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ASSESSOR GUIDE

Lead and manage effective workplace relationships

Assessment 2 of 4

Case Study

Version 1.0

Assessment Instructions

Task overview

In this assessment, you will need to complete **four (4)** tasks related to the scenario provided.

Read instructions carefully before completing the tasks.

Supporting documents and resources:

To complete the assessment tasks, you will need to access the following:

- CBSA's **Code** of Ethics (HR005) (available on LMS)
- CBSA's **Communication Policy and Procedures (IM003)** (available on LMS)
- Legislation, regulations and standards relevant to workplace relationships.

	The following assessment tasks use a simulated business called Complete Business Solutions Australia (CBSA). To complete the assessment tasks, you will access information, templates and workplace documents associated with CBSA. You can access [CBSA's website](#) to familiarise yourself with what CBSA does and the services it provides.

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Assessment Information

Submission

You are entitled to three (3) attempts to complete this assessment satisfactorily. Incomplete assessments will not be marked and will count as one of your three attempts.

All questions must be responded to correctly to be assessed as satisfactory for this assessment.

Answers must be typed into the space provided and submitted electronically via the LMS. Hand-written assessments will not be accepted unless previously arranged with your assessor.

Reasonable adjustment

Students may request a reasonable adjustment for assessment tasks.

Reasonable adjustment usually involves varying:

- the processes for conducting the assessment (e.g. allowing additional time)
- the evidence gathering techniques (e.g. oral rather than written questioning, use of a scribe, modifications to equipment)

However, the evidence collected must allow the student to demonstrate all requirements of the unit.

Refer to the Student Handbook or contact your Trainer for further information.

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SCENARIO

For the purpose of this assessment, you are Jay Gartner, Business Compliance Specialist at CBSA.

To begin the assessment, read the following email, then complete the tasks that follow:

To:	Jay Gartner (jay.gartner@cbsa.com.au)
From:	Henry Thomas (henry.thomas@cbsa.com.au)
Date/time:	Friday 9:37 a.m.
Subject:	Employee Code of Conduct

To Jay,

At a recent management meeting, it was agreed that CBSA should introduce an Employee Code of Conduct so that employees are clear on the company's standards and expectations in relation to behaviour and performance related to their role.

Can I please ask you to prepare a draft Code of Conduct as follows:

- Use the CBSA Policy and Procedure template.

- Please refer to our existing HR005 Code of Ethics, policies and procedures as a guide, incorporating information from documents where possible.

- Please ensure the Code of Conduct addresses the following:

  – expected employee conduct in the workplace, including respect for diversity

  – expected standard of dress, including professional business attire, from Monday to Thursday. Casual clothing is permitted on Fridays unless there is a meeting with clients. However, clothing should be neat and presentable at all times.

  – privacy and confidentiality expectations regarding all company-related information

  – respect for differing interpersonal communication styles.

Once the draft is developed, email the draft Code of Conduct to employees explaining the key points and inviting them to provide their feedback on the draft. Once you collect and address their feedback, send through the draft Code of Conduct for management's review and approval.

Kind regards,

Henry Thomas

Governance Manager

300 Fictional Way, Sydney, NSW 2000

Phone: 1800 111 222

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Task 1

Using the template provided below, draft an Employee Code of Conduct. The draft must meet the expectations outlined in the **Governance Manager's email**, and it also must include:

- a description of the purpose of the Code of Conduct
- any legislation that supports the **company's** expectations regarding:
    - respect for diversity
    - privacy and confidentiality
    - respecting differing interpersonal communication styles.

Assessor Instructions

In the template provided, the student must draft an Employee Code of Conduct in accordance with the **Governance Manager's email**. The Code of Conduct must include the following:

- expected employee conduct in the workplace, including respect for diversity
- expected standard of dress, including professional business attire, from Monday to Thursday. Casual clothing is permitted on Fridays unless there is a meeting with clients. However, clothing should be neat and presentable at all times.
- privacy and confidentiality expectations regarding all company-related information
- respect for differing interpersonal communication styles.

The draft **Code of Conduct must reflect CBSA's Code of Ethics**, and it must include a description of the purpose of the Code of Conduct and any legislation that supports **the company's expectations regarding** the respect for diversity, privacy and confidentiality and respecting differing interpersonal communication styles. Students must use appropriate vocabulary, grammatical structure and conventions.

A sample answer is provided below.

CBSA POLICY AND PROCEDURE TEMPLATE
<<Add document's title>> **Code of Conduct** **Purpose:** <<add the document's purpose in about 20-50 words>> For example: 'This policy is designed to ensure that employees and management display professionalism in the workplace that reflects the behaviour and standards expected in order for employees to perform in their role.' **Code:** <<draft the content of the document in about 300-350 words>> For example: CBSA staff are expected to adhere to the following requirements:

1. Behaviour.

- CBSA staff must follow the values outlined in the Code of Ethics, such as being inclusive, honest, accountable, sustainable and professional.
- When interacting with other employees or clients, CBSA staff must appreciate diversity and should treat everyone with respect.
- Employees should not discriminate against internal/external customers on the basis of sex, age, race, religion, disability, pregnancy, marital status or sexual preference.

2. Dress code.

- Dress must comply with workplace health and safety regulations relevant to their work activities.
- CBSA staff must wear professional business attire from Monday to Thursday.
- Casual clothing is permitted on Fridays unless there is a meeting with clients. However, clothing should be neat and presentable at all times.
- Consult with your manager if you are unsure of the type of clothing appropriate to their position

3. Privacy and confidentiality.

- All company-related information must be handled with privacy and confidentiality.
- CBSA staff is not allowed to disclose any company-related information outside the office building.
- Staff must take reasonable steps to ensure any company-related material is kept secure against loss, unauthorised access, use, modification or disclosure, or misuse.
- Use personal information only for the purposes for which it was collected.
- Do not disclose personal information to another party unless the individual is aware of or has consented to the disclosure.
- Keep information about all service provisions confidential within the organisation.
- Do not disclose information associated either directly or indirectly with the organisation to external parties unless authorised by your manager

4. Respecting differing interpersonal communication styles.

- CBSA staff should make every effort to modify their communication style to meet the needs of others.
- Respect cultural differences demonstrated through communication styles.
- Keep it simple – use simple language and avoid words that are complex or those that have double meanings.
- Keep it formal – avoid communicating informally until you have a rapport with the customer.
- Seek clarification to ensure that your message has been understood.
- Ask for feedback to seek methods on how you could improve your communication.

Supporting Legislation:

<<add supporting legislation in about 10-50 words>>

For example:

- Work Health and Safety Act 2011
- Privacy Act 1988
- Age Discrimination Act 2004
- Australian Human Rights Commission Act 1986
- Disability Discrimination Act 1992
- Racial Discrimination Act 1975
- Sex Discrimination Act 1984
- Fair Work Act 2009

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Document Control:

Document Name:	Code of Conduct
Organisation:	Complete Business Solutions Australia (CBSA)
Status:	Draft
Approved by:	N/A
Approval Date:	N/A
Proposed Review Date:	N/A

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Task 2

a) Review **CBSA's Communication Policy and Procedures** and identify processes for workplace collaboration. In your response, include the collaboration methods preferred by CBSA, and for each method, briefly describe its key points.

(Approximate word count: 100-150 words)

b) In accordance with **CBSA's** Communication Policy and Procedures, write an email in the template provided below to all CBSA employees outlining the purpose and the key points of the draft Code of Conduct and invite them to provide feedback. The email must consist of 3-5 paragraphs and will include professional language and a clear consultation process outlined that you need to create for collecting feedback on the draft Code of Conduct. The process must explain the aspects of the draft you are seeking feedback on, how employees will provide feedback, a proposed deadline and what is going to happen once feedback is provided.

Copy Glenda Williams, HR Manager, and Sally Pierce, Executive Assistant, in your email by adding their name to the 'Cc' (i.e., 'carbon copy') section so they can provide feedback on the supporting legislation. Don't forget to attach the draft Code of Conduct by writing the document's name in the 'Attachment' section.

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Students must write an email to all employees using professional language to invite their feedback on the draft Code of Conduct. The 3-5-paragraph email must include:

- Clear consultation process outlined for collecting feedback on the draft Code of Conduct.
- The consultation process must explain:
  - the aspects of the draft the student is seeking feedback on
  - how employees will provide feedback
  - a proposed deadline by which the feedback must be provided by
  - what is going to happen once feedback is provided.
- **Have 'Draft Code of Conduct' written in the 'Attachment' section of the email template.**
- Have Glenda Williams, HR Manager, and Sally Pierce, Executive Assistant names added to the email template**'s 'Cc' section.**

A sample answer is provided below.

EMAIL TEMPLATE	
From:	Jay Gartner (jay.gartner@cbsa.com.au)
To:	All staff
Cc:	<<Add names of carbon copy email recipients here (leave blank if none)>> Glenda Williams, Sally Pierce
Bcc:	<<Add names of carbon copy email recipients here (leave blank if none)>> Students should leave this empty
Subject:	<<Add the email's subject here>> E.g., 'Consultation for draft Code of Conduct' or similar
Attachment:	<<Add attachment's name here>> Draft Code of Conduct

Good morning/Good afternoon <<Add recipient(s) here>>,

<<Add message here. Add as much space as necessary.>>

For example:

Good morning All,

I've been given the task from management to draft an Employee Code of Conduct so that all employees are clear on the company's standards and expectations with relation to behaviour and their performance related to their role.

Please find attached the draft Employee Code of Conduct; review the document and provide feedback by email by COB Friday.

When reviewing, please provide feedback on the main topics covered, such as behaviour, dress code, privacy and confidentiality and respecting differing interpersonal communication styles. When providing feedback, please consider whether you think it covers CBSA's expectations and whether you feel comfortable with the content.

Glenda and Sally, please also provide feedback on the supporting legislation and whether it is all covered sufficiently.

Once I receive feedback, I'll review and address it, make adjustments to the draft if required and submit it to senior management for approval.

If you have any questions, please don't hesitate to contact me.

Kind regards,

<<Add your name here>>
<<Add your job position here>>
Jay Gartner
Business Compliance Specialist

300 Fictional Way, Sydney, NSW 2000
Phone: 1800 111 222
www.cbsa.com.au

Task 3

At the end of the consultation, you have received the following feedback from employees:

- The HR manager, Glenda, suggested to dedicate a section to relevant policies and procedures where you should list the following:
    - CF003 Access, Equity and Anti-Discrimination Policy
    - HR005 Code of Ethics
    - IM003 Communication Policy & Procedures
    - IM004 Health and Safety Policy & Procedures
- Some employees inquired regarding flexible work arrangements and suggested allowing some sort of flexibility if possible. They also suggested having this information included in the Code of Conduct if agreed by senior management.
- The HR manager suggested adding a reference to **the employees'** KPIs as part of employee behaviour and performance. She also expressed her **concerns that you didn't consult her prior** to drafting the Code of Conduct as she is always involved in the development of organisational policies and procedures.
- Sally confirmed that all legislation was relevant and sufficient in the draft Code of Conduct.

When reviewing employees' feedback, you noticed that **two (2) employees didn't** provide any feedback, although they were in the office during the week. You decided not to take any actions as they knowingly have an introverted personality and they are usually too shy to speak up. Also, you decide that you have sufficient feedback provided anyway.

Review and evaluate the feedback provided, then write an email to Henry Thomas, Governance Manager, to summarise the **consultation's outcome**, list the modifications made and send the updated Code of Conduct for approval.

In your 3-5-paragraph email:
- summarise the **consultation's outcome**
- include any issues raised during the consultation that may need senior management approval
- inform the Governance Manager about the number of employees not providing feedback and
- address **the HR Manager's feedback** and comments.

Don't forget to attach the draft Code of Conduct by copying the **updated** draft Employee Code of Conduct after the email template. The updated Code of Conduct should incorporate **employees' suggestions.**

Assessor Instructions

Student must write a 3-5-paragraph email to Henry Thomas, Governance Manager to:
- summarise the consultation's outcome
- include any issues raised during the consultation (i.e., flexible working arrangements to be included in the Code of Conduct once discussed with and approved by senior management)
- inform the Governance Manager about 2 employees not providing feedback as they are introverts
- address **the HR Manager's feedback** (i.e., to include relevant policies and procedures in the Code of Conduct, add a reference to KPIs and that next time, she should be consulted separately).

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Students must copy the draft Code of Conduct after the email as an attachment and update it, making the modifications based on the consultation.

A sample answer is provided below.

EMAIL TEMPLATE	
From:	Jay Gartner (jay.gartner@cbsa.com.au)
To:	Henry Thomas (henry.thomas@cbsa.com.au)
Cc:	<<Add names of carbon copy email recipients here (leave blank if none)>> Student should leave this empty
Bcc:	<<Add names of carbon copy email recipients here (leave blank if none)>> Student should leave this empty
Subject:	<<Add the email's subject here>> E.g., 'Draft Code of Conduct for approval' or similar
Attachment:	<<Add attachment's name here>> Draft Code of Conduct

Good morning/Good afternoon <<Add recipient(s) here>>,

<<Add message here. Add as much space as necessary.>>

For example:

Good morning Henry,

As per your instructions, I've drafted an Employee Code of Conduct so that all employees are clear on the company's standards and expectations in relation to behaviour and performance related to their role. I sent out the draft Code of Conduct to all employees for review, and they provided feedback and suggestions, except 2 employees who are usually too shy to speak up.

I made adjustments to the initial draft to incorporate everyone's feedback on the main topics, such as behaviour, dress code, privacy and confidentiality and respecting differing interpersonal communication styles. As per Glenda's feedback, I've added relevant policies and procedures and references to KPIs. Sally confirmed that all legislation was relevant and sufficient in the draft Code of Conduct.

Some employees were suggesting including flexible working arrangements. It would be great if you could provide some guidance about what I should include regarding this.

I also want to inform you that Glenda expressed her concerns that she wasn't consulted separately prior to asking for all employees' feedback, and next time, she wants to be consulted separately in matters related to policies and procedures.

Let me know if I should make any adjustments to the Code of Conduct and what to include regarding flexible working arrangements. Also, please advise on what's the next step from here.

Kind regards,

<<Add your name here>>
<<Add your job position here>>
Jay Gartner
Business Compliance Specialist

300 Fictional Way, Sydney, NSW 2000

Phone: 1800 111 222
www.cbsa.com.au

ATTACHMENT

CBSA POLICY AND PROCEDURE TEMPLATE

<<Add document's title>>

Code of Conduct

Purpose:
<<add the document's purpose in about 20-30 words>>

For example: 'This policy is designed to ensure that employees and management display professionalism in the workplace that reflects the behaviour and standards expected in order for employees to perform in their role.'

Code:
<<draft the content of the document in about 300-400 words>>

For example:
CBSA staff are expected to adhere to the following requirements:

1. Behaviour/Performance.
- CBSA staff must follow the values outlined in the Code of Ethics, such as being inclusive, honest, accountable, sustainable and professional).
- When interacting with other employees or clients, CBSA staff must respect diversity and should treat everyone with respect.
- Employees should not discriminate against internal/external customers on the basis of sex, age, race, religion, disability, pregnancy, marital status or sexual preference.
- All staff should perform according to the KPIs relevant to their roles.

2. Dress code.
- Dress must comply with workplace health and safety regulations relevant to their work activities.
- CBSA staff must wear professional business attire from Monday to Thursday.
- Casual clothing is permitted on Fridays unless there is a meeting with clients. However, clothing should be neat and presentable at all times.
- Consult with your manager if you are unsure of the type of clothing appropriate to their position

3. Privacy and confidentiality.
- All company-related information must be handled with privacy and confidentiality.
- CBSA staff is not allowed to disclose any company-related information outside the office building.
- Staff must take reasonable steps to ensure any company-related material is kept secure against loss, unauthorised access, use, modification or disclosure, or misuse.
- Use personal information only for the purposes for which it was collected.

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- Do not disclose personal information to another party unless the individual is aware of, or has consented to, the disclosure.
- Keep information about all service provisions confidential within the organisation.
- Do not disclose information associated either directly or indirectly with the organisation to external parties unless authorised by your manager.

4. Respecting differing interpersonal communication styles.
- CBSA staff should make every effort to modify their communication style to meet the needs of others.
- Respect cultural differences demonstrated through communication styles.
- Keep it simple – use simple language and avoid words that are complex or those that have double meanings.
- Keep it formal – avoid communicating informally until you have a rapport with the customer.
- Seek clarification to ensure that your message has been understood.
- Ask for feedback to seek methods on how you could improve your communication.

5. Flexible working arrangements.
TBC

Supporting Legislation:
<<add supporting legislation in about 10-50 words >>

For example:
- Work Health and Safety Act 2011
- Privacy Act 1988
- Age Discrimination Act 2004
- Australian Human Rights Commission Act 1986
- Disability Discrimination Act 1992
- Racial Discrimination Act 1975
- Sex Discrimination Act 1984
- Fair Work Act 2009

Supporting Policies and Procedures:
- CF003 Access, Equity and Anti-Discrimination Policy
- HR005 Code of Ethics
- IM003 Communication Policy & Procedures
- IM004 Health and Safety Policy & Procedures

Document Control:

Document Name:	Code of Conduct
Organisation:	Complete Business Solutions Australia (CBSA)
Status:	Draft
Approved by:	N/A
Approval Date:	N/A
Proposed Review Date:	N/A

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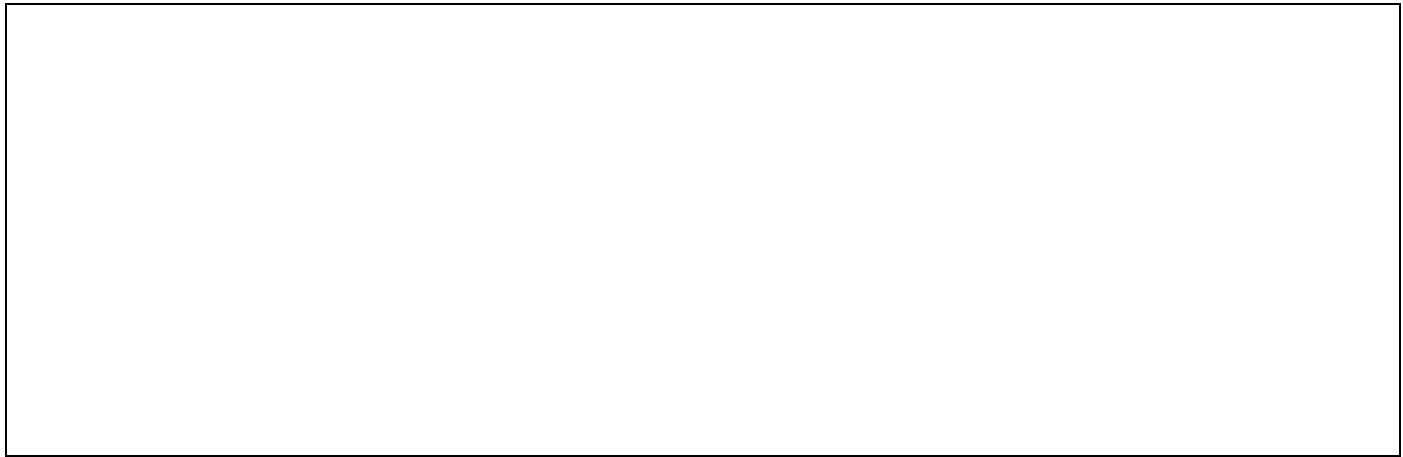
Task 4

Henry Thomas, Governance Manager was pleased with the draft Code of Conduct. He called you immediately after receiving and reviewing the draft Code of Conduct to reassure **you that he'll add** a sentence regarding flexible working arrangements, allowing staff to work from home one day a week. The day for working from home should be agreed upon with in-line managers.

In the following table, you can see **Henry's comments and** questions regarding your leadership. Respond to these questions in the spaces provided.

Assessor Instructions

Student must **respond to Henry's comments and questions listed in the table**, in line with the word count. A sample answer is provided below:

COMMENTS/QUESTIONS	YOUR RESPONSE
Two (2) employees **didn't provide feedback.** Henry contacted them individually to ask them whether they feel comfortable with the new Employee Code of Conduct and to provide any feedback they may have. In the future, he expects you to make every effort to contact all employees and collect their feedback on matters relevant to them. Explain why you should try to collect feedback from all employees on matters related to them. (50-70 words)	Students should explain that leaders should be aware of personality types within their team and give opportunities for introverts as well to provide feedback, especially on matters relevant to them. Also, employees may have missed the initial email asking for feedback, so it is a good idea to send reminders closer to the deadline. With either effort, employees would feel valued, which would boost their morale and performance.
Learning from the consultation related to the Code of Conduct, identify a minimum of **two (2)** areas of improvement related to your leadership of workplace relations.	Students should select 2 from the following: 1. Consult with the HR manager first regarding questions related to policies and procedures.

(30-40 words)	2. Send reminders to the team closer to project deadlines to ensure everyone is on the right track and no one is missing out.
	• Build positive relationships with team members to be aware of personality types within the team and adapt your communication and leadership to cater to them.

Assessment Checklist

Students must have completed all questions within this assessment before submitting. This includes:

Task 1	Draft Code of Conduct	☐
Task 2	a) Respond to the question based on the Communication Policy and Procedure	☐
	b) Write an email to all staff to collect feedback on the draft	☐
Task 3	Write an email to the Governance Manager to summarise feedback collected and attach an updated Code of Conduct	☐
Task 4	Respond to the 2 questions in the table	☐

Congratulations! You have reached the end of Assessment 2

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