

Unit Standard

SAQA ID: 255514 Conduct a disciplinary hearing

**Credit Total: 15**

**ASSESSMENT GUIDE**

**Assessor Name:** \_\_\_\_\_

## Welcome to the Assessment Guide!

This document aims to provide the Assessor and Facilitator with guidance towards the assessment process / evidence / competencies needed for the achievement of the outcomes in this module.

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## Unit Standard Cluster Information

SAQA	Unit Standard Title	Level	Credits
255514	Conduct a disciplinary hearing	5	15

## Instructions & Memorandum of Assessment

The following sections will outline all the required formative and summative assessment activities / instruments which you will need to complete in order to be deemed competent in this module.

### Assessment Section 1:

#### 1.1 Classroom: Formative Learner Workbook Questionnaires / Activities

These activities will be completed during the classroom or facilitation session and can be found in the learning material. Activities may include questioning, case studies, group activities and assignments.

#### 1.2 Classroom: Formative Assessment Instrument

These knowledge based questions will be based on the outcomes and Unit Standards addressed in this module. This component will consist of both direct and multi-choice questions. You are required answer all the questions provided as this will also form part of your portfolio of evidence.

### Assessment Section 2:

#### 2.1 Summative Knowledge Assessment

You are required to complete the knowledge assessment by answering all the questions provided in filled giving examples where asked.

#### 2.2 Workplace Assignments

This section will consist of Workplace assignments and projects which you will need to complete which will form part of your Portfolio of Evidence.

#### 2.3 Summative Practical / Observational Assessment

The practical / observational assessment will be completed by the assessor based on your performance against the outcomes of this module to determine your competence.

#### 2.4 Personal Narrative

The personal narrative requires you to reflect on the reflexive competence requirements needed to be deemed competent in this module. This section will include critical cross field outcomes.

#### 2.5 Witness Testimony

The witness testimony consists of a testimonial based on your performance as observed / reviewed by your Supervisor / Manager in the workplace.

## LEARNER ASSESSMENT PLAN

**Please tick next to the unit standards you are being assessed against.**

Unit code	UNIT STANDARD TITLES	NQF level	Credits	✓
255514	Conduct a disciplinary hearing	5	15	

Activity	Evidence of activity will be found where	Place & planned date of activity	Date Completed
Training	Classroom training registers	Training Provider Date:	
Self assessment	Assessment contract signed & dated	Learner file Date:	
Assessment contract	Assessment contract signed & dated	Learner file Date:	
Initial meeting	Assessor briefing checklist	Learner file Date:	
Unit Standard No	Assessment contract & assessment plan	Learner file Date:	
Formative Assessment	Assessment instruments	Learner file Date:	
Summative Assessment	Assessment instruments	Learner file Date:	
Other Evidence	Research portfolio (if applicable)	Learner file Date:	
Feedback	Feedback Report	Learner file Date:	
Moderation	Moderators report	Learner file Date:	
Judgement	Assessor Summary Report / Moderator report	Learner file Date:	
1 <sup>st</sup> Reassessment	Assessors summary report / instruments	Learner file Date:	
2 <sup>nd</sup> Reassessment	Assessors summary report / instruments	Learner file Date:	

### Special arrangements for assessment

Place
Language
Resources
Barriers

### People to be involved with assessment

Learner:	Manager:
Trainer:	Mentor / Coach:
Assessor:	Moderator:

### Next steps for learning


**Resources required for this assessment**


**Guidelines to the learner:**


Learners Name: \_\_\_\_\_

Learner's signature: \_\_\_\_\_

Date: \_\_\_\_\_

Assessors Name: \_\_\_\_\_

Assessor's signature: \_\_\_\_\_

Date: \_\_\_\_\_

**ASSESSMENT APPEALS PROCEDURE**

1. A learner has the right to appeal under the following circumstances
  - If the laid down assessment procedures were not followed during assessments
  - If not all evidence available was taken into account during the assessment
  - The assessor was not a subject matter expert or did not have a subject matter expert during the assessment process
  - The assessor did not assess according to the performance criteria and range statement stipulated in the unit standard
  - Not all the range items were available for assessment
2. A learner bringing an appeal against a decision of the assessment will lodge such an appeal with the assessor and the internal moderator within 2 days of the assessment feedback session.
3. A learner bringing an appeal should complete the "Learner's Notice of Assessment Appeal" form before the Appeal Hearing. The form should be handed to the internal moderator or a representative of the SETA.
4. Should the internal moderator re-affirm the assessor's decision, the learner may appeal to the external verifier within 2 days after the initial moderator's feedback session. The external verifier's decision will be final. Should the external verifier re-affirm the assessors' decision, the cost for re-evaluation will be upon the learner. Should the verifier's decision differ from the assessor's decision, the cost for re-evaluation will be borne by the assessor.

**ASSESSMENT APPEAL APPLICATION FORM**

**LEARNER'S NOTICE OF ASSESSMENT APPEAL**

**TO: The Internal Moderator**

A meeting with the internal moderator is hereby requested to discuss the outcome of my assessment.

Internal moderator name \_\_\_\_\_

Date of submission: \_\_\_\_\_

Name of employee assessed: \_\_\_\_\_

Name of Assessor: \_\_\_\_\_

Date of feedback session: \_\_\_\_\_

**Grounds for Appeal**

No	Tick the applicable ground(s) for appeal	Tick
1	The assessment did not follow the laid down procedure	
2	Not all evidence available was taken into account during the assessment	
3	The assessor was not a subject matter expert nor was a subject matter expert present during the assessment process	
4	The assessment was not according to the performance criteria and the range statement stipulated in the unit standard	
5	Not all the range items were available for the assessment	

**Reasons for Appeal**

No	Please give detailed reasons for the choice(s) above
1	
2	
3	
4	
5	

Learner's signature: \_\_\_\_\_

Date: \_\_\_\_\_

Employee witness: \_\_\_\_\_

Date: \_\_\_\_\_

**PRE-ASSESSMENT MEETING CHECKLIST**

**Points Assessor must cover in the initial meeting with the learner - Please tick**

Item	Points to be covered	Tick
1	Welcome the candidate <b>and put them at ease</b>	
2	<b>Explain the purpose of the meeting</b> (why you are there and how long the meeting will take)	
3	<b>Explain the</b> <ul style="list-style-type: none"> <li>▪ NQF</li> <li>▪ Credits</li> <li>▪ Certification process</li> <li>▪ Learning pathways</li> </ul>	
4	<b>Explain</b> <ul style="list-style-type: none"> <li>▪ Who is involved in the assessment and their role (learners, coach, assessors, managers, moderators)</li> <li>▪ Principles of assessment (fairness, confidentiality, validity, sufficiency)</li> </ul>	
5	<b>Explain the assessment process?</b> <ul style="list-style-type: none"> <li>▪ Check learner readiness for assessment (logbook / self assessment)</li> <li>▪ Assessment contract to be completed</li> <li>▪ Preparation of learner (this meeting)</li> <li>▪ The assessment (observation and knowledge questionnaire)</li> <li>▪ Judgement of the evidence</li> <li>▪ Outcome of assessment (competent, not yet competent, need further evidence)</li> </ul>	
6	<b>Give Learner copies of the following documentation and explain each document</b> <ul style="list-style-type: none"> <li>▪ The Assessment Guide which includes                             <ul style="list-style-type: none"> <li>○ The relevant unit standard (s)</li> <li>○ Assessment contract</li> <li>○ Assessment plan</li> <li>○ Observation checklist</li> <li>○ Knowledge checklist</li> </ul> </li> </ul>	
7	<b>Discuss the assessment plan</b> (complete the assessment plan document) <ul style="list-style-type: none"> <li>▪ Allow the learner to participate in the decisions made</li> <li>▪ Agree on dates, time and venue for the assessment and feedback</li> <li>▪ Agree on evidence the learner can submit</li> <li>▪ Agree and explain the assessment methods</li> <li>▪ Identify and discuss special assessment needs of the candidate</li> <li>▪ Identify and eliminate unfair barriers (language, disability etc)</li> <li>▪ Discuss and agree on witness requirements</li> </ul>	
8	<b>Tell the candidate his/her rights and responsibilities, the assessment procedures and policies</b> <ul style="list-style-type: none"> <li>▪ How many times they may be assessed</li> <li>▪ Appeals process / procedure</li> <li>▪ Reassessment policy</li> </ul>	
9	<b>Ensure the assessment environment is appropriate</b> or make special arrangements	
10	Discuss moderation	
11	Allow the learner opportunity to clarify any items discussed	

Learner declaration of acceptance of assessment instruments and relevant documentation: Date:	
Learners Name:	Signature
Assessors Name:	Signature:

## Assessment Strategy

<b>Learner Profile:</b>	<ul style="list-style-type: none"> <li>Learners participating in this qualification are working within or towards a position in an administrative organisation / field.</li> </ul>	
<b>Purpose of Assessment</b>	The purpose of this assessment is to determine and recognise learner competence against the outcomes of the Unit Standards in this module cluster.	
<b>Assessment Approach</b>	Learners will undergo formative assessment and summative assessment. Evidence gathered during formative assessment will be used towards summative assessment. Formative Assessment will include activities. Summative Assessment will contain and Workplace Assignment, knowledge questionnaire and the completion of a personal narrative.	
<b>Assessment Conditions</b>	Formative Assessment: Classroom or boardroom.	
<b>Learner Needs</b>	<ul style="list-style-type: none"> <li>Special needs are identified through the learner information form completed during enrolment and verified during the Assessment Preparation Interview which takes place at the end of the learning intervention.</li> <li>Assessment should be adjusted based on special needs requests, provided that the fairness, validity and reliability of the assessment are not compromised. Special needs include, but are not limited to: Hearing impairment, Physical impairment, Learning disabilities, Visual impairment, Speech impairment and Medical conditions</li> </ul>	
<b>Learner Support</b>	<ul style="list-style-type: none"> <li>Learning facilitation</li> <li>Facilitator / Assessor guidance and support with completion of Summative Assessment</li> <li>Mentoring &amp; Coaching (provided by supervisor)</li> <li>Facilitator guidance and support with workshop activities</li> </ul>	
<b>Resources &amp; Equipment</b>	<ul style="list-style-type: none"> <li>Training Venue</li> <li>Data Projector</li> <li>Flipchart paper</li> <li>Laptop</li> <li>PowerPoint Slides</li> <li>Flipchart stand</li> <li>Coloured Pens</li> <li>Pre-designed assessment instruments</li> </ul>	
<b>Assessment Tools in relation to VARCS</b>	<b>Validity</b>	The assessment tools cover all of the specific outcomes, assessment criterion, embedded knowledge (where applicable) and critical cross field outcomes of the unit standard. The tools measure the requirements of this unit standard.
	<b>Authenticity</b>	The learners are required to sign a declaration sheet that states that they have submitted their own work. The assessor checks that this sheet is submitted in the learner's portfolio of evidence. In line with the principles of assessment, the assessor will ensure that they are satisfied that work being assessed belongs to the learner in question.
	<b>Reliability</b>	Consistent results will be obtained with different assessors by making use of these assessment tools.
	<b>Current</b>	The evidence presented will be current – not older than 3 years.
	<b>Sufficient</b>	The assessment tools selected for this assessment provides enough evidence to show that the learners have met the criteria and specific outcomes required to be found competent against this unit standard. This performance can be repeated consistently with the same results.

## The Assessment Process

**1 Plan and Prepare for Assessment**

**Documents**



	<p>a) Plan &amp; Prepare self for Assessment</p> <ul style="list-style-type: none"> <li>▪ Understand all the requirements of the assessment in terms of evidence required to prove competence.</li> <li>▪ Identify logistical arrangements that have to be made</li> <li>▪ Familiarise self with assessment instruments and tools</li> <li>▪ Identify any resources required for assessment</li> <li>▪ Ensure that you are familiar with the Assessment, Moderation, RPL and Appeals policy.</li> </ul> <p>b) Plan &amp; Prepare Learner for Assessment</p> <ul style="list-style-type: none"> <li>▪ Discuss all aspects mentioned on the <i>Assessment Preparation Sheet</i> <b>OR</b></li> <li>▪ Provide the learner with a <i>letter</i> detailing all the specifications covered in the Assessment Preparation Sheet</li> <li>▪ Complete the Assessment Plan with the learner.</li> </ul>	<ul style="list-style-type: none"> <li><input type="checkbox"/> Assessment Guide</li> <li><input type="checkbox"/> Unit Standard</li> <li><input type="checkbox"/> Assessment Policy</li> <li><input type="checkbox"/> Moderation Policy</li> <li><input type="checkbox"/> RPL Policy</li> <li><input type="checkbox"/> Appeals and Disputes Policy</li> <li><input type="checkbox"/> Assessment Preparation Sheet</li> <li><input type="checkbox"/> Assessment Plan</li> <li><input type="checkbox"/> Assessment Pack (Assessment Instruments and Tools)</li> </ul>
<b>2</b>	<p><b>Conduct Assessment</b></p> <p>a) Assist in Evidence Collection</p> <ul style="list-style-type: none"> <li>▪ Assist in the Administration of the Formative Assessments</li> </ul> <p>b) Assessing Evidence</p> <ul style="list-style-type: none"> <li>▪ Review evidence submitted using <i>model answers / memorandum</i></li> <li>▪ Advise learners of outstanding evidence</li> <li>▪ Record the findings and feedback using the <i>Assessment Report</i></li> <li>▪ Inform learner of outstanding evidence via phone, fax or e-mail</li> <li>▪ Record all communication with learners</li> <li>▪ Record final judgement using the <i>Assessment Report</i></li> </ul>	<p><b>Documents</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Learner's Portfolio of Evidence</li> <li><input type="checkbox"/> Assessment Report</li> </ul>
<b>3</b>	<p><b>Review Assessment</b></p> <p>a) Assessor to complete review questionnaire</p> <p>b) Learner to complete review questionnaire</p>	<p><b>Documents</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Assessor's Assessment Review</li> <li><input type="checkbox"/> Learner's Assessment Review</li> </ul>
<b>4</b>	<p><b>Record Keeping and Reporting</b></p> <p>a) Based on the Assessment Report an <i>Assessment Record</i> will be completed and sent to the learner.</p> <p>b) Assessment Results to be recorded on Learner Database by Administrator</p> <p>c) Submit Portfolio of Evidence and Reports for Moderation</p>	<p><b>Documents</b></p> <ul style="list-style-type: none"> <li><input type="checkbox"/> Assessment Report</li> <li><input type="checkbox"/> Assessment Record</li> </ul>

## Evidence Grid

<b>Unit Standard Name</b>	Conduct a disciplinary hearing	<b>SAQA ID</b>	255514	<b>NQF Level</b>	5	<b>Credits</b>	15
<b>Specific Outcome 1:</b>	Explain organisational and legal policies, procedures for instituting disciplinary action.						
<b>SO1</b>	<b>Assessment Criteria</b>						<b>Evidence Guide</b>
AC1	The difference between poor performance issues and misconduct issues is explained in terms of how each are handled.						SAI – Knowledge Assessment
AC2	Procedure for instituting disciplinary action and applicable timeframes is explained in terms of the organisation's procedures and legal requirements.						SAI – Knowledge Assessment
AC3	Role players in the disciplinary process and their roles and rights are explained in terms of the organisation's procedures and legal requirements.						SAI – Knowledge Assessment
<b>Specific Outcome 2:</b>	Investigate the allegation.						
<b>SO2</b>	<b>Assessment Criteria</b>						<b>Evidence Guide</b>
AC1	Statements are taken that meet legal and organisation requirements.						SAI – Practical Assessment Checklist
AC2	The investigation is conducted in a fair and impartial manner.						SAI – Practical Assessment Checklist
AC3	The various options open are discussed with relevant specialists and a way forward with the disciplinary action is decided upon in terms of the organisation's disciplinary procedure.						SAI – Practical Assessment Checklist
AC4	Where no further action is required the paperwork is completed and forwarded/filed according to organisational requirements.						SAI – Practical Assessment Checklist
<b>Specific Outcome 3:</b>	Prepare for a hearing.						
<b>SO3</b>	<b>Assessment Criteria</b>						<b>Evidence Guide</b>
AC1	Verbal/written notification to employees undergoing a hearing is given in terms of organisational prescripts.						SAI – Practical Assessment Checklist
AC2	The employee is notified of his/her rights regarding the hearing in terms of legal and organisational requirements.						SAI – Practical Assessment Checklist
AC3	The required information is identified and given to the employee prior to the hearing in terms of legal and organisational requirements.						SAI – Practical Assessment Checklist
AC4	Preparation for the hearing in terms of human and physical resources is carried out and meets the requirements of the organisation.						SAI – Practical Assessment Checklist
AC5	Internal and external resources available to help with the process/decision making are identified in terms of organisational policy.						SAI – Practical Assessment Checklist
<b>Specific Outcome 4:</b>	Conduct a disciplinary hearing.						
<b>SO4</b>	<b>Assessment Criteria</b>						<b>Evidence Guide</b>

AC1	The roles of all parties in the process are clarified at the start of the hearing in terms of legal and organisational requirements.	SAI – Practical Assessment Checklist
AC2	The disciplinary hearing is conducted in a manner that meets all legal and organisational requirements.	SAI – Practical Assessment Checklist
AC3	A decision is concluded meeting the requirements from both a legal and organisational perspective.	SAI – Practical Assessment Checklist
AC4	The process meets procedural requirements from both a legal and organisational perspective.	SAI – Practical Assessment Checklist
AC5	A decision is made and the employee is advised of the decision following legal and organisational requirements.	SAI – Practical Assessment Checklist
AC6	All relevant role players are notified of the decision in a manner that ensures all the legal and organisational requirements are met.	SAI – Practical Assessment Checklist

<b>Essential Embedded Knowledge</b>		<b>Covered</b>
1.	<p>The difference between poor performance issues and misconduct issues and how the organisations policy and procedures for handling each.</p> <p>Organisational procedure for instituting disciplinary action and applicable timeframes.</p> <p>Legal requirements in respect of instituting disciplinary action and applicable timeframes.</p> <p>The role players required in the process of investigating an incident and their roles.</p> <p>Legal and organisational requirements in the taking of statements.</p> <p>How to carry out an investigation ensuring it is fair and impartial.</p> <p>The organisation's disciplinary procedures.</p> <p>Requirements in the completing of paperwork in respect to disciplinary action and where this is stored including the confidentiality of decisions.</p> <p>Requirements in regard to notifying an employee of a pending hearing and the required time frames.</p> <p>Employee rights when involved in a hearing.</p> <p>Information to be given to employees involved in a hearing and the timeframes for this.</p> <p>The human and physical resources required when holding a hearing.</p> <p>Internal/external resources available to help with the process/decision making.</p> <p>Organisational procedures for recording details of the hearing.</p> <p>The legal tests to ensure procedural and substantive fairness.</p> <p>Requirements in respect of notifying the employee of the disciplinary decision.</p> <p>Policy in respect of taking into account prior offences/disciplinary action and/or aggravating circumstances.</p> <p>Employee rights regarding appeals.</p>	FA / SA - Knowledge Assessment Instruments

<b>Critical Cross-field Outcomes (CCFO)</b>		<b>Covered</b>
1.	UNIT STANDARD CCFO IDENTIFYING	FA - Knowledge Assessment

<p>Solving problems:          Problem solving is required throughout the disciplinary process in order to ensure that effective decisions are taken and relevant processes are maintained within the context of challenges that might be encountered.</p> <p>UNIT STANDARD CCFO ORGANISING          Organise oneself and one's activities:          Self-organisation is required in order to ensure effective planning and implementation of the disciplinary intervention.</p> <p>UNIT STANDARD CCFO COLLECTING          Collect, analyse, organise and critically evaluate information:          Management of the process throughout its initiation to its conclusion is supported by the collection, analysis, organising and critical evaluation of information.</p> <p>UNIT STANDARD CCFO COMMUNICATING          Communicate effectively:          The convening of disciplinary action is supported by the maintaining of effective communication to staff and relevant role-players throughout the process.</p>	<p>SA – Workplace Assignment          Personal Narrative</p>
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## Instructions & Memorandum

The following sections will outline all the required formative and summative assessment activities / instruments which you will need to complete in order to be deemed competent in this module.

Assessment Section 1:

### 1.2 Classroom: Formative Learner Workbook Questionnaires / Activities

These activities will be completed during the classroom or facilitation session and can be found in the learning material. Activities may include questioning, case studies, group activities and assignments.

### 1.3 Classroom: Formative Assessment Instrument

These knowledge based questions will be based on the outcomes and content of the classroom training session. You are required answer all the questions provided as this will also form part of your portfolio of evidence.

Assessment Section 2:

### 2.6 Summative Knowledge Assessment

You are required to complete the knowledge assessment by answering all the questions provided in filled giving examples where asked.

### 2.7 Summative Practical Assessment and Workplace Assignments (Logbook)

The most part of this assessment will be completed in the workplace and where required under the observation of an assessor and / or supervisor to determine your competence in line with the outcomes of the module.

### 2.8 Personal Narrative

The personal narrative requires you to reflect on the reflexive competence requirements needed to be deemed competent in this module. This section will include critical cross field outcomes.

### 2.9 Witness Testimony

The witness testimony consists of a testimonial based on your performance as observed / reviewed by your Supervisor / Manager in the workplace.

## FORMATIVE KNOWLEDGE ASSESSMENT

### 1. MODEL ANSWER GUIDE

#### UNIT STANDARD: Conduct a disciplinary hearing

##### Essential Embedded Knowledge

1. Explain the importance of notifying all relevant role-players of the hearing in good time.

To ensure that all the relevant persons will be able and available to attend the hearing.
To ensure that all the required resources will be available and ready for the hearing.
To ensure that the hearing process is handled smoothly and without delay.

##### Essential Embedded Knowledge

2. Explain the importance of accurately identifying situations where the code of good conduct has been breached.

To ensure that the correct actions can be taken to promptly and effectively resolve the problem situation.
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##### Essential Embedded Knowledge

3. Explain the typical role and responsibility of a disciplinary committee.

To enforce the disciplinary code, rules and regulations of the organisation / body.
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#### Part 1: Multiple Choice Questionnaire

**Instructions:** Complete the following multiple choice questions by selecting the correct answer from the options provided. Mark your selection with an "X" below to indicate the correct choice/s.

##### Essential Embedded Knowledge

4. Identify the benefits of ensuring for "fair play" in an organisational context.

Choice A	Choice B	Choice C
There will be no benefits from doing this	To promote equality amongst all staff	To ensure for the advancement of specific staff only
	X	

##### Essential Embedded Knowledge

5. Identify the correct procedure to take in the event of non-conformances towards organisational procedures.

Choice A	Choice B	Choice C	Choice D
Report situation to supervisor or management to address	No actions are required	Commence disciplinary hearing immediately	Change organisational procedures to suit staff
X			

##### Essential Embedded Knowledge

6. Explain the importance of implementing efficient evidence gathering techniques to gather data and evidence.

To ensure that the data gathered and used will be accurate and reliable.
--

**Essential Embedded Knowledge**

7. Explain the typical implications of the Labour Relations Act on contract law in the workplace.  
Make use of two (2) example to explain your answer.

Example a
As per the learner's specific example selected for use.
Example b
As per the learner's specific example selected for use.

**Essential Embedded Knowledge**

8. Explain the importance of establishing a process that will outline how new policies and procedures should be developed in a business environment.

This will define and set a standard for the development requirements for new policies in the workplace.
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**Part 2: Multiple Choice Questionnaire**

**Instructions:** Complete the following multiple choice questions by selecting the correct answer from the options provided. Mark your selection with an "X" below to indicate the correct choice/s.

**Essential Embedded Knowledge**

9. Identify the implications for not adhering to relevant labour legislations.

Choice A	Choice B	Choice C	Choice D
This is not important at all	This may lead to legal repercussions and lawsuits	This may save the company time and money	This will have no impact at all
	X		

## SUMMATIVE KNOWLEDGE ASSESSMENT

### 2. MODEL ANSWER GUIDE

**US Reference: SO1 AC1**

1. Explain the difference between poor performance issues and misconduct issues in terms of how each should be handled.

Poor performance issues related to the under-par performance of an individual / staff member against the set performance requirements / expectations of their position. Misconduct issues relate to actions taken which are against company policies / rules / regulations.

**US Reference: SO1 AC2**

2. Explain the correct organisational procedure for instituting disciplinary action and applicable timeframes in terms of the legal requirements.

Efficient grounds / reasons / justification should be established to request for and institute the hearing process. The hearing process should only be approved and granted by the individuals approved to do so by the organisation.

*Applicable Timeframes*

**US Reference: SO1 AC3**

3. List examples of key role players in the disciplinary process and explain their roles and rights as it applies to the organisation.

Chair person. Secretary. Mediator. Witnesses. Roles and rights as per the examples provided by the learner.

#### FOR ASSESSOR

File Checked:

Date	Assessor Signature

This is to verify that the learner has completed all the above and has achieved competence.

Assessor Name: \_\_\_\_\_ Assessor Reg. No: \_\_\_\_\_

Assessor Signature \_\_\_\_\_ Date: \_\_\_\_\_

This is to verify that the assessor has observed me in the workplace.

Learners Name: \_\_\_\_\_ Learners Reg No: \_\_\_\_\_

Learners Signature: \_\_\_\_\_ Date: \_\_\_\_\_



## 3. ASSIGNMENTS

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**Instructions:** The following Assignments must be completed by yourself in full. Read the instructions carefully and ensure that you cover all the requirements of the Assignments thoroughly. Check to ensure that you referenced each Assignment correctly and included all the required attachments.

### Assignment 1: Unethical Behavior

**Instructions:** Conduct research and gather information to identify three (3) instances of unethical behavior and business conduct of customer service consultants in your industry.

Compile a report based on your findings of your research and include recommendations for actions which could be implemented to avoid similar instances from occurring in your own organisation.

Report: Evidence Requirements: Compile your report below or attach it on a separate sheet of paper and mark it as reference Module 1 Assignment 1.

### Assignment 2: Employee's Rights

**Instructions:** Conduct research and gather information to identify three (3) instances of situations where the rights of employees are undermined or ignored.

Compile a report based on your findings of your research and include recommendations for actions which could be implemented to avoid similar instances from occurring in your own organisation.

Report: Evidence Requirements: Compile your report below or attach it on a separate sheet of paper and mark it as reference Module 1 Assignment 2.

### Assignment 3: Disciplinary Procedures

**Introduction:** The following assignment requires you to plan for, participate in and review a disciplinary hearing conducted in your organisation.

Follow the steps below to effectively plan for, implement and review the process:

#### Step 1: Planning and Preparation

- Identify, collect and prepare all the require documentation needed for the hearing process including the notice of the hearing as issued to the staff member.
- Ensure that copies of the disciplinary policy and procedure is provided to all the stakeholders where required.
- Attach copies of the feedback / evidence / statements collected during the investigation of the allegations made as well as witness testimonials in support of the allegations and / or defense.

#### Step 2: Conduct Disciplinary Hearing

- Allow for the presentation of the hearing, evidence and defense in accordance with the hearing / disciplinary procedure of the organisation.
- Inform the candidate of the appeals process and requirements.
- Adhere to the timeframes / schedule of the hearing.
- Maintain accurate copies / minutes / records of the hearing.

#### Step 3: Review Process

- Consult with relevant stakeholders to identify possible improvements which could be made to the current hearing process.

- Make suggestions for possible changes and update the disciplinary policy and procedure once the changes have been approved by the relevant staff.

**Evidence requirements:** Attach copies of all the evidence collected in each step above and mark it as reference Module 1 Assignment 3.

***Important Hint:***

As part of your evidence, please record your interaction with staff or clients of the business which you have contacted or consulted with to gather information for this Assignment.

---

SAMPLE

## 4. OBSERVATION / PRACTICAL ASSESSMENT

### FOR OFFICE USE ONLY

**Instructions:** The following Observational / Practical Assessment will be completed by the Assessor based on the learner's performance against the outcomes of the Unit Standards in this Module.

#### Kindly Note:

- Direct observational evidence must be gathered where possible to address the relevant outcomes included in the observational / practical assessment.
- The observation checklist must be completed by the assessor by ticking (yes) to confirm the learner's competence in regards to the observational outcome or (no) if it was not completed.
- Comments must be made by the assessor where possible in support of the learner's performance and competence.
- Product sampling of evidence may also be requested from and submitted by the learner in relation to the required assessment criteria where appropriate.

### UNIT STANDARD: 255514 Conduct a disciplinary hearing

#### The assessor to complete the following:

Remember to cover all range items!!!!!!

Assessor to write observations or make clear references to evidence attached in the spaces provided.

**US REFERENCE: SO2 AC1**

1.	Dates:	Completed	
Observation Criteria		Yes	No
Observe the learner taking or requesting statements that meets legal and organisational requirements.			

**US REFERENCE: SO2 AC2**

2.	Dates:	Completed	
Observation Criteria		Yes	No
Observe the learner conducting the investigation in a fair and impartial manner.			

**US REFERENCE: SO2 AC3**

3.	Dates:	Completed	
Observation Criteria		Yes	No
Observe the learner discussing the options with relevant specialists to decide a way forward with the disciplinary action in terms of the organisation's disciplinary procedure.			

**US REFERENCE: SO2 AC4**

4.	Dates:	Completed	
Observation Criteria		Yes	No
Where no further action is required, the paperwork is completed and forwarded/filed according to organisational requirements.			

**US REFERENCE: SO3 AC1**

5.	Dates:	<b>Completed</b>	
Observation Criteria / Product Sample		Yes	No
Verbal/written notification to employees undergoing a hearing is given in terms of organisational prescripts.			
Assessor Comments			
<i>Learner to provide / Assessor to request a product sample of the written notification prepared / sent</i>			

**US REFERENCE: SO3 AC2**

6.	Dates:	<b>Completed</b>	
Observation Criteria		Yes	No
The employee is notified of his/her rights regarding the hearing in terms of legal and organisational requirements.			
Assessor Comments			
<i>Learner to provide / Assessor to request a product sample of the written notification prepared / sent</i>			

**US REFERENCE: SO3 AC3**

7.	Dates:	<b>Completed</b>	
Observation Criteria		Yes	No
The required information is identified and given to the employee prior to the hearing in terms of legal and organisational requirements.			

**US REFERENCE: SO3 AC4**

8.	Dates:	<b>Completed</b>	
Observation Criteria		Yes	No
Observe the learner effectively preparing for the hearing in terms of human and physical resources to meet the requirements of the organisation.			

**US REFERENCE: SO3 AC5**

9.	Dates:	<b>Completed</b>	
Observation Criteria		Yes	No
Observe the learner identifying the internal and external resources available to help with the process/decision making in terms of organisational policy.			

**US REFERENCE: SO4 AC1**

10.	Dates:	<b>Completed</b>	
Observation Criteria		Yes	No
Observe the learner clarifying the roles of all parties in the process at the start of the hearing in terms of legal and organisational requirements.			

**US REFERENCE: SO4 AC2**

11.	Dates:	<b>Completed</b>	
Observation Criteria		Yes	No
Observe the learner conducting the hearing in a manner that meets all legal and organisational requirements.			

**US REFERENCE: SO4 AC3**

12.	Dates:	<b>Completed</b>	
Observation Criteria		Yes	No
Observe the learner making a decision that meets the requirements from both a legal and organisational perspective.			

**US REFERENCE: SO4 AC4**

13.	Dates:	<b>Completed</b>	
Observation Criteria		Yes	No
The process meets procedural requirements from both a legal and organisational perspective.			

**US REFERENCE: SO4 AC5**

14.	Dates:	<b>Completed</b>	
Observation Criteria		Yes	No
A decision is made and the employee is advised of the decision following legal and organisational requirements.			

**US REFERENCE: SO4 AC6**

15.	Dates:	<b>Completed</b>	
Observation Criteria		Yes	No
Observe the learner notifying the relevant role players of the decision in a manner that ensures all the legal and organisational requirements are met.			

**Additional Practical Activity Checklist****US REFERENCE: CCFO**

1.	Dates:	<b>Completed</b>	
Observation Criteria		Yes	No
Observe the learner completing all tasks in an organised and efficient manner in line with current priorities and organisational requirements.			

**US REFERENCE: CCFO**

2.	Dates:	<b>Completed</b>	
Observation Criteria		Yes	No
Observe the learner identifying and solving problems in line with own responsibilities and area of operation.			

**US REFERENCE: CCFO**

3.	Dates:	<b>Completed</b>	
Observation Criteria		Yes	No
Observe the learner efficiently communicating with fellow staff and personnel in order to complete the required tasks in the workplace.			

**US REFERENCE: CCFO**

4.	Dates:	<b>Completed</b>	
Observation Criteria		Yes	No
Observe the learner assisting fellow staff members and personnel in the workplace where required.			

**US REFERENCE: CCFO**

5.	Dates:	<b>Completed</b>	
Observation Criteria		Yes	No
Observe the learner making use of available opportunities to develop their skills and abilities in the workplace to meet the requirements of their job role.			

SAMPLE

## 5. PERSONAL NARRATIVE

Answer the following questions based on your experience during the completion of this module. Discuss what you did well and what you would like to do differently.

	What went well?	What would I do differently?
1	<i>I was able to identify and solve problems effectively throughout the various activities completed in this module.</i>	
2	<i>I was able to understand how different workplace activities have an impact on each other.</i>	
3	<i>I was able to use new technology effectively in my daily tasks that I carried out.</i>	
4	<i>I was able to communicate effectively with my team members and supervisors.</i>	
5	<i>I was able to complete all my work in an organized and efficient manner.</i>	
8	<b>Additional Comments</b>	
	<b>Learner Name:</b>	<b>Signature</b>
	<b>Assessor Name</b>	<b>Signature</b>
	<b>Date</b>	<b>Date</b>

## 6. WITNESS TESTIMONY

**Instructions:** The following section must be completed by the learner's supervisor / manager in the workplace based on the learner's workplace performance. Kindly indicate with yes to verify that the learner has demonstrated this ability or knowledge effectively or no to indicate that the learner has not demonstrated this effectively.

*Constructive comments and testimonial evidence may also be attached in a separate document and referenced in the section below.*

Workplace Testimonial Comments and Evidence of Workplace Performance					
Unit Standard Title	SAQA ID:		Unit Standard Title	SAQA ID:	
Performance Outcomes	Yes	No	Performance Outcomes	Yes	No
Supervisor / Manager Testimonial			Supervisor / Manager Testimonial		
Testimonial Comments and Evidence of Workplace Performance					
Unit Standard Title	SAQA ID:		Unit Standard Title	SAQA ID:	
Performance Outcomes	Yes	No	Performance Outcomes	Yes	No
Supervisor / Manager Testimonial			Supervisor / Manager Testimonial		
Supervisor Acknowledgement					
Date:				Supervisor Signature	
Assessor Acknowledgement					
Date:				Assessor Signature	
Comments and Feedback					
Learner Acknowledgement					
Date:				Learner Signature	
Comments and Feedback					





FEEDBACK SECTION
Comments from Learner:

JUDGEMENT	
Meet the requirements: <input type="checkbox"/> Requires additional evidence: <input type="checkbox"/> Can continue to the next assessment: <input type="checkbox"/> Action required:	Do not meet the requirements: <input type="checkbox"/> Requires another assessment: <input type="checkbox"/> Requires another assessment by another assessment: <input type="checkbox"/> By when:
Assessor's feedback remarks	

Declaration by Learner					
I, _____ declare that I am satisfied that the feedback given to me by the Assessor was relevant, sufficient and done in a constructive manner. I accept the assessment judgment and have no further questions relating to this particular assessment instrument.					
Learner Name & Signature	Date	Assessor Name & Signature	Date	Moderator Name & Signature	Date

<b>ASSESSMENT DECISION</b>
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**Indicate with a tick in the relevant sections:**

The learner has not submitted sufficient evidence and is therefore not yet competent	
The learner is required to submit additional evidence against the following:	
The learner is required to improve in the following:	
The learner is required to be reassessed:	
The learner is required to be assessed by another assessor:	
The learner has submitted evidence that is valid, relevant, current, sufficient and authentic against all the listed specific outcomes and covered all range statements and critical cross field outcomes	
The learner is competent against the listed unit standards	
The learner can be issued with a unit certificate	
The learner has completed a full qualification	

Assessors full name & signature	Date
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<b>Declaration by Learner</b>
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I, \_\_\_\_\_ declare that I am satisfied that the assessment conducted by the Assessor was relevant, sufficient, and constructive. I accept the assessment decisions and have no further questions relating to this particular assessment process.

Learner name & sign	Date	Assessor name & sign	Date	Moderator name & sign	Date
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<b>Reassessment Decision</b>
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The learner has submitted evidence that is valid, relevant, current, sufficient and authentic against all the listed specific outcomes and covered all range statements and critical cross field outcomes	
The learner is competent against the listed unit standards	
The learner can be issued with a unit certificate	
The learner has completed a full qualification	

Assessors full name & signature	Date
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<b>Declaration by Learner</b>
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I, \_\_\_\_\_ declare that I am satisfied that the assessment conducted by the Assessor was relevant, sufficient, and constructive. I accept the assessment decisions and have no further questions relating to this particular assessment process.

Learner name & sign	Date	Assessor name & sign	Date	Moderator name & sign	Date
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EVALUATION OF ASSESSMENT					
Learner Name		Assessor name			
Unit Stds		Date			
Review dimension	Learner Yes No	Assessor Yes No	Action		
Were the principles / criteria for good assessment achieved?					
Did the assessment relate to the registered standard?					
Was the assessment practical?					
Was it time efficient and cost-effective?					
The assessment did not interfere with my normal responsibilities?					
Was the assessment instrument fair, clear, and understandable?					
The assessment judgment was made against set requirements?					
Was the venue and equipment functional?					
Were special needs identified and the assessment plan adjusted?					
Was feedback and communication constructive?					
Was an opportunity to appeal given?					
Was all evidence recorded?					
Were the review / evaluation process apparent and user friendly?					

Learner Declaration of Understanding					
I am aware of the moderation process and understand that the moderator could declare the assessment decision invalid					
Learner Name & Sign	Date	Assessor Name & Sign	Date	Moderator Name & Sign	Date