of existing skills and knowledge can be obtained by sighting, for example:

- previous training results or qualifications
- workplace documents
- testimonials of skills obtained through unpaid work
- references from employers

Trainer/assessors must discuss the evidence requirements with the learner.

Any evidence submitted must comply with the Principles of Assessment and Rules of Evidence.

On completion of an RPL assessment the trainer/assessor should record their comments and mark the applicant's submission as Satisfactory/Not Satisfactory.

Knowledge questions

The knowledge questions address the learner's understanding of the information covered in:

- the elements and performance criteria for this unit
- the knowledge evidence for this unit

The questions address each performance criteria and are designed to elicit evidence of underpinning knowledge.

Where essential knowledge requirements have not been referred to in performance criteria, additional questions are provided.

The trainer/assessor will determine which questions need to be answered to ensure a satisfactory outcome.

The trainer/assessor must provide clear instructions to the learner regarding:

- the manner in which responses should be presented, for example: hand written in the space provided, in a word-processed document, verbally, on-line
- whether additional questions need to be answered

If verbal responses are provided the trainer/assessor must document the learner's responses verbatim.

When questions are answered the trainer/assessor should provide feedback to the learner. If responses are unsatisfactory the learner should be given the opportunity to provide additional information or to re-submit.

Answers should be marked as Satisfactory/Not Satisfactory.

Project

Projects are an assessment tool that can address either practical or knowledge-based skills. Learners might be asked to complete the project in addition to the other assessment activities. In some instances, it can be used as an alternative to the knowledge questions or the practical assessment tasks.

The assessor will decide how the project will be used and must advise learners about whether they need to complete it.

Practical assessment

Trainer/assessors must inform learners of:

- the assessment conditions
- the required performance standards
- how, when and where assessment will take place
- any assistance they will receive
- the resources that will be supplied
- how their performance will be recorded
- what to do if they disagree with the assessment results

The practical assessment requires that learners demonstrate the skills they have developed as a result of their training. They must perform the nominated skills and their performance must be observed by the assessor or a suitably qualified and experienced third party. The third party cannot conduct the assessment but can provide supplementary evidence for the assessor to use. Assessor comments must be recorded, and performance results marked as Satisfactory, or Not Satisfactory as they will contribute to the final judgment of competence.

Practical assessments might be conducted in a workplace, as simulations, or as a series of relevant role plays. If assessment cannot be conducted in a workplace the assessor must ensure that the simulations and role plays replicate a workplace as nearly as possible. The assessor is responsible for ensuring that learners have access to the resources needed to complete the assessment.

Completion record

The results of each form of assessment, plus any extra requirements nominated by the assessor, should be recorded in the assessment workbook.

The trainer/assessor must ensure that the:

- assessment conditions for this unit were met
- learner answered the knowledge questions at the required standard for the unit level
- learner performed all the practical tasks to the required standard for the unit level
- learner was provided with detailed feedback
- any additional assessment requirements were completed

The completion record should be signed by the learner and trainer/assessor.
