Assessment Task 2a: Code of Ethics

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| Course code and name | **ICT50220 Diploma of Information Technology** |
| Unit code and name | ICTICT532 Apply IP, ethics and privacy in ICT environments |
| Due date | As on Moodle |
| Resources required | * Access to ICTICT532 Moodle Site * Access to computer and internet * Microsoft Word Application * Student Resource * Company Background Information (APPENDIX A) * Code of Ethics (APPENDIX C) |
| Decision making rules | * To achieve an overall satisfactory result for this assessment task:   • All questions must be answered satisfactorily |
| Learner instructions | This task is a set of written questions.  For this task you will:  • Complete it individually.  • Write answers to all questions  • Complete it in your own time and submit it by the due date.  • Have time to read and review the assessment task in class.  • Submit your answers electronically via Moodle.   * You must answer electronically and save the document as Assessment Task 2(a) StudentID.docx * You must agree (by clicking on the ‘I confirm’ radio button) with the assessment submission terms and conditions in Melbourne Polytechnic Moodle prior to the submission. * If you have any questions about the task or concerns about your ability to complete the task, please discuss this with your Assessor. |

## Part 1 – Developing and maintaining a Code of Ethics

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| 1 | List 4 steps involved in developing an ethics code. For each step, provide a description and the reason why this step is required using your own words.  (30 to 70 words for each step) | | |
| **Step 1** | | **Satisfactory** | **Unsatisfactory** |
| Assemble a team to develop the code of ethics:  Commence by forming a team that is varied and comprises individuals from diverse departments and hierarchical levels within the organization. This collective will be tasked with outlining the strategy, establishing a timeline, and assigning responsibilities pertaining to the creation of the code of ethics. | |  |  |
| **Step 2** | | **Satisfactory** | **Unsatisfactory** |
| Formulate the code of ethics:  Undertake thorough research by consulting supporting resources, examining relevant legislation, and conducting workshops and feedback sessions. Ensure that the initial code of ethics aligns with the company's objectives and values by leveraging the acquired information to craft it. | |  |  |
| **Step 3** | | **Satisfactory** | **Unsatisfactory** |
| Gather input:  Distribute the document to the team for evaluation, and if necessary, seek input from external stakeholders. Accumulate feedback to identify any potential issues, practical challenges, or areas necessitating enhancements in the code of ethics. | |  |  |
| **Step 4** | | **Satisfactory** | **Unsatisfactory** |
| Evaluate, modify, and finalize:  Implement the necessary adjustments and enhancements to the preliminary document based on the feedback received. Review and refine the code multiple times to ensure it meets the team's criteria. Following completion, submit it to relevant personnel for approval prior to implementation. | |  |  |

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| 2 | Who should you include in the process of the development of a Code of Ethics? List 3 types of stakeholders and explain why you have selected these people.  (15 to 30 words per stakeholder) | | |
| **Stakeholders and explanation** | | **Satisfactory** | **Unsatisfactory** |
| 1  Every employee:  As they form the cornerstone of any company or organization, staff members are crucial to establishing a code of ethics. Staff involvement can elevate an organization's ethical benchmarks even further. | |  |  |
| 2  Seek advice from customers:  Clients play a pivotal role as they can provide insights stemming from their individual experiences, etc. This input aids in the formulation of fair and ethical practices. | |  |  |
| 3  Seek input from suppliers and other stakeholders:  The parties involved have different backgrounds and insights into the industry, so gathering their feedback is crucial to developing a successful code of conduct within any agency. | |  |  |

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| 3 | What methods do you use to perform regular checks to confirm if the Code of Ethics is followed and effective? List and briefly explain 3 methods. | | |
| **metHods** | | **Satisfactory** | **Unsatisfactory** |
| Method 1  Utilizing interviews can ascertain if employees have encountered challenges in upholding the code of ethics or if they have observed others facing such difficulties. | |  |  |
| Method 2  Employing observations can establish whether employees consistently comply with the Code of Ethics during their routine tasks. | |  |  |
| Method 3  Reviewing the ethical complaints log can reveal if any customers have raised issues indicating a potential violation of the code of ethics. | |  |  |

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| 4 | Briefly explain in your own words the relevance of each of the following contents that are found in a Code of Ethics. Use examples to help explain each heading.  (20 to 50 words for each explanation). | | |
| **Code of ethics contents** | | **Satisfactory** | **Unsatisfactory** |
| Company vision and mission statement  This segment guides employees in their daily endeavours by delineating the overarching goals and purpose of the organization.  For instance, if a company aims to provide healthcare affordably, its code of ethics might underscore integrity and empathy in patient care. | |  |  |
| Principles and Values  This articulates the fundamental values and principles upheld by the organization.  For example, if diversity and inclusion are core values, the company's code of ethics may emphasize fair and respectful treatment of all employees, irrespective of their backgrounds. | |  |  |
| Ethical codes of practice  This segment outlines specific behaviours and actions aligned with the organization's ethical standards.  For instance, if honesty is paramount, the code may provide guidelines on avoiding conflicts of interest and accurately reporting financial information. | |  |  |
| Complaints and grievance procedure  This delineates the process through which employees can raise concerns or report unethical conduct. A well-defined protocol promotes transparency and accountability, ensuring prompt and impartial resolution of ethical breaches.  窗体顶端 | |  |  |

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| 5 | Explain the process you would use to seek signed-off on the organisation’s Code of Ethics? Consider who should sign off and the process involved to get the sign-off from those stakeholders.  (30 to 50 words) | | |
|  | | **Satisfactory** | **Unsatisfactory** |
| I'd begin by distributing the initial draft of the organization's code of ethics to key stakeholders for their review and feedback, including top management, legal advisors, and relevant department heads. Following any necessary revisions, I'd circulate the finalized version for approval. To demonstrate collective support and commitment to upholding the code, I'd ensure that all involved parties provide their signatures endorsing it. | |  |  |

## Part 2 – Review and update Reconstruction IT Solutions’ Code of Ethics

As part of this task, you are required to review and update the Code of Ethics for Reconstruction IT Solutions. **Total minimum** w**ord count of 500 words.**

The following steps will guide you in the process:

1. Review the information provided for Reconstruction IT Solutions in **APPENDIX A**.
2. Review the current Code of Ethics in **APPENDIX C**.
3. Identify shortcomings and gaps to meet industry standards relevant to Code of Ethics. Conduct research and consultation to help identify relevant information.
4. **Using your own words** update the Code of Ethics for Reconstruction IT Solutions by completing the missing information using the provided Code of Ethics template. Ensure to consider the audience (employees of Reconstruction IT Solutions) when writing the content.
5. Provide details on how you gathered relevant information in the provided section below the policy template.
6. Distribute a copy of the policy to your Assessor via email and ask for feedback sign-off.

| RECONSTRUCTION IT SOLUTIONS  Code of Ethics | |
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| Company vision and mission statement | In every aspect of Reconstruction IT Solutions' corporate endeavours, we are committed to maintaining the utmost ethical standards. This ethical code establishes a framework for ethical decision-making for all employees, delineating the values and principles guiding our conduct.  Vision: Our aspiration is to emerge as a leading provider of innovative IT solutions that advance societal advancement alongside business prosperity.  Mission: We are dedicated to delivering exceptional value to our clients through the utilization of cutting-edge technology, unparalleled service, and steadfast honesty. |
| Principles | Integrity is our policy:  Our communications are not only factually accurate, but also honest and transparent. We remain open and honest in our internal and external communications, including discussions about the performance of our business.  respect others:  We appreciate the contributions of others and value their perspectives, ensuring fairness in all interactions.  responsibility:  We acknowledge the impact of our actions, promptly correct errors, and do not retaliate against those who raise concerns or seek clarification. |
| Values | At Reconstruction IT Solutions, we hold honesty, transparency, and respectful engagements with our clients and stakeholders in high regard.  All Reconstruction IT Solutions employees must maintain and enhance the integrity, respect, and efficacy associated with professionalism. This involves, beyond abiding by the law and being a responsible citizen, adhering to ethical standards of conduct. |
| Ethical codes of practice | * Confidentiality: We ensure the confidentiality and proper handling of any confidential data entrusted to us by partners, clients, and colleagues. * Avoidance of Conflicts of Interest: We refrain from situations where our personal interests may conflict with those of Reconstruction IT Solutions, disclosing any potential conflicts and seeking guidance as necessary. * Adherence to Regulations: We conduct our operations with integrity and in compliance with ethical norms, following all relevant laws, regulations, and internal policies. |
| Review procedure | * Hold semi-annual review sessions. * Engage all stakeholders in the evaluation procedure. * Record and update all changes discussed. |
| Complaints and grievance procedure | Reconstruction IT Solutions fosters a secure and supportive work environment where employees feel comfortable raising concerns or grievances. Any staff member with ethical concerns or suspicions of a code of ethics violation should report it to the Ethics Committee, HR, or their immediate supervisor. Reports will be promptly investigated and addressed.  For external concerns regarding legal rights or ethical conduct, clients, suppliers, or stakeholders can utilize our internal complaints process through various channels:  1. Online web form for 'Ethical misconduct' on www.reconstructionIT.com.au  2. By mail to Reconstruction IT Solutions at Bell Street, Preston, VIC  3. By phone: 1600 123 123, Monday to Friday, 8 am to 8 pm (AEST)  Complaints will be handled by our Compliance Officer and Ethics Project Team, with responses provided within seven business days. Dissatisfied individuals may refer the matter to the Mediation Centre for an impartial ruling, which Reconstruction IT Solutions will respect and comply with.  Employee grievances regarding unethical practices within the company or in interactions with others can be reported anonymously via SharePoint using the 'Ethical misconduct' web form. These reports will be thoroughly investigated by the Compliance Officer and Ethics Project Team, potentially involving neutral investigations or legal bodies. |

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| Document 2 types of sources of information you have used to assist you in the development of the Privacy Policy. One must involve the consultation of other people, e.g. industry specialists, team members, supervisor (but not your Assessor). The other must involve technology, e.g. the internet.  For each source, provide details such as the person's name/s, date of consultation, contact number or email of the person/s consulted, where the consultation occurred, how it occurred, the information you have gathered during this consultation, website links you have used, etc.  If possible, submit evidence such as copies of correspondence (e.g. emails) for the consultation. If you can’t attach any evidence, then your Assessor may need to contact the person/s you have listed to confirm that the consultation/s took place. | | |
| **Sources of Information** | **Satisfactory** | **Unsatisfactory** |
| Source 1: Consultation  A citation needs to include discussion. This could entail an industry expert, a peer, a supervisor, or another person. The student ought to record details concerning the discussion to facilitate confirmation, for instance, via a telephone conversation. |  |  |
| Source 2: Other source using technology.  The subsequent reference can vary in type but must incorporate technology. This could entail utilizing the internet via a computer or smartphone. If this is the case, then the student must list below the web links utilized to inform this assignment. |  |  |

## Part 3 – Grievance and Complaints Procedures

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| 1 | List 3 methods you can use to seek feedback about a grievance procedure. | | |
| **methods** | | **Satisfactory** | **Unsatisfactory** |
| Method 1  Solicit anonymous input from staff members regarding grievance protocols via an online survey, such as through staff portals. | |  |  |
| Method 2  Conversing with compliance officials | |  |  |
| Method 3  Career growth engagements | |  |  |

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| 2 | In your own words, explain the reason why feedback about a grievance procedure is important.  (30 to 50 words) | | |
|  | | **Satisfactory** | **Unsatisfactory** |
| The objective is to gather feedback pertaining to any submitted and/or investigated grievances. This data will aid in assessing whether the actions taken align with the grievance procedure. | |  |  |

## Part 4 – Analysing ethical and unethical issues in a work environment

**In this section, you are required to analyse each scenario and provide the most appropriate response.**

You are the compliance officer at Reconstruction IT Solutions and the new code of ethics has been applied for six months and it is now time for review. You have completed an audit of all departments ensuring the code of ethics is being followed.

The following is what you discovered in each department:

**Management team**

A senior manager received a $500 bottle of champagne from a hardware supplier and was also seen out to dinner with them. He has been recommending this hardware supplier over others recently with his clients.

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| 1 | Is this a breach of the Reconstruction IT Solutions code of ethics?  Explain your answer.  (20 to 40 words) | | |
|  | | **Satisfactory** | **Unsatisfactory** |
| Revise and refine the draft paper based on the feedback received. Review and edit the code multiple times to ensure it meets the team's specifications. Once the code is finalized, submit it to the relevant staff for approval before implementation. | |  |  |

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| 2 | List 3 actions as the compliance officer you would be required to take in response to the above scenario. | | |
| **Actions** | | **Satisfactory** | **Unsatisfactory** |
| Action 1  Each employee:  As the cornerstone of any company or organization, workers are indispensable in crafting a code of ethics. Employee engagement has the capacity to elevate an organization's ethical standards even further. | |  |  |
| Action 2  Engage with clients:  Clients serve as valuable resources, offering insights based on their personal experiences and perspectives. This information facilitates the development of equitable and ethical practices. | |  |  |
| Action 3  Seek input from vendors and other stakeholders:  Stakeholders bring diverse industry backgrounds and experiences, making their input crucial to crafting a robust code of ethics within any organization. | |  |  |

**Finance team**

You notice a finance manager saying loudly in the finance office for all to hear, ‘I don’t know what John’s complaining about. He’s on a pretty big salary of $120K. I saw that when I authorised his payroll when he first started.’

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| 3 | Is this a breach of the Reconstruction IT Solutions code of ethics?  Explain your answer.  (20 to 40 words) | | |
|  | | **Satisfactory** | **Unsatisfactory** |
| Reviewing the record of ethical complaints can reveal whether any consumers have raised concerns regarding issues that may indicate a breach of the code of ethics. | |  |  |

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| 4 | List 3 actions as the compliance officer you would be required to take in response to this scenario. | | |
| **Actions** | | **Satisfactory** | **Unsatisfactory** |
| Action 1  Discuss the matter with the senior executive. | |  |  |
| Action 2  Reiterate to him the significance of adhering to the code of ethics and maintaining the confidentiality of sensitive data like payroll information. | |  |  |
| Action 3  Issue a formal warning to the senior manager. Send an email reminder outlining the acceptable and unacceptable conduct according to the code of ethics. | |  |  |

**Salespeople**

You sat in on a client meeting where you saw a salesperson try to persuade a small business that they needed the five-star option for internet access, which includes installing fibre optic cables. The client only has a five-person office and the salesperson said it was the only way to ensure an ‘adequate’ speed for the internet. After the client left, you overheard them say ‘I only need one more fibre optic deal and then I can get my $5,000 bonus from the fibre optic cable company!’

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| 5 | Is this a breach of the Reconstruction IT Solutions code of ethics?  Explain your answer.  (20 to 40 words) | | |
|  | | **Satisfactory** | **Unsatisfactory** |
| absolute. Under the Code, compensation plans are not permitted. This includes accepting gifts, commissions, incentives, or free services from customers in exchange for endorsing their products. | |  |  |

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| 6 | What actions do you take in relation to the Reconstruction IT Solutions code of ethics? List 3 actions. | | |
| **Actions** | | **Satisfactory** | **Unsatisfactory** |
| Action 1  Speak to the salesperson about the issue. | |  |  |
| Action 2  Remind him of the code of ethics and that promoting a particular product that may not be in the client’s best interests is a breach of the code of ethics. | |  |  |
| Action 3  The salesperson should receive a formal warning/be terminated. Send out a reminder email about what is acceptable and unacceptable behaviour under the code of ethics. | |  |  |

**IT specialists and consultants**

John is an IT specialist and has recently reduced his hours and is starting his own IT consultancy firm. A team member has mentioned that he has been doing some dealings with Reconstruction IT Solutions clients. You have checked his website and have seen a testimonial from one of your clients saying how they were happy with the software upgrades he completed for them.

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| 7 | Is this a breach of the Reconstruction IT Solutions code of ethics?  Explain your answer.  (20 to 40 words) | | |
| **Answer:** | | **Satisfactory** | **Unsatisfactory** |
| According to the regulation, workers are prohibited from obtaining business from or developing connections with Reconstruction IT Solutions clients for their own ventures both while they are employed and for six months following their termination. | |  |  |

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| 8 | List 3 actions you would take in relation to the Reconstruction IT Solutions code of ethics. | | |
| **Actions:** | | **Satisfactory** | **Unsatisfactory** |
| Action 1  Speak to John about the issue. | |  |  |
| Action 2  Remind him of the code of ethics and that procuring clients is a breach of the code of ethics. | |  |  |
| Action 3  John should receive a formal warning/be terminated. | |  |  |

**Client support call centre operators**

You overhear a client support call centre operator talking to a colleague about an issue they were having with a client: ‘This client says that they have just declared bankruptcy and are in liquidation so won’t be able to pay their monthly bill or anymore bills. I’m not going to pass this on as I can’t be bothered logging in and putting a note on their file as it’s time for me to knock off.’

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| 9 | Is this a breach of the Reconstruction IT Solutions code of ethics?  Explain your answer.  (20 to 40 words) | | |
|  | | **Satisfactory** | **Unsatisfactory** |
| According to the guidelines, employees are expected to act in a manner that serves the interests of their company, refraining from actions that could harm it or hinder the utilization of their skills and capabilities. Failure to understand this principle early on could potentially damage Reconstruction IT Solutions. | |  |  |

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| 10 | List 3 actions you would take in relation to the Reconstruction IT Solutions code of ethics. | | |
| **Actions** | | **Satisfactory** | **Unsatisfactory** |
| Action 1  Communicate with the customer support call centre operator. | |  |  |
| Action 2  Reinforce the code of ethics, emphasizing that failure to disclose pertinent information violates the code. | |  |  |
| Action 3  Dispatch an email reminder delineating acceptable and unacceptable behaviours outlined in the code of ethics. | |  |  |

**Administration staff**

You have been informed that an administration team member has updated her Facebook status saying ‘We just scored a big contract worth $5 million dollars with Telecom, that big Telco Company! Boom!’

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| 11 | Is this a breach of the Reconstruction IT Solutions code of ethics?  Explain your answer.  (20 to 40 words) | | |
| **Answer** | | **Satisfactory** | **Unsatisfactory** |
| Indeed. According to the code, employees are obligated to uphold strict confidentiality regarding information related to past, present, and potential clients. This entails safeguarding sensitive data from unauthorized disclosure to preserve the integrity and reputation of the organization. Adhering to confidentiality protocols illustrates a commitment to protecting clients' privacy and interests, fostering trust within the company. | |  |  |

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| 12 | What action do you take in relation to the Reconstruction IT Solutions code of ethics? List 2 actions. | | |
| **Actions** | | **Satisfactory** | **Unsatisfactory** |
| Action 1  Discuss the matter with the administration staff member. | |  |  |
| Action 2  Reinforce the code of ethics, stressing that disclosing confidential information constitutes a violation. | |  |  |
| Action 3  They should receive a formal warning.  Distribute a reminder email outlining acceptable and unacceptable conduct under the code of ethics. | |  |  |

**Administration staff**

You have been informed that an administration team member has updated her Facebook status saying ‘We just scored a big contract worth $5 million dollars with Telecom, that big Telco Company! Boom!’

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| 13 | Is this a breach of the Reconstruction IT Solutions code of ethics?  Explain your answer.  (10 to 20 words) | | |
|  | | **Satisfactory** | **Unsatisfactory** |
| No, this doesn't constitute a violation because the news is publicly available information. | |  |  |

## Part 5 – Employee and Stakeholder interview questions

In this section, you are required to create questions that will be used during an interview with employees and other stakeholders to collect feedback on the effectiveness of the Code of Ethics.

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| 1 | Provide 5 interview questions you could ask employees and other stakeholders about their experience or opinions about a workplace Code of Ethics. | | |
| **Interview questionS** | | **Satisfactory** | **Unsatisfactory** |
| Question 1  Have you filed a formal complaint concerning any unethical matters? | |  |  |
| Question 2  Were you happy with the subsequent response? Please describe what happened. | |  |  |
| Question 3  Is the code of ethics easy to understand and adaptable? | |  |  |
| Question 4  As an employee or other stakeholder, have you received enough information or training regarding the Code of Ethics? | |  |  |
| Question 5  Do you have any suggestions to improve the code of ethics? | |  |  |

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| 2 | List 3 important aspects (not questions) when conducting an interview for gathering feedback.  Please explain the relevance of each one.  (10 – 30 words each) | | |
| **Aspects and relevance** | | **Satisfactory** | **Unsatisfactory** |
| 1  Employ a professional demeanour.  Projecting professionalism is vital as it conveys a significant message to your audience. | |  |  |
| 2  Listen attentively and verify the information.  Active communication is crucial as it allows all parties to express themselves and ensures accuracy in discussions. | |  |  |
| 3  Request clarification when needed.  To prevent misunderstandings and unnecessary complications from arising. | |  |  |