**LEARNER**

**SUMMATIVE ASSESSMENT GUIDE**

**& PoE**

**Apply the organisation's code of conduct in a work environment**

Unit Standard 242815

Level 4 Credits 5

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## Contact Details

|  |
| --- |
| **Assessor Details** |
| Name |  |
| SETA |  | Registration No: |  |
| Contact Details | e mail: |  |
| Phone: |  | Fax: |  |
| **Moderator Details** |
| Name |  |
| SETA |  |
| Contact Details | e mail: |  | Registration No: |  |
| Phone: |  | Fax: |  |
| **Candidate Details** |
| Surname |  | Name |  |
| Employer |  | ID No |  |
| Branch |  |
| Contact Details | e mail: |  |
| Phone: |  | Fax: |  |

## Competence

Congratulations on completing this programme. We sincerely hope you enjoyed the programme and that the learning experience was enriching.

The fact that you have attended training, however, is not sufficient evidence of your competence for the Training Provider to issue a certificate of competence and award the credits attached to this programme. You are required to undergo assessment in order to prove your competence to achieve credits leading to a national qualification.

#### Being Declared Competent Entails:

Competence is the ability to perform complete work roles, to the standards expected in employment, in a real working environment.

There are three levels of competence:

* Foundational competence: an understanding of what you do and why.
* Practical competence: the ability to perform a set of tasks in an authentic context.
* Reflexive competence: the ability to adapt to changed circumstances appropriately and responsibly, and to explain the reason behind the action.

To receive a certificate of competence and be awarded credits, you are required to provide evidence of your competence by compiling a portfolio of evidence, which will be assessed by an assessor, registered with the appropriate SETA.

#### You Have To Submit A Portfolio Of Evidence

A portfolio of evidence is a structured collection of evidence that reflects your efforts, progress and achievement in a specific learning area, and demonstrates your competence.

#### The Assessment Of Your Competence

Assessment of competence is a process of making judgments about an individual's competence through matching evidence collected to the appropriate national standards. The evidence in your portfolio must reflect the outcomes and assessment criteria of the unit standards of the learning programme for which you are being assessed.

To determine a candidate’s knowledge and ability to apply the skills before and during the learning programme, formative assessments are done to determine the learner’s progress towards full competence. This normally guides the learner towards a successful summative (final) assessment to which both the assessor and the candidate only agree when they both feel the candidate is ready.

Should it happen that a candidate is deemed not yet competent upon a summative assessment, that candidate will be allowed to be re-assessed. The candidate can, however, only be allowed two reassessments.

When learners have to undergo re-assessment, the following conditions will apply:

* Specific feedback will be given so that candidates can concentrate on only those areas in which they were assessed as not yet competent.
* Re-assessment will take place in the same situation or context and under the same conditions as the original assessment.
* Only the specific outcomes that were not achieved will be re-assessed.
* Candidates who are repeatedly unsuccessful will be given guidance on other possible and more suitable learning avenues.

In order for your assessor to assess your competence, your portfolio should provide evidence of both your knowledge and skills, and of how you applied your knowledge and skills in a variety of contexts.

This Candidate’s Assessment Portfolio directs you in the activities that need to be completed so that your competence can be assessed and so that you can be awarded the credits attached to the programme.

## Appeals & Disputes

The candidate has the right to appeal against assessment decision or practice they regard as unfair. An Appeals and Disputes procedure is in place and communicated to all assessment candidates in order for them to appeal on the basis of:

* Unfair assessment
* Invalid assessment
* Unreliable assessment
* Unethical practices
* Inadequate expertise and experience of the assessor

Appeals have to be lodged in writing (Candidate Appeal Form) & submitted to the Training Provider internal moderator within 48 hours following the assessment in question. The moderator will consider the appeal & make a decision regarding the granting of a re-assessment. The learner will be informed about the appeal-outcome within 3 days of lodging the appeal. Should the learner not be satisfied with the internal appeal outcome, the learner will be advised of the rights to refer the matter to the relevant ETQA.

## Assessment Process Flow

**CANDIDATE**

Assessment Plan agreed by candidate & completed by the assessors before the actual assessment

Assessment Activities conducted as per the Assessment Plan

Assessment Guide submitted to Training Provider as per Assessment Plan

Detailed Assessor Report compiled & forwarded for Moderation

**ASSESSMENT**

**SETA**

Completed Assessor report/Moderator report/Record of Learning forwarded to SETA

Approval and Certification obtained from SETA

SETA to register on National Learner Database

Assessment Results Moderated

Feedback Report Completed by Assessor & individual feedback given to candidate

Appeal form completed by the candidate in event of dispute

Record of Learning Updated

Action Plan completed by Assessor

All records & evidence filed

Certificate of Competencies issued to successful candidates

# PORTFOLIO OF EVIDENCE

## Portfolio Building

Your Portfolio of Evidence (PoE) contains the evidence needed to declare you competent and to award credits towards the award of this qualification to you. Evidence should be authentic and reflect both your knowledge of the subject and your ability to apply this knowledge in the workplace. Thus, evidence day to day activities supporting the specific outcomes addressed by this learning programme should complement the theoretical learning you attended and were assessed on.

There are FIVE key steps in creating a portfolio that will reflect your competence.

### Plan Your Portfolio

Plan and document the sequence, graphics and layout of your portfolio. This will assist you in following a logical sequence, which makes the Portfolio also much more user friendly and understandable for the assessor. It will also reflect your professional approach and attitude towards the subject matter, your work and your life. Impact and appearance always contribute to or affect your chances of being taken seriously and declared competent!

### Gather The Evidence

An evidence checklist has been provided (Section 4) to tell you what evidence needs to be gathered for assessment purposes. However, there are four broad categories of evidence that you should include:

* Knowledge evidence (your knowledge questionnaire)
* Direct performance evidence (actual samples of your work or records of activities captured on audio or video tape)
* Indirect performance evidence (documentary records of your performance e.g. appraisals, photographs, testimonials, self-assessments, customer ratings etc.)
* Supplementary evidence (to confirm the authenticity of your evidence)

###  Evaluate Your Evidence

Once you have collected your evidence, evaluate each piece by ensuring that it is:

* Valid (relevant to the unit standard/s being assessed)
* Authentic (clearly your own work)
* Current (not more than 2 years old)
* Sufficient (adequate to prove your competence against all of the assessment criteria and range statements in the unit standard/s)

### Cross-Reference Your Evidence To The Unit Standards

Evidence for assessment against unit standards must be linked to the outcomes of the unit standard in question. An evidence locator grid is useful for this.

### Organise Your Information

How you structure your portfolio is critical. Your design and layout must look professional and clearly articulate your achievements, and it should make sense to someone seeing it for the first time. Use the following structure as a guide:

1. A title page indicating:
* The title of the programme
* The unit standard titles to which the programme is aligned
* The assessment centre (The training provider)
* Your name, position and organisation
* Your contact details
* The name of your assessor
* The name of your moderator
* The date
1. An index
2. Background information
* Curriculum Vitae
* Organisation profile
* Job profile
* Organisation/department structure
1. A copy of the unit standard/s
2. Your assessment plan
3. Your completed Knowledge Questionnaire
4. An evidence locator grid
5. The evidence itself
6. Supporting evidence e.g. witness testimonies, reflections and witness status list
7. Assessment records

## Learner Documents

### Learner Curriculum Vitae

Please file your CV behind this page. Please remember to include a copy of your Identity Document (ID).

### Attendance Registers

File your attendance registers behind this page.

# ASSESSMENT STRATEGY

These assessment exercises will cover the specific outcomes for the unit standard. The purpose of the assessment process is to gather enough evidence to prove that the specific outcome was achieved.

Competency will be assessed through various summative and workplace assignments recorded in POE. Assessment evidence should be sufficient to prove that the candidate is capable in all required tasks set by the unit standards and a competency judgement will be made regarding the exit level outcome. Principles of fairness, validity, practicability, reliability and consistency will be adhered to throughout.

|  |  |  |  |
| --- | --- | --- | --- |
| **Unit Standard Title** | Apply the organisation’s code of conduct in a work environment | **Unit Std No** | 242815 |
| **Level** | Level 4 | **Credits**  | 5 |
| **Purpose of Assessment**  | The purpose of this assessment is to achieve the first step into applying the acquired skills and knowledge in the workplace. |
| **Assessment Procedures** | * An integrated assessment approach will be followed to allow for practical and theoretical components. This entails the assessment of a number of unit standards, outcomes and criteria together in one assessment activity.
* Candidates are not only assessed against specific outcomes, but also on critical outcomes, attitudes and values.
* A summative competence judgment will be made on the basis of all assessment evidence produced, that proves that the candidate can be consistently judged as competent against the outcomes of the unit standards and the qualification as a whole.
* Candidates take responsibility for their own assessment and should notify the assessor when they are ready for assessment.
* Candidates will receive feedback after the summative assessment, which will be discussed after all assessments have been completed.
* All assessments will be reviewed to ensure that assessment practices are valid, fair, transparent, consistent and current.
* An Internal/External moderator will moderate assessment practices.
* The SETA will also conduct external moderation.
 |
| **Context of Assessment** | **Assessment Method** | **Assessment Conditions** | **Who will conduct assessment** | **Assessment results and feedback** |
| QuestionnaireWorkplace assignment | Input based assessments | Assessor | Immediate |

## Assessment Preparation

### Preparing The Candidate

|  |  |  |  |
| --- | --- | --- | --- |
| **Name of Candidate** |  | **Date** |  |
| **Time** |  |
| **Name of Assessor** |  | **Venue** |  |
| **How to prepare the candidate** | **Document Requirements** | **Agree (tick)** | **Action Required** |
| Explain to the candidate why your are meeting and the purpose of the assessment. | NQF Framework Assessment process |  |  |
| Discuss the assessment plan in detail. | Assessment strategy |  |  |
| Explain assessment process, show assessment instruments to candidate and describe assessment conditions. | Assessment instruments |  |  |
| Identify the role-players during assessment. | AssessorsModerator |  |  |
| Describe the evidence required to be declared competent. | Examples of evidence |  |  |
| Explain how evidence will be judged. |  |  |  |
| Explain to the candidate how to prepare: Give candidate summative task description. | Summative task description |  |  |
| Confirm with the candidate what he/she should bring to the assessment. | Detailed briefing on exact requirements to be given to candidate |  |  |
| Ensure that candidate understands the procedures of all assessment practices. | Appeals procedureModeration procedureAssessment policy |  |  |
| Ask the candidate if he/she foresees any problems or identify any special needs. | List needs |  |  |
| Check with candidate that he/she clearly understands the assessment procedure. |  |  |  |
| Comments or questions: |
|  |
|  |
|  |

### Assessor’s Declaration:

I hereby declare that I have prepared the candidate for assessment, the candidate was consulted and all stakeholders have been informed and the workplace is prepared to ensure valid and fair assessment.

|  |  |
| --- | --- |
| Assessor Name | Signature |
|  |  |

## Agreed Assessment Plan

|  |  |
| --- | --- |
| **Candidate's Name:**  |  |
| **Assessor's Name:** |  |
| **Unit Standard Title:**  | Apply the organisation’s code of conduct in a work environment |
| **Special Assessment Requirements** |  |
| **Event** | **Date, time and location** | **Resources required** | **Evidence to be generated** |
| **Attend Training.** |  | Training material, Facilitator | Attendance Register |
| **Complete assessments.** |  | Assessments | Completed documentation |
| **Complete Portfolio of Evidence.** |  | Portfolio of Evidence guide | Completed Portfolio of Evidence |
| **Submit Portfolio of Evidence to Training Provider** |  |  | Acknowledgement of receipt from Training Provider  |
| **Assessor roles and responsibility** |
| **Roles** | * Assessor
* Guide
* Feedback Agent
* Reviewer
 |
| **Responsibilities** | * Consult candidate re assessment, assessment process and plan.
* Agree assessment process and plan with candidate.
* Forward documentation to candidate: plan, guide and assessment instruments.
* Assess candidate with the use of different instruments.
* Provide feedback on assessment findings.
* Support candidate through assessment process.
* Source feedback from candidate on assessment process.
* Review assessment process and outcome.
* Use assessment process as opportunity to transform assessment activities and outcomes.
 |

|  |
| --- |
| **Candidate roles and responsibility** |
| **Roles** | * Candidate
* Feedback agent
* Reviewer
 |
| **Responsibilities** | * Be available for assessment.
* Be actively involved in the consultative process.
* Learn from the assessment process.
* Provide feedback to the assessor in terms of the assessment as learning activity.
* Provide feedback to the assessor on the efficacy of the assessment process.
* Review own role and assessor role in the assessment process.
 |
| **Assessment Instruments** | * Portfolio of evidence
* Workplace assignment
* Questioning
 |
| **Assessment Process** |
| **Step** | Date |
| * Evaluation of POE addressing outcomes, criteria, Essential Embedded and CCFO Knowledge in unit standards.
* Evaluation of Research Projects and other evidence addressing specific unit standards.
* Consultation: assessment plan and assessment activities and instruments. Pre-assessment moderation and interviews conducted at this stage.
* Feedback: to candidate regarding sufficiency of evidence and possible interview to gain supplementary evidence.
* Feedback to candidate regarding assessment findings as well as review process.
 |  |
| **Feedback** | Written feedback to be given to all stakeholders at the end of the assessment process, as well as verbal feedback to the candidate during assessment activities. |
| **Recording Process** | Process and findings to be recorded and submitted for record keeping purposes as well as moderation and verification. |
| **Review Process** | The review process is the responsibility of the assessor and the candidate. Joint reviewing will take place after feedback has been given to the candidate. |
| **Right to appeal** | The candidate must be advised of the right to appeal. |
| **Accessibility and safety of environment** | **Step** | **Date** |
| * Site inspection conducted.
* Pre-assessment moderation conducted.
 |  |
| **Resources Required** | * Assignments
* PoE
* Assessments
 |
| I confirm that:* I have been consulted on and have agreed to the training and assessment process as detailed in the assessment guide.
* I have been advised of my right to appeal against any assessment that is unfair, unreliable, invalid or impracticable.
* I have read and understood the appeal procedure.
* I know that assessments may be moderated or verified by an external party.
* The purpose of the assessment has been clearly explained to me.
* The criteria have been discussed with me, and I know I will be assessed against these criteria.
* I know when and where I will be assessed, and I was given fair notice.
* I know how the assessment will be done, and any other requirements related to the assessment.

Signed: Date:  |
| **Overall Assessment Decision** | **Competent** | **Not yet competent** |
| **Candidate’s Signature** |  | **Date** |  |
| **Assessor’s** **Signature** |  | **Date** |  |
| **Moderator’s Signature** |  | **Date** |  |

# UNIT STANDARD

#### Unit Standard Title

Apply the organisation’s code of conduct in a work environment

#### Unit Standard ID

242815

#### NQF Level

4

#### Credits

5

#### Unit Standard Range

The applied competence expressed in this standard covers the knowledge and understanding of preventing and managing a crime situation, which is necessary for learners who work in the broader South African economy.

The range includes innovative responses to unfamiliar and unpredictable problems, using basic analytical interpretation of information.

The level assigned to this Unit Standard is appropriate because a fairly narrow range of knowledge and cognitive skills is applied.

#### Specific Outcomes and Assessment Criteria:

**Specific outcome 1:** Explain the concept of ethics in relation to the “moral compass”.

**Assessment criteria**

* The components of the “moral compass” are described according to theory & practice.
* The team leader identifies team member’s position on the “moral compass” according to observed behaviour.
* The relationship between ethics & the constitution is explained according to group & individual rights & responsibilities.

**Specific outcome 2:** Describe the role of a code of conduct in a work environment according to ethical principles.

**Assessment criteria**

* Code of conduct is explained, with reference to organisational documentation.
* The code of conduct is compared to the principles in the Constitution & the “moral compass” within the context of the organization.

**Specific outcome 3:** Uphold the code of conduct within the work team.

**Assessment criteria**

* Potential conflict between a personal value system & an organisational code of conduct is identified, with examples.
* The consequences of non-compliance with a code of conduct are explained, with examples.
* Aspects of the code of conduct are applied according to standard operating procedure.
* Examples of deviations, past or present, from the code of conduct, are identified & remedial action, if appropriate, is taken according to standard operating procedure.
* The importance of reporting deviations in areas beyond team leader’s area of responsibility is explained according to the code of conduct.

#### Critical Cross-Field Outcomes

* Learners are capable of identifying and solving problems using critical and creative thinking in upholding the code of conduct
* Learners are capable of working effectively with others as a member of a team, group, organisation or community, by upholding the code of conduct
* Learners are capable of communicating effectively, in explaining and describing the concept of ethics and the application of a code of conduct
* Learners are capable of demonstrating an understanding of the world as a set of related systems, by explaining the consequences of non-compliance

## Formative Assessments

During your training, you were required to complete a number of activities within each Lesson in your Learner Study Guide. You need to complete these activities and attach the evidence of each in this section of your PoE.

### Summative Assessment Readiness Statement

Note: R = Ready for summative assessment, NYR = Not yet Ready for summative assessment

|  |  |  |  |
| --- | --- | --- | --- |
| Candidate's Name |  | ID No. |  |
| Assessor's Name |  | Reg. No. |  |
| Unit Standard Title |  |
| **ASSESSMENT DECISION** |
| Specific Outcome | R | NYR | Comments |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |
|  |  |  |  |

#### Assessor’s / Facilitator declaration:

I hereby declare that I have assessed the learner’s formative assessment and find the learner ready / not yet ready for the summative assessment

|  |  |
| --- | --- |
| Assessor / Facilitator Name | Signature |
|  |  |

# SUMMATIVE ASSESSMENTS

## Questionnaire

1. Explain what is meant by ethics. (1)
2. Explain a belief system. (1)
3. Explain what is meant by a moral compass. (1)
4. Explain how ethics and the moral compass relate to each other. (1)
5. What behaviours should team members adhere to? (5)
6. Explain the two dimensions of morality. (2)
7. Explain the relationship between ethics and the constitution according to the following topics;
	1. Human dignity (2)
	2. Privacy (2)
	3. Freedom of religion, belief and opinion (3)

*ask you about your religious beliefs*

* 1. Fair labour relations (2)
	2. Just administrative action (2)
1. Explain work ethics. (1)
2. Name 4 unethical business practices. (4)
3. Name 3 ways in which you can contribute to an ethical work environment. (3)
4. Explain the code of ethics of an organisation. (1)
5. Explain the role of a code of conduct in an organisation. (1)

**TOTAL: 32**