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| **Qualification details** | | | |
| **Qualification National**  **Code & Title** | **ICT40120 - Certificate IV in Information Technology – Programming (Release 1)** | **State code** | AC07 |
| **Qualification National**  **Code & Title** | **ICT40120 - Certificate IV in Information Technology – Networking (Release 1)** | **State code** | AC10 |
| **Qualification National**  **Code & Title** | **ICT40120 - Certificate IV in Information Technology – General (Release 1)** | **State code** | BFF9 |

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| **Assessment Title**  *(as per DAP)* | **Assessment 1 Code of Ethics - Considerations and Compliance** | | | | |
| **Unit National Code**  **& Title** | **ICTICT451 Comply with IP, ethics and privacy policies in ICT environments** | | | **State code** | OBU08 |
| **Date Due** | Week 10 | **Date Received** | Week 2-3 | | |
| **Student Name & ID** | Richard Pountney 30007736 | | | | |
| **Student Declaration** | I declare that the evidence submitted is my own work:  RBP  ………………………………………………………….. | | | | |

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| **Assessor Name** |  | | | | | | |
| **Assessment Decision** | Satisfactory | | | Not Yet Satisfactory | | | |
| **Is student eligible for reassessment (Re-sit)?** | Yes | | No | **Reassessment Date** | | |  |
| **Assessor Signature** |  | | | **Date** | | |  |
| **Feedback to student** | | | | | | | |
| *Via Blackboard (LMS) – Please check [Grade] section.* | | | | | | | |
| **Feedback from student** | | | | | | | |
| *Via Blackboard (LMS) – Please use [Comment] section during submission.* | | | | | | | |
| **Student signature** | |  | | | **Date** |  | |

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| **Assessor Instructions** | |
| **Type of Assessment** | In Class, face to face |
| **Duration of Assessment** | 3 weeks |
| **Location of Assessment** | Blackboard |
| **Conditions** | Gather and observe evidence from the students as they perform the tasks. Students must complete all requirements of the assessment. Use the marking guide to confirm that students have completed the tasks correctly. |
| **Marking Checklist** | See Assessment1-MarkingGuide.docx |
| **Due Date** | Week 5 |
| **Student Instructions** | |
| **Purpose of Assessment** | The candidate must demonstrate the ability to complete the tasks outlined in the elements, performance criteria and foundation skills of this unit, including evidence of the ability to:   * Evaluate and implement at least three different types of intellectual property (IP) within an organisation * Assist, on at least two occasions, with the development and implementation of organisational IP, ethics and privacy policy and procedures. * In the course of the above, the candidate must:   + Assist with maintenance of organisational IP, ethics and privacy policy procedures   + Review potential risks and non-compliance incidents   + Contribute to the development of non-compliance incident recommendations.   The candidate must also be able to demonstrate knowledge to complete the tasks outlined in the elements, performance criteria and foundation skills of this unit, including knowledge of:   * key legislation required to evaluate and implement IP in the ICT industry * key policies, procedures and documentation in the ICT industry, including those related to:   + organisational IP policies and procedures   + codes of ethics pertinent to the ICT industry   + privacy   + key organisational communication processes and procedures related to identifying IP, ethics and privacy policies in ICT environments. |

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| **Duration of Assessment** | 3 weeks |
| **Location of Assessment** | Blackboard |
| **Reasonable adjustment** | In some circumstances, adjustments to assessments may be made for you. If you require support for literacy and numeracy issues; support for hearing, sight or mobility issues; change to assessment times/venues; use of special or adaptive technology; considerations relating to age, gender and cultural beliefs; format of assessment materials; or presence of a scribe you need to inform your lecturer. |
| **Required Resources** | Students will need a USB drive to save their work on. |
| **Assessment Submission** | All questions and activities must be attempted.  Use of research tools and peers in formulating answers is acceptable – but work submitted must be your own work.  Final project documentation is to be uploaded to the appropriate area in the Blackboard course created for this unit.  If you are marked as NYS (Not Yet Satisfactory) on your first attempt, you will be provided with another opportunity to re-attempt the assessment. |
| **Skills being assessed** | * Ability to use workplace health and safety practices for an office. * Ability to identify and fulfil requirements of a brief or set of tasks. * Ability to use appropriate software for completion of the assessment. * Ability to review, evaluate, correct and upload work to blackboard. |

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| **Assessment Contents** |
| CONTEXT:  This assessment investigates the skills and knowledge required to comply with the protection and lawful use of intellectual property (IP) and to implement relevant organisational ethics and privacy policies. With this in mind you need to have knowledge of the different approaches and procedures adopted by different organisations and businesses in the real world.  **Q1 SELF INTEREST and CONSEQUENCES**  You need to find and read about three different organisations that have recently received unfavourable publicity due to ethical issues. Find their privacy policies and procedures, (often included in their Terms and Conditions) and consider how they applied or breached their own procedures.  The organisations could have behaved unethically towards employees, customers or general public.  Discuss their conduct below and the negative impact of their behaviour on their organisation.  **INCLUDE all references to source information.**   |  |  |  | | --- | --- | --- | | **Organisation’s Name** | **How did the organisation not comply with their own IP, ethics and privacy policy procedures?** | **How was the Organisation affected?** | | **1.** Blizzard | Discrimination, sexual harassment, equal opportunity | $18 million in settling the case | | **2.** Ubisoft | Sells NFTs when most of the worker said no, low pay, abuse, toxicity, discrimination | It has affected them very badly by losing a lot of workers | | **3.** Apple | Minimal pay, non-eco-friendly supplier | Damaging the environment | | **4.** What support and advice would you give to these organisations regarding the operation of their IP, ethics and privacy policies and procedures?  Review your code of conduct & code of ethics and fix what you are doing wrong by it. Also pay attention to your workers & make it better for everyone. | | |   **Q2 CONFLICT OF INTEREST**  **Read the following scenario:**  *Peter is working as an IT Officer at a City Council of Perth, and he was recently assigned to participate in the office equipment upgrade which involves selection of an IT equipment supplier. During the weekends Peter helps his family member who owns a business that builds and sells computers. He does not get paid for this work, but he gets remunerated if he brings in new customers. Since Peter knows and trusts the quality of their products and services, he is confident that the service arrangements would be reliable and beneficial for both organisations. They proceed to be involved in the process of awarding the tender to the Peter’s family’s business without disclosing that they have a direct interest.*   1. What are the potential conflicts of interests in this scenario?   Conflict of interest based on it being Peter’s family.  Conflict of interest as there were no other suppliers that were mentioned.   1. Explain why Peter needs to advise his place of work about this situation?   Peter should advise that it is his family’s business & that he will be remunerated for bringing in new customers for them.   1. What would you do if you were in Peter’s situation?   I would double check the polices & procedures before even thinking about choosing the family’s business.  I would research other IT equipment suppliers recommended.   |  |  | | --- | --- | | **Q3 COMPARING ETHICAL CODES**  **Context:**  In order that you can evaluate and implement organisational IP, ethics and privacy policy procedures you need to know what these policies and procedures contain.  Read both the ACS and SAGE Code of Ethics below:  **ACS : Australian Computer Society Code of Ethics** |  |     <https://www.acs.org.au/content/dam/acs/acs-documents/Code-of-Ethics.pdf>   |  |  | | --- | --- | | **SAGE :** |  |     <https://www.itpa.org.au/media/files/page/336361e4/code_of_ethics.pdf>   1. List and explain some of the similarities you can find in both codes.   *e.g. Both ACS and SAGE promote ...*   1. Equal opportunity within the organisation (SAGE: Fear treatment, ACS: The Primacy of the Public Interest, The Enhancement of Quality of life) 2. Enhancement of personal development (ACS: Professional Development, SAGE: Education) 3. Honesty & Social representation (ACS: Honesty, Competence, Professionalism, SAGE: Honesty, Social Responsibility) 4. List and explain the difference you can find in both codes.   *e.g. The difference between ACS and SAGE code of ethics is...*   1. SAGE has a Privacy Code of Ethic while ACS doesn’t have one or even mention it. 2. SAGE has a Communication Code of Ethic while ACS doesn’t have one or even mention it. 3. SAGE has a System Integrity Code of Ethic while ACS doesn’t have one or even mention it  **Q4 PROTECTING SHAREHOLDER RIGHTS** Read the scenario below and the answer following questions.  *Software Development Company has just produced a new software package that incorporates the new tax laws and figures taxes for both individuals and small businesses. The president of the company knows that the program has a number of bugs. He also believes the first firm to put this kind of software on the market is likely to capture the largest market share.*  *The company widely advertises the program. When the company actually ships a CD, it includes a disclaimer of responsibility for errors resulting from the use of the program. The company expects it will receive several complaints, queries, and suggestions for modification. The company plans to use these to make changes and eventually issue updated, improved, and debugged versions. The president argues that this is general industry policy and that anyone who buys version 1.0 of a program knows this and will take proper precautions. Because of bugs, a number of users may file incorrect tax returns and maybe penalized by the ATO.*   1. What are the potential ethical issues that this situation raises?   That the president already knows that there are issues with the program & still going to sell it anyway.   1. What would you do if you were the President of this company?   Hold off from selling it & give a copy of it to a small group to play test it & give feedback.   1. How would you judge that the software produced by yourself was of good quality?   You would have got a small group to play test it & give feedback if it seems good quality & you would check yourself.  You would also cross reference with products that already exist. **Q5A CREATE A CODE OF ETHICS** **Context:**  By creating your own code of ethics or your own company you take a moral perspective from the point of view of an organisation. This perspective concentrates mainly on the welfare of the organisation.  By creating a grievance procedure you identify your own role within the organisation and perceive a moral perspective from the point of view of an employee.   1. Write your OWN code of ethics for a software production company that you own. Describe how the code will assist with the maintenance, development and implementation of IP, ethics and privacy policy and procedures. Include how you would report and deal with none compliance.   **Use the template below and ACS and SAGE Codes of Ethics as guides**  **CODE OF ETHICS for COMPANY NAME/LOGO**  **INTRODUCTION**  *Provide a brief explanation about the purpose of this Code of Ethics, 2-3 sentences*  **INSERT HEADING 1** *(e.g. Honesty)*  *Provide a brief explanation about your statement, 1-2 sentences (e.g. You will be honest about ......)*  **INSERT HEADING 2**  **INSERT HEADING 3**  **INSERT HEADING 4**  **Etc.**  [**AT01 Q5 Code of Ethics for Rainbow Hero Co By Richard Pountney.docx**](AT01%20Q5%20Code%20of%20Ethics%20for%20Rainbow%20Hero%20Co%20By%20Richard%20Pountney.docx)  Submit your completed assessment to your lecturer before uploading to Blackboard.  Submit electronically using the method requested by the lecturer  **Q5B** GRIEVANCE REPORTING  Develop a simple procedure you could implement to enable confidential reporting of grievances, complaints, and non-compliance with the code of ethics in a workplace.  Use the template below.  **EMPLOYEE GRIEVANCE PROCEDURE for COMPANY NAME/LOGO**  **INTRODUCTION**  *Provide a brief explanation of the purpose of this procedure, 2-3 sentences*  **GRIEVANCE REPORTING**  *What an employee should do if she/he would like to report grievance? Who should they contact first and how should they attempt to resolve the issue before escalating to management?*  **INFORMAL REPORTING**  *What should an employee do if the issue was not resolved?  What could be done in writing? What will happen next?*  **FORMAL REPORTING**  *What is the next step in grievance reporting?  What could be done in person? What will happen next?*  **APPEALS**  *What an employee should do if they are not satisfied with the outcome?  How can they appeal the decision? What is the latest day they can appeal?* **CONFIDENTIALITY**  *What methods are used to ensure employees confidentiality when resolving grievances?*  **Use these links to get a better idea about the format and contents:**   * <https://www.citems.com.au/wp-content/uploads/2021/01/CITEMS-EEO-Anti-Discrimination-Policies-and-Procedures_v1.0.pdf> * <https://www.dartmouth.edu/hrs/pdfs/Equal_Opportunity_Grievance_Procedure.pdf> * <https://www.nidirect.gov.uk/articles/grievance-procedures>  **Q5C INTRODUCE TO STAFF**Explain in a paragraph how you would introduce this code of ethics to your staff. **Q5D COMPLIANCE**  List a minimum of three (3) ways on how would you ensure that workers within your organization obeyed the code of ethics?  **Q5E REVIEW PROCEDURE**  A code of ethics policy should be reviewed regularly. Describe ways you can ensure that your code of ethics policy is relevant and up to date.  **Q5F FEEDBACK CAPTURE**  List 5 questions that you could ask in an interview or a questionnaire in order to capture feedback from employees or customers regarding whether or not they are receiving consistent and appropriate service in dealing with the code of ethics.  *(e.g. Professional Development: Do you believe you are provided with the opportunities to develop and grow professionally?)*         **Q5G** Create a series of PowerPoint slides and notes for an imaginary to staff presentation of your Code of Ethics. You are **not** going to actually present the presentation just create it.  Introduce yourself, your company and purpose of the presentation on slide 1   * + Discuss all sections of your Code of Ethics   When you have completed your presentation Choose a class colleague to evaluate your presentation with the following form.   |  |  |  | | --- | --- | --- | | **QUESTION** | **Y/N** | **NOTES AND COMMENTS** | | 1 Was the presentation easy to follow and understand? |  |  | | 2 Were each of the following fundamental principles covered? | | | | * Integrity |  |  | | * Objectivity |  |  | | * Bullying and harassment |  |  | | * Grievance and reporting procedures |  |  | | * Privacy |  |  | | * Professional behaviour |  |  | | * Professional Competence |  |  | | * Confidentiality |  |  | | **NOTE: Correct any points highlighted and brought to your attention by this peer evaluation.** | | |   You Must include references to all information, video and picture sources. If your work is not referenced it will be considered as PLAGIARISM. |