Learner Name	
ID Number	
Organisation	

FORMATIVE ASSESSMENT:
LEARNER WORK FILE VERSION 1

Unit Standard Title: **Apply the principles of ethics to a business environment**

Unit Standard No: **230078**

Unit Standard Credits: **10**

NQF Level: **6**

Mark information:

Specific Outcome/Section	1	2	3	4	5	Total	%	C / NYC
Maximum marks	37	27	29	19		112	100	

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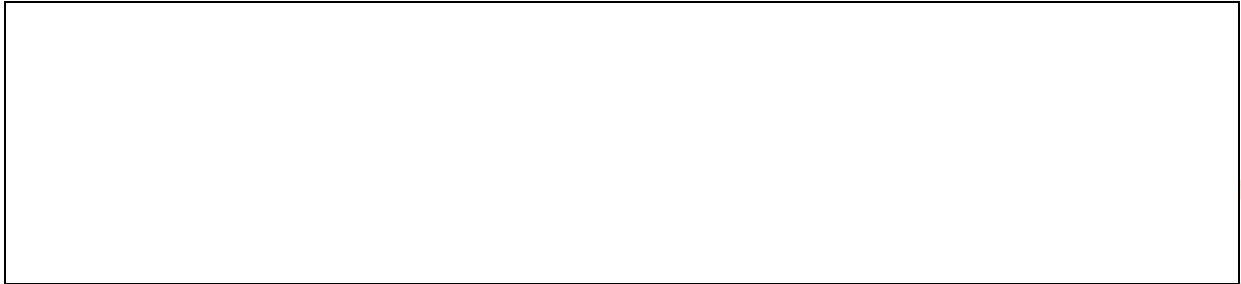
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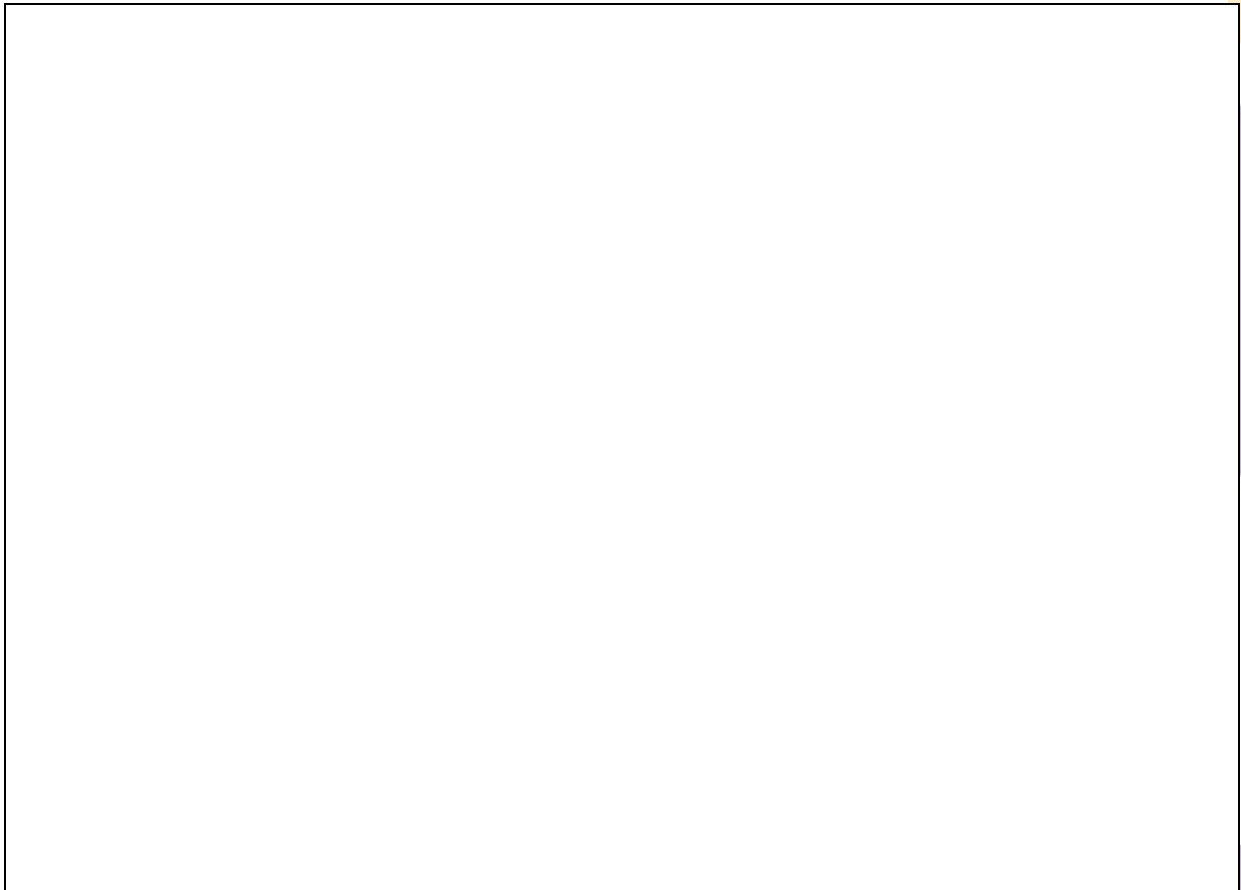
Formative Activities
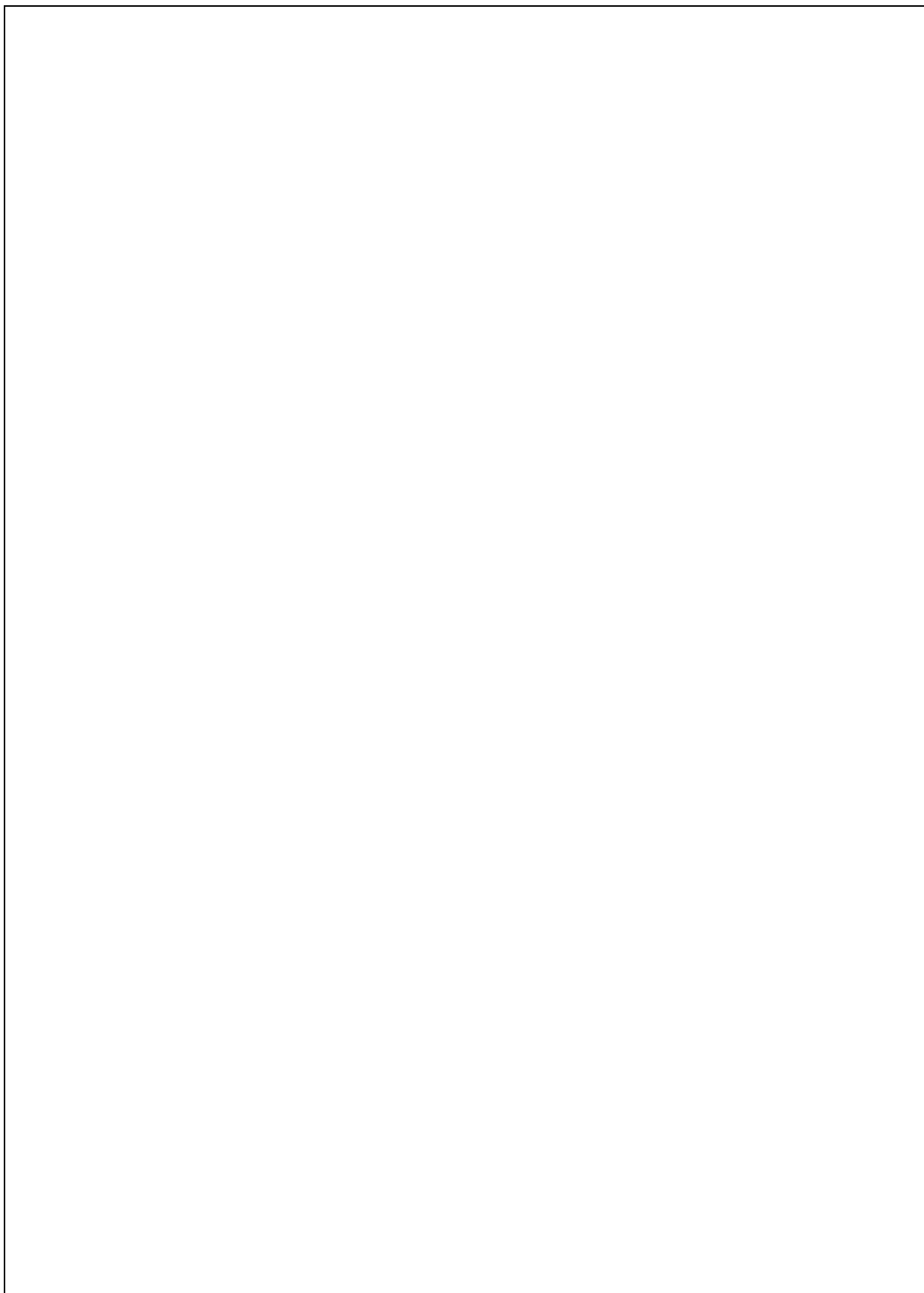
Section 1: 37 marks

Activity 1

1.1   What do you understand the concept of Business Ethics to be?   (2)

1.2   Discuss the ethics related requirements in different legislation, regulations and
      codes applicable to your business sector with reference to the effect on
      business values, practices and procedures.   (20)

1.3   What are the implications of triple bottom line reporting on your business?
      Include reference to the ethical aspects of reporting on safety, environmental,
      health and social responsibility.   (5)

1.4   Explain what a code of conduct is in your own words and include comments on
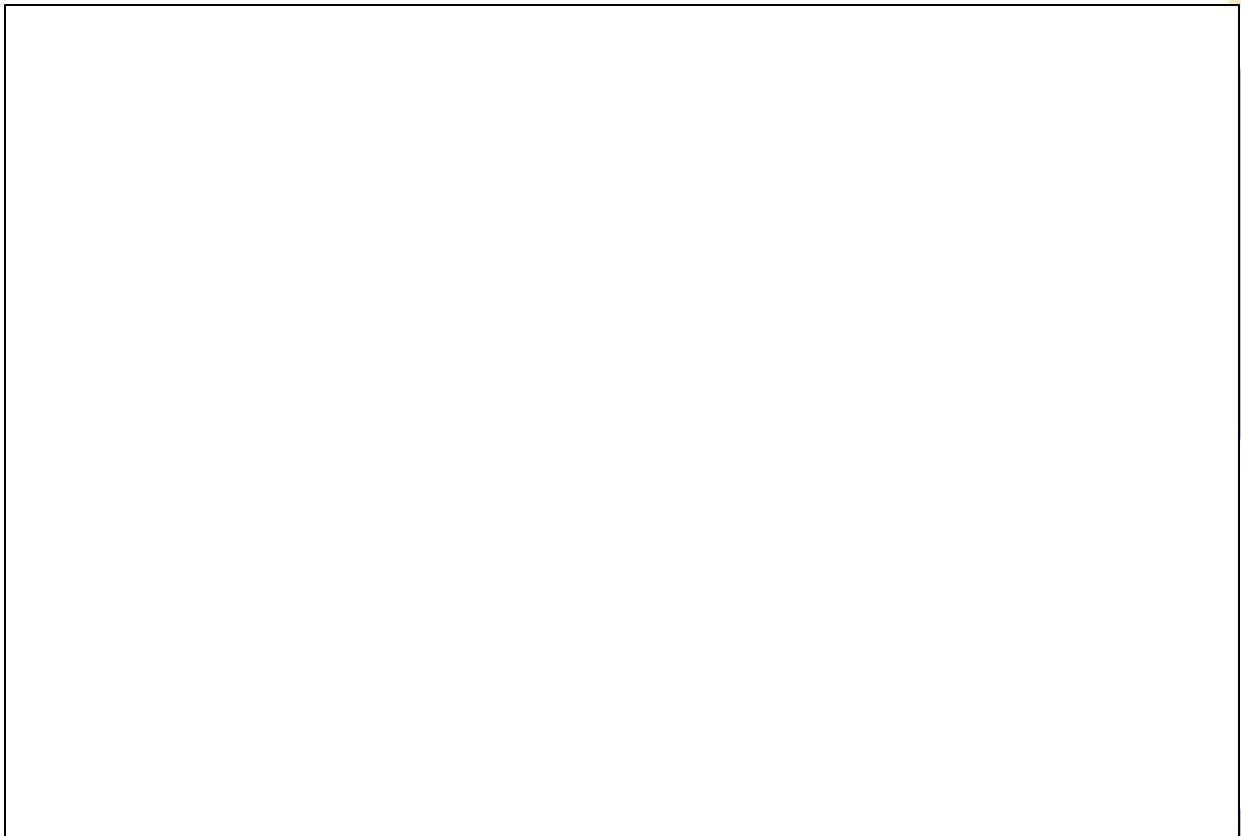   the purpose of the code of conduct in _your_ organisation.   (10)

Section 2: 27 marks
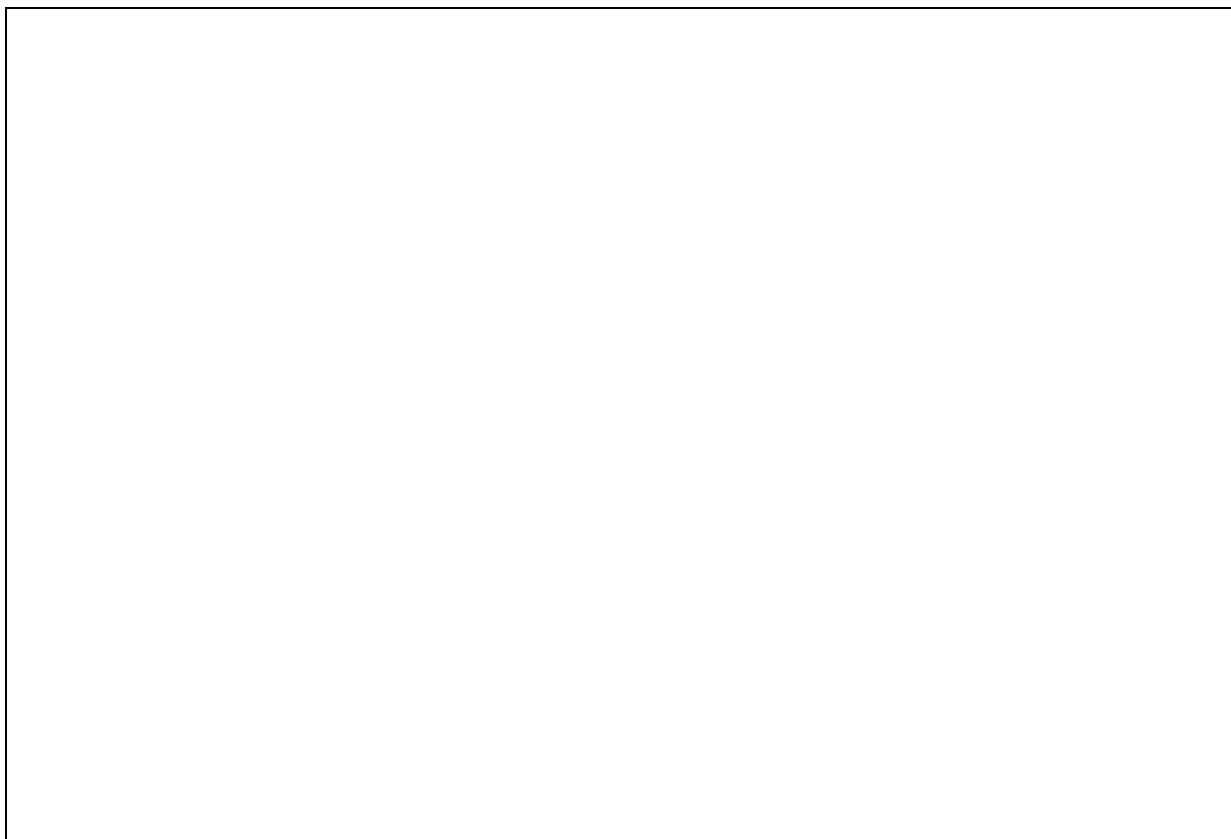
Activity 2

2.1   Which internationally accepted principles that could be the basis of a good
        code of conduct is relevant to your business?   (6)
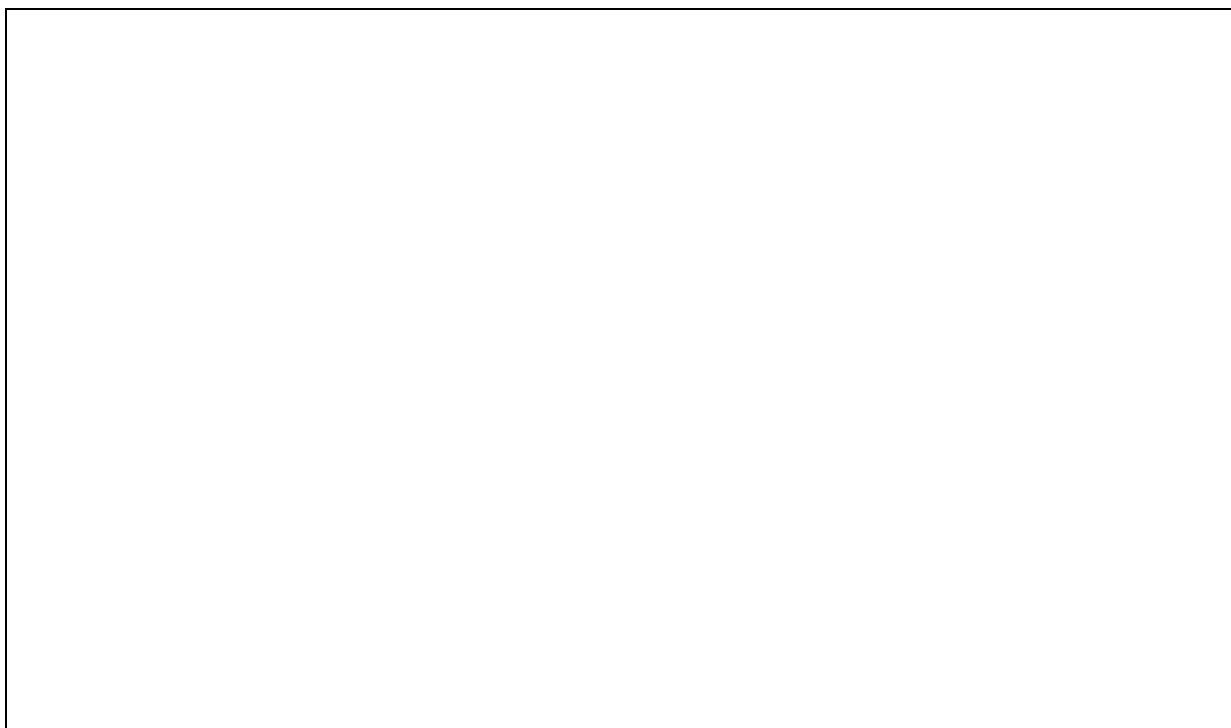
2.2   What would you say is the impact of the African value systems on codes of
        ethics in South Africa?   (10)

2.3 Discuss the business case for compliance with codes and the ethical code of your business. (5)

2.4   Do you think your company's code of conduct is effective? Motivate your
        answer.   (2)
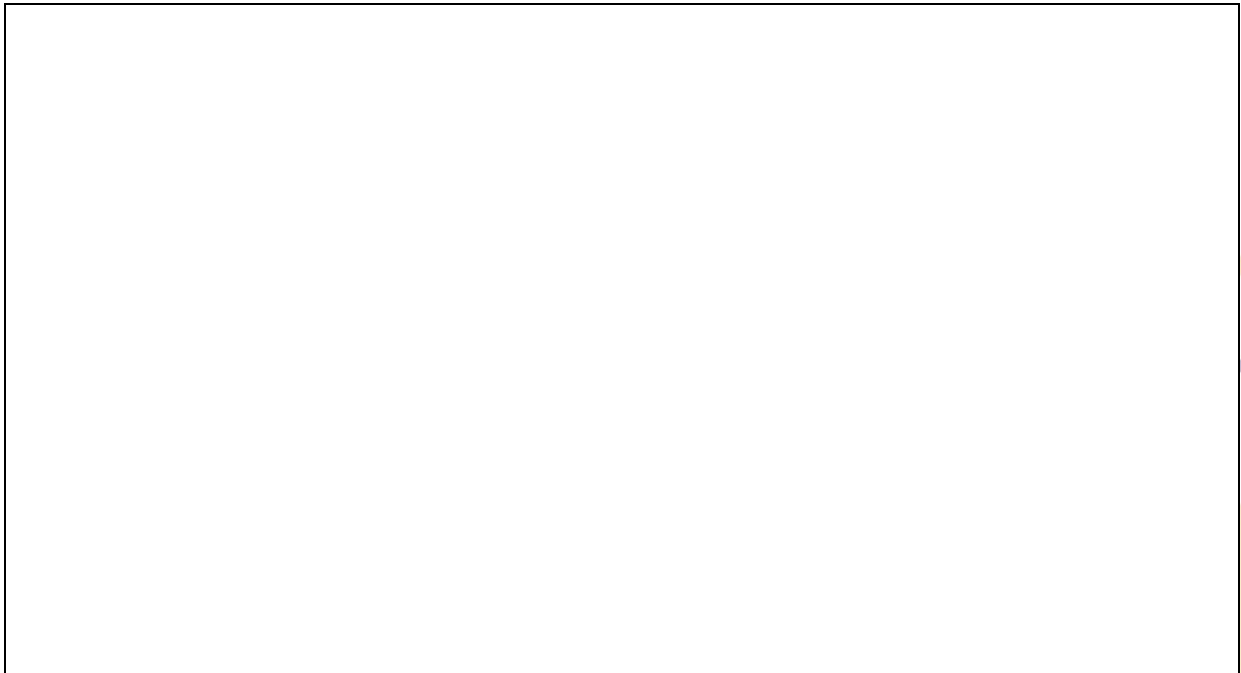
2.5   What do you think needs to change? Motivate your answer.   (2)

2.6   What aspects of the code of conduct do you think works effectively in your
        company? Motivate your answer.   (2)
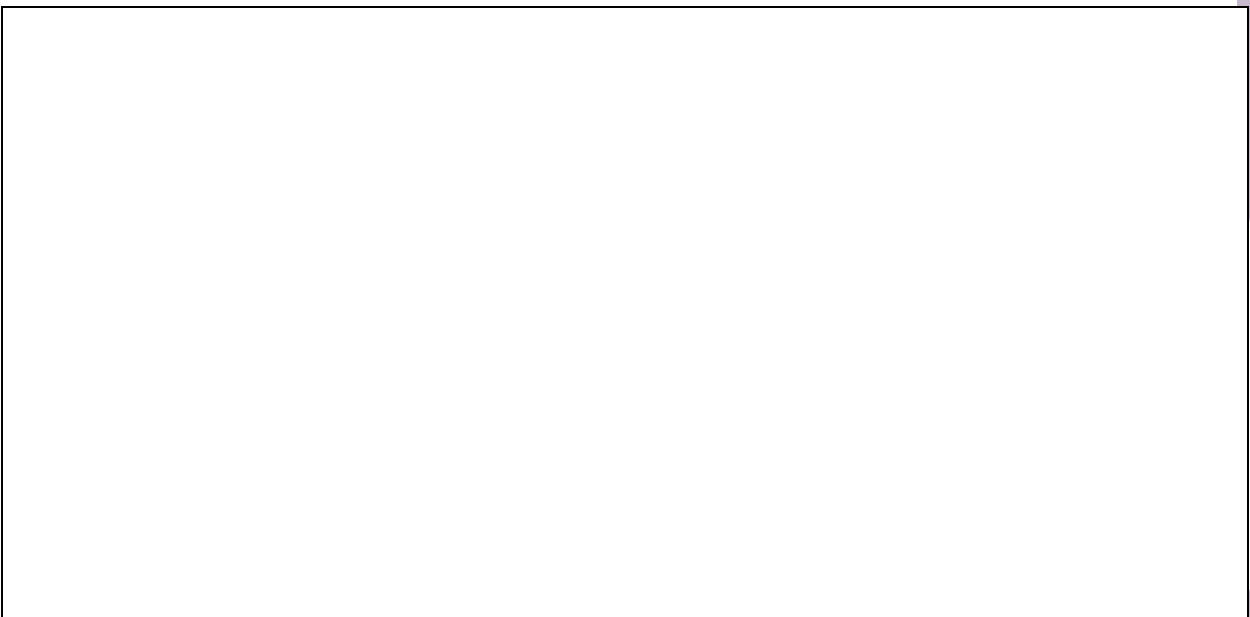
Section 3: 29 marks

Activity 3

3.1   Analyse your business' code of conduct in terms of the intention of the
       business in terms of behaviour. Write notes on your analysis.   (5)
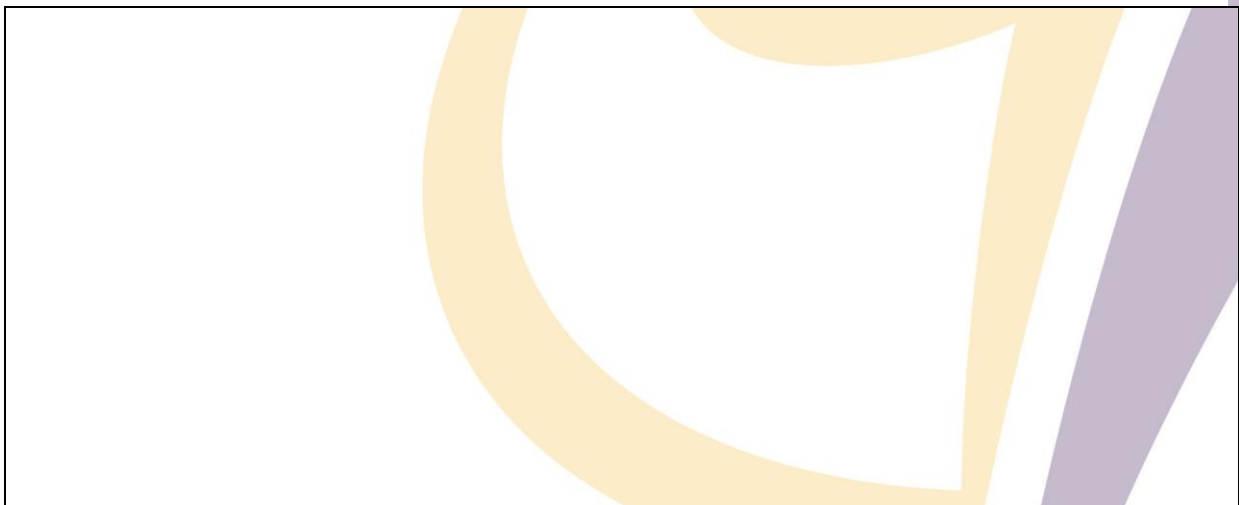
3.2   Conduct a gap analysis against the principles in the code of conduct in order
       to identify strengths and weaknesses in the code.   (5)

3.3   Discuss the relationship between reputation and ethics with reference to your
       business.   (5)

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3.4   Describe the interrelationship between the code of conduct and the operations
       in your section and/or division, with specific reference to the effect on the
       outcomes you are responsible for.   (4)

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Activity 4

Make use of practical examples to discuss the implications of the code for all
stakeholders.　　　　　　　　　　　　　　　　　　　　　　　　　　　　(10)

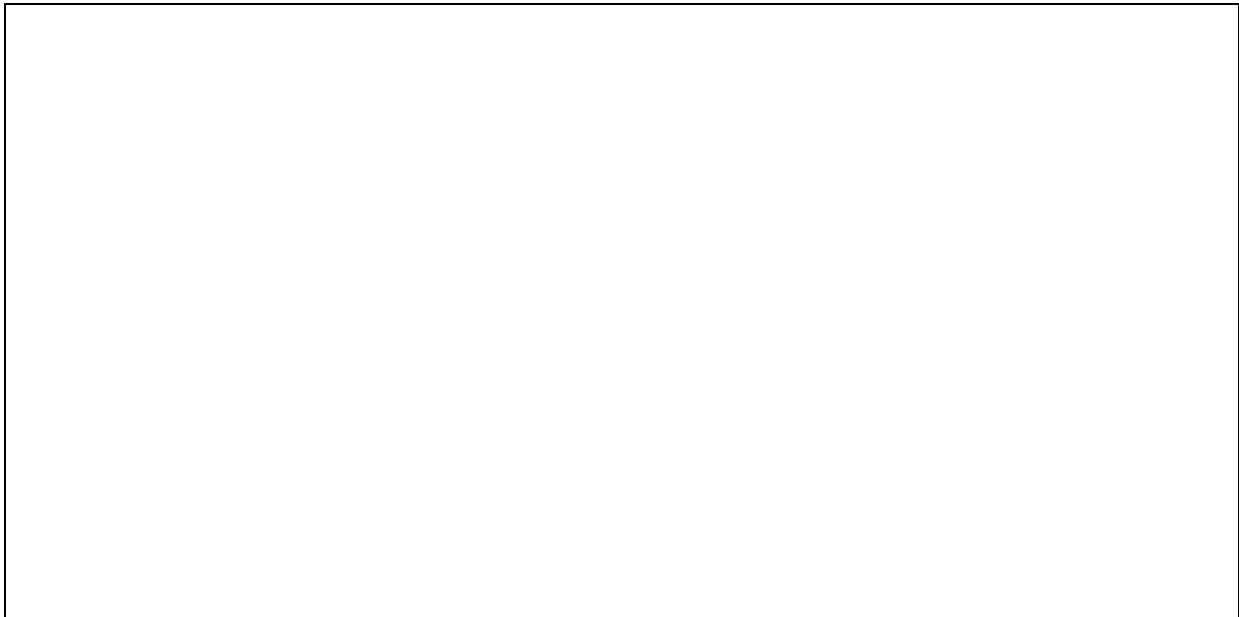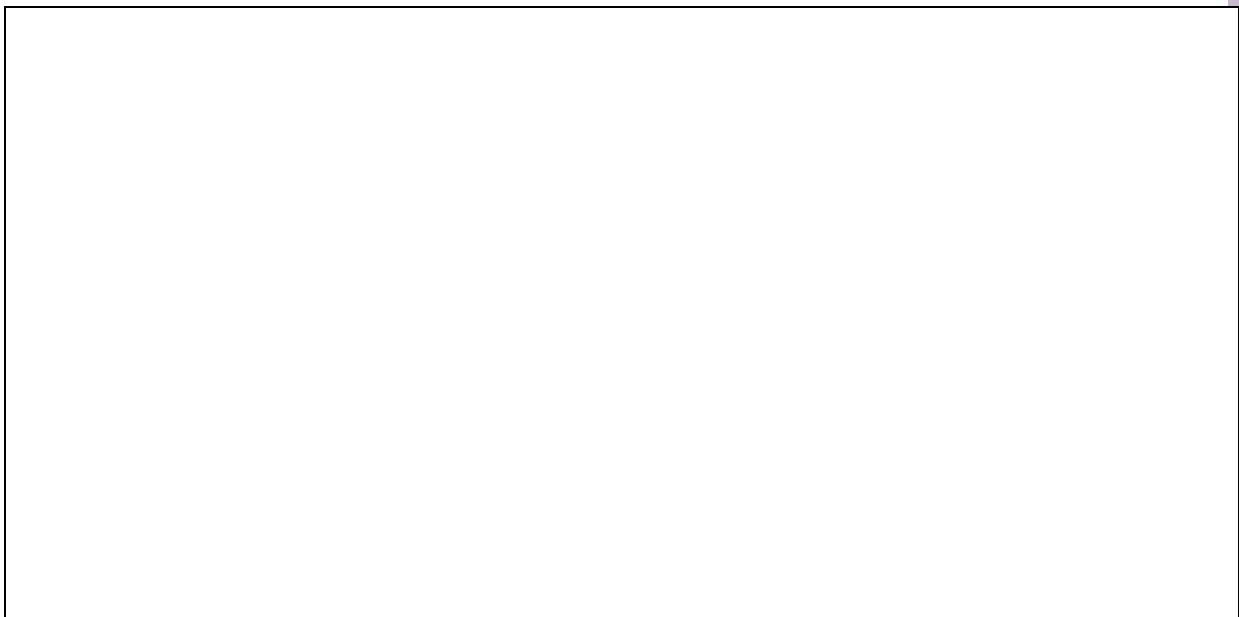**Section 4: 19 marks**

Activity 5

5.1   Use the findings of the gap analysis as a basis from which to develop a plan
        to initiate or improve commitment to the code of ethics in your business.   (5)

5.2   What measures can be taken to monitor the implementation of the code of
        conduct and propose how regular revision of the code can be ensured?   (5)

5.3   Do you believe that most organisations really focus on creating customer value? What impact does it have on the code of conduct? Explain.   (3)

5.4   Should government regulation of business be increased, decreased, or remain the same as it is now? Motivate your answer.   (3)

5.5   Can ethics/code of conduct be taught and learned? How do your personal values influence company values and the other way around?   (3)

SOUTH AFRICAN QUALIFICATIONS AUTHORITY

REGISTERED UNIT STANDARD:

Apply the principles of ethics to a business environment

SAQA US ID	UNIT STANDARD TITLE			
230078	Apply the principles of ethics to a business environment			
ORIGINATOR	**ORIGINATING PROVIDER**			
SGB Insurance and Investment				
QUALITY ASSURING BODY				
-				
FIELD		**SUBFIELD**		
Field 03 - Business, Commerce and Management Studies		Finance, Economics and Accounting		
ABET BAND	**UNIT STANDARD TYPE**	**PRE-2009 NQF LEVEL**	**NQF LEVEL**	**CREDITS**
Undefined	Regular	Level 6	Level TBA: Pre-2009 was L6	10
REGISTRATION STATUS	**REGISTRATION START DATE**	**REGISTRATION END DATE**	**SAQA DECISION NUMBER**	
Reregistered	2012-07-01	2015-06-30	SAQA 0695/12	
LAST DATE FOR ENROLMENT	**LAST DATE FOR ACHIEVEMENT**			

2016-06-30	2019-06-30

In all of the tables in this document, both the pre-2009 NQF Level and the NQF Level is shown. In the text (purpose statements, qualification rules, etc), any references to NQF Levels are to the pre-2009 levels unless specifically stated otherwise.

This unit standard replaces:

US ID	Unit Standard Title	Pre-2009 NQF Level	NQF Level	Credits	Replacement Status
14505	Apply the principles of ethics and professionalism to a business environment	Level 6	Level TBA: Pre-2009 was L6	6	Complete

PURPOSE OF THE UNIT STANDARD

This Unit Standard is intended for learners in a business environment who are in a position to impact on an organisation's code of ethics and its implementation. It is designed to raise moral standards as a counter to potential or real corruption within a business environment. The focus is on ethics and corporate governance. It requires application of knowledge of legislation and codes that contain references to ethics for a selected business sector and analysis and interpretation of the implementation of a code within an organisation. It provides an opportunity for the learner to integrate theory and practice and to engage in thinking processes at a high level. It will be useful for Senior Managers, Company Secretaries, Compliance Officers, Human Resources, Directors of Companies, Risk Managers, Retirement Fund Consultants, Intermediaries and Trustees. The qualifying learner is capable of:

- Demonstrating knowledge and insight into legislation, regulations and codes relating to corporate governance and ethics in a selected business sector.
- Applying the principles that underpin ethics and professionalism to a code of conduct.
- Critically evaluating the implementation of an organisation's ethical code or value system.
- Developing a plan to initiate or improve commitment and compliance in the implementation of a code in an organisation.

LEARNING ASSUMED TO BE IN PLACE AND RECOGNITION OF PRIOR LEARNING

It is assumed that learners are competent in Communication at Level 4.

UNIT STANDARD RANGE

The typical scope of this Unit Standard is:

- Codes are codes of practice, reporting codes and standards and may be the codes of an organisation, sector, industry or professional organisation.
- Legislation and codes include, but are not limited to, Financial Advisory and Intermediaries Services Act (FAIS), Financial Intelligence Centre Act (FICA), Prevention of Organised Crime Act (POCA), Protection of Constitutional Democracy against Terrorism and Related Activities Act (POCDTRA), the current accepted code of good governance (King 11 as at March 2006 and any subsequent Code that replaces King II), and specific industry related legislation.
- Organisations include, but are not limited to, employees, clients, customers, providers and other stakeholders.
- Internationally accepted principles relate to the ethical question of doing what is good, right and fair.
- African value systems include, but are not limited to, Ubuntu, Tirasano, and collaborative and participative models of governance and ethics.

Specific Outcomes and Assessment Criteria:

SPECIFIC OUTCOME 1

Demonstrate knowledge and insight into legislation, regulations and codes relating to corporate governance and ethics in a selected business sector.

ASSESSMENT CRITERIA

ASSESSMENT CRITERION 1

The ethics related requirements in different legislation, regulations and codes applicable to a selected business sector are analysed and explained with reference to the effect on business values, practices and procedures.

ASSESSMENT CRITERION 2

The implications of triple bottom line reporting on a selected business are explained with reference to the ethical aspects of reporting on safety, environmental, health and social responsibility.

SPECIFIC OUTCOME 2

Apply the principles that underpin ethics and professionalism to a code of conduct.

ASSESSMENT CRITERIA

ASSESSMENT CRITERION 1

Internationally accepted principles that are the basis of a good code of conduct are researched and explained with reference to their relevance in a selected

business environment.

ASSESSMENT CRITERION 2

The impact of the African value systems on codes of ethics in South Africa is analysed with reference to aspects that are unique in the South African context.

ASSESSMENT CRITERION 3

The business case for compliance with codes and the ethical code of an organisation is explained with reference to the role in attracting investors.

SPECIFIC OUTCOME 3

Critically evaluate the implementation of an organisation's ethical code or value system.

ASSESSMENT CRITERIA

ASSESSMENT CRITERION 1

An organisation's code of conduct is analysed in terms of the intention of the organisation as regards behaviour.

ASSESSMENT CRITERION 2

A gap analysis is conducted against the principles in the organisation's code of conduct in order to identify strengths and weaknesses.

ASSESSMENT CRITERION 3

The relationship between reputation and ethics is explained with reference to a specific organisation.

SPECIFIC OUTCOME 4

Develop a plan to initiate or improve commitment and compliance in the implementation of a code in an organisation.

ASSESSMENT CRITERIA

ASSESSMENT CRITERION 1

The findings of the gap analysis are used as a basis from which to develop a plan to initiate or improve commitment to the code of ethics in an organisation.

ASSESSMENT CRITERION 2

Measures to monitor the implementation and ensure regular revision of the code of practice are proposed to ensure alignment.

UNIT STANDARD ACCREDITATION AND MODERATION OPTIONS

- Anyone assessing a candidate against this Unit Standard must be registered as an assessor with the relevant ETQA or ETQA where a Memorandum of Understanding (MOU) exists with the relevant ETQA.
- Any institution offering learning that will enable achievement of this Unit Standard must be accredited as a provider through the relevant ETQA or ETQA where a Memorandum of Understanding (MOU) exists with the relevant ETQA.
- Moderation of assessment will be overseen by the relevant ETQA according to the moderation guidelines and the agreed ETQA procedures.

UNIT STANDARD ESSENTIAL EMBEDDED KNOWLEDGE

N/A

UNIT STANDARD DEVELOPMENTAL OUTCOME

N/A

UNIT STANDARD LINKAGES

N/A

Critical Cross-field Outcomes (CCFO):

UNIT STANDARD CCFO IDENTIFYING

The learner is able to identify and solve problems in which responses show that responsible decisions using critical and creative thinking have been made in evaluating the implementation of an organisation's ethical code and developing a plan to initiate or improve implementation.

UNIT STANDARD CCFO WORKING

The learner is able to work effectively with others as a member of a team, group or organisation in conducting an ethics audit.

UNIT STANDARD CCFO COLLECTING

The learner is able to collect, organise and evaluate information in researching international principles that underpin codes of ethics and auditing an organisation's ethics.

UNIT STANDARD CCFO COMMUNICATING

The learner is able to communicate effectively when presenting the findings of his/her research and plan to improve alignment with the code in an organisation.

UNIT STANDARD CCFO SCIENCE

The learner is able to use technology effectively and critically in researching international principles of a good code of ethics.

UNIT STANDARD CCFO DEMONSTRATING

The learner is able to demonstrate an understanding of the world as a set of related systems in showing insight into the impact of legislation, regulations and codes on corporate governance and ethics in a selected business sector and by explaining the implications of triple bottom line reporting on a business.

UNIT STANDARD CCFO CONTRIBUTING

The learner is able to be culturally sensitive across a range of social contexts in analysing the impact of African value systems on codes of ethics in South Africa.