# Project assessment: Update, implement and monitor policies and procedures

## Criteria

### Unit code, name and release number

ICTICT418 - Contribute to copyright, ethics and privacy in an ICT environment (1)

### Qualification/Course code, name and release number

ICT50615 Diploma of Website Development

## Student details

### Student number

807135473

### Student name

Alex Goulden

## Assessment Declaration

* This assessment is my original work and no part of it has been copied from any other source except where due acknowledgement is made.
* No part of this assessment has been written for me by any other person except where such collaboration has been authorised by the assessor concerned.
* I understand that plagiarism is the presentation of the work, idea or creation of another person as though it is your own. Plagiarism occurs when the origin of the material used is not appropriately cited. No part of this assessment is plagiarised.

### Student signature and Date

4/07/2020

Version: 1.0

Date created: 7 December 2018

Date modified: 12 June 2020

For queries, please contact:

Technology and Business Services SkillsPoint

Ultimo

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RTO Provider Number 90003 | CRICOS Provider Code: 00591E

This assessment can be found in the [Learning Bank](https://share.tafensw.edu.au/share/access/searching.do?doc=%3Cxml%2F%3E&in=P7ac4831b-430a-4b8d-8b56-f7b32ed5b9cf&q=&type=standard&sort=rank&dr=AFTER)

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## Assessment instructions

Table 1 Assessment instructions

|  |  |
| --- | --- |
| Assessment details | Instructions |
| **Assessment overview** | The objective of this assessment is to assess your knowledge and performance to update, implement and monitor policies and procedures related to copyright, ethics and privacy. |
| **Assessment Event number** | 2 of 2 |
| **Instructions for this assessment** | This is a project-based assessment and will be assessing you on your knowledge and performance of the unit.  This assessment is in three parts:   1. Update policies and procedures 2. Implement policies and procedures 3. Monitor policies and procedures.   This assessment is supported by the following:   * Appendix 1 – Assessment Checklist * Appendix 2 – Observation Checklist 1 * Appendix 3 – Observation Checklist 2 * Assessment Feedback.   **You must ensure that you have completed Part 1 before attempting Part 2.**  **Check the Assessment and Observation checklists to ensure that you’ve covered all the required tasks.** |
| **Submission instructions** | On completion of this assessment, you are required to upload it to the Learning Management System or hand it to your assessor for marking.  Ensure you have written your name at the bottom of each page of your assessment.  Submit the following documents for each part:   * Part 1   + Policies and procedures report * Part 2   + You will be observed by the assessor * Part 3   + Email to client   + Email to supervisor   + You will be observed by the assessor.   It is important that you keep a copy of all electronic and hardcopy assessments submitted to TAFE and complete the assessment declaration when submitting the assessment. |
| **What do I need to do to achieve a satisfactory result?** | To achieve a satisfactory result for this assessment, all questions must be answered correctly and all items in the Assessment checklist must be marked Satisfactory. |
| **Assessment conditions** | Assessment conditions for Parts 2 and 3.2 will replicate the workplace, including noise levels, production flow, interruptions and time variances.  Assessment will be undertaken in normal classroom conditions, which is assumed to be noisy and similar to workplace conditions. This may include phones ringing, people talking and other interruptions. |
| **What do I need to provide?** | * USB drive or other storage method to save work to, with at least 500KB free space. * Personal computer with internet access. |
| **What will the assessor provide?** | * Access to the Learning Management System * Scenario documents as outlined in assessment:   + [*DataTrust report template*](https://share.tafensw.edu.au/share/integ/gen/4e2424f3-024d-4bf1-b865-206ea679190e/0/?attachment.uuid=97126431-fc49-4605-8cce-3c5dc36ecb99) (DT\_Report.dotx)   + [*Video and audio upload instructions*](https://share.tafensw.edu.au/share/file/4c5821c2-c192-4c45-96c5-8a0299b195fd/1/Video%20upload%20instructions_2017.pdf) (Video upload instructions\_2017.pdf)   + [*DataTrust PowerPoint template*](https://share.tafensw.edu.au/share/integ/gen/4e2424f3-024d-4bf1-b865-206ea679190e/0/?attachment.uuid=7cc3a2a4-d8d0-44f8-acde-2590be004652) (DT\_Powerpoint.potx)   + [*DataTrust* *Privacy Policy*](https://share.tafensw.edu.au/share/integ/gen/4e2424f3-024d-4bf1-b865-206ea679190e/0/?attachment.uuid=ed60ff9d-7d97-4ddf-ac86-c6b2bf5b569d) (Privacy Policy.pdf)   + [*Email template*](https://share.tafensw.edu.au/share/integ/gen/4e2424f3-024d-4bf1-b865-206ea679190e/0/?attachment.uuid=43ae944e-a12f-42bb-8925-f33e381cbfb6) (DT\_Email.dotx). |
| **Due date and time allowed** | Indicative time to complete assessment:   * Three hours.   Due date: 19 June 2020 |
| **Assessment location** | Parts 2 and 3.2 will be completed in class, or, for online students, via an online meeting with the assessor.  All other parts may be completed outside of the classroom. |
| **Supervision** | Parts 1, 3.1 and 3.3 of this assessment are an unsupervised, take-home assessment. Your assessor may ask for additional evidence to verify the authenticity of your submission and confirm that the assessment task was completed by you. |
| **Assessment feedback, review or appeals** | Appeals are addressed in accordance with [Every Student’s Guide to Assessment](https://www.tafensw.edu.au/documents/60140/76288/Every+Students+Guide+to+Assessment+in+TAFE+NSW.pdf/cc2b5417-89a6-08f7-9a67-a0c2ff1e26ee). |

## Specific task instructions

In your role as IT Trainee at [*DataTrust*](https://share.tafensw.edu.au/share/file/22c51ecc-efca-455e-a7f2-18847749f30c/1/dataTrust.zip/dataTrust/index.html)*,* you’ve completed some preliminary research on copyright, privacy and ethics. Now you’ve been asked to make some suggestions for additions to the policies, as well as how they’ll be implemented and monitored.

## Part 1: Update policies and procedures

Use the [*DataTrust report template*](https://share.tafensw.edu.au/share/integ/gen/4e2424f3-024d-4bf1-b865-206ea679190e/0/?attachment.uuid=97126431-fc49-4605-8cce-3c5dc36ecb99) (DT\_Report.dotx) to write the following policies and procedures (minimum 50 maximum 200 words each).00666

1. First, the copyright statement needs to be expanded into a copyright policy covering the whole organisation. Write a clause for the copyright policy dealing specifically with the responsibility of DataTrust employees towards copyright and intellectual property within the organisation. The clause must align with legislation and industry standards (list the relevant legislation and industry standards).

Cannot be copied/used elsewhere,

1. Outline the procedures (in point form) that DataTrust employees must follow in order to apply the copyright policy, ensuring that they’re ethical.
2. Previously you looked at how well DataTrust’s privacy policy covers APP 11. What amendments can you suggest to the privacy policy regarding storage and security of personal information, to make sure it aligns with privacy legislation? (List the relevant legislation).
3. Outline the physical and operating system security procedures and features (in point form) as recommendations to be implemented or enhanced, to complement your privacy policy amendments.
4. DataTrust doesn’t have a code of ethics so you’ll need to develop one. Write at least two points for a code of ethics that align to legislation and industry standards (list the relevant legislation and industry standards).
5. Along with the new code of ethics, management needs a grievance procedure (this should include a review process) to enable confidential reporting of any ethical issues. Write a procedure (in point form) that could be followed for this.
6. Develop an implementation and review plan that DataTrust could use to ensure that the policies will be effectively employed by its staff members, including regular checks and reviews of work practices. This must include the following:
   * List timeframes to implement the plan
   * Outline three appropriate methods and processes to communicate the policies and procedures to staff members and clients (the stakeholders).

## ~~NOT BEING DONE: Part 2: Implement policies and procedures~~

~~Participate in a role play (minimum three and maximum 10 minutes, including assessor questions) to verbally discuss your copyright, privacy and ethics policies and procedures (from Part 1) in a meeting with DataTrust staff members.~~

* ~~For face-to-face students, your assessor will observe the role play.~~
* ~~For online students, make an appointment with your assessor for an online meeting.~~
* ~~You must articulate your ideas and requirements clearly and appropriately for your audience (staff members).~~
* ~~You must use appropriate listening and questioning techniques to elicit feedback and ideas.~~

~~Role play participants:~~

* **~~Staff members~~** ~~– arrange for two other people to participate as staff members~~
* **~~IT Trainee~~** ~~(this is you).~~

~~Ensure that you include the following in your role play:~~

1. ~~Distribute your policies and procedures either electronically, for example, as a PowerPoint presentation using the~~ [*~~DataTrust PowerPoint template~~*](https://share.tafensw.edu.au/share/integ/gen/4e2424f3-024d-4bf1-b865-206ea679190e/0/?attachment.uuid=7cc3a2a4-d8d0-44f8-acde-2590be004652) ~~(DT\_Powerpoint.potx), or as a printed document using the~~ [*~~DataTrust report template~~*](https://share.tafensw.edu.au/share/integ/gen/4e2424f3-024d-4bf1-b865-206ea679190e/0/?attachment.uuid=97126431-fc49-4605-8cce-3c5dc36ecb99) ~~(DT\_Report.dotx), as appropriate.~~
2. ~~Clearly explain your clause for the Copyright Policy, including the procedures that employees will need to follow.~~
3. ~~Clearly explain your amendments for the Privacy Policy, including the system security procedures that employees will need to follow.~~
4. ~~Clearly explain your two points for the Code of Ethics.~~
5. ~~Clearly explain your grievance procedure.~~
6. ~~Outline the implementation plan.~~
7. ~~Ask your audience for feedback on the policies and procedures. If no one has any general feedback, you must ask specific questions.~~
8. **~~Your assessor will ask you additional questions relevant to the scenario.~~**

## Part 3: Monitor policies and procedures

The new DataTrust Privacy Policy and Code of Ethics have recently been implemented, however there have still been several breaches within DataTrust.

Requirements have also been established under the Privacy Act for entities in responding to data breaches, known as the [Notifiable Data Breaches](https://www.oaic.gov.au/privacy-law/privacy-act/notifiable-data-breaches-scheme) (NDB) scheme, which DataTrust is obliged to abide by.

You’ve been asked to monitor the implementation of DataTrust’s Privacy Policy and Code of Ethics by following up with two clients who have been affected by data breaches, as well as report to your supervisor on the outcome of your review.

1. The CIO, Mark Thrift received a complaint from a client, Tricia Portman. Tricia called the Accounts section to query an invoice and spoke to Brian Cotswald. Brian went on to disclose her personal information without having verified her identify.

Tricia sees this as a breach of privacy and is very upset that the DataTrust Privacy Policy has not been adhered to by Brian.

You’ve been asked to follow up with Tricia, so you’ll need to review the [*DataTrust* *Privacy Policy*](https://share.tafensw.edu.au/share/integ/gen/4e2424f3-024d-4bf1-b865-206ea679190e/0/?attachment.uuid=ed60ff9d-7d97-4ddf-ac86-c6b2bf5b569d) (Privacy Policy.pdf).

Write an email to Tricia, using the [*email template*](https://share.tafensw.edu.au/share/integ/gen/4e2424f3-024d-4bf1-b865-206ea679190e/0/?attachment.uuid=43ae944e-a12f-42bb-8925-f33e381cbfb6) (DT\_Email.dotx), as follows (minimum 75 and maximum 200 words):

* + Thank Tricia for her feedback, explaining how it will be used to assist the organisation
  + Outline DataTrust’s requirements that should have been followed, according to the Privacy Policy, to ensure good customer service.

**done**

1. Jessica is a new member of the IT Support team and one of her first tasks was to create an urgent backup of customer information (including the customers’ and DataTrust’s intellectual property), which was requested by the Company Director. As she was new, she hadn't yet been given access to the shared backup drive. Instead of reporting this and waiting for access, she saved the backup data onto her personal hard drive, which she took home at the end of the day with the data still on it. When she got home, she couldn’t find the hard drive. As she caught the train home, she realised that it could have fallen out of her bag or been stolen anywhere between work and home. The following day, you asked Jessica about the backup and she confessed what had happened.

After this incident, management would like you to verbally interview the affected clients to make sure that they’re receiving appropriate service from staff members, according to the newly implemented Code of Ethics (your suggestions from Part 1).

Participate in a role play (minimum two and maximum five minutes, including assessor questions) to verbally interview a client.

* For face-to-face students, your assessor will observe the role play.
* For online students, make an appointment with your assessor for an online meeting.
* You must articulate your ideas and requirements clearly and appropriately for your audience (staff members).
* You must use appropriate listening and questioning techniques to elicit feedback and ideas.

Role play participants:

* **Client** – another student or other person
* **IT Trainee** (this is you).

Ensure that you include the following in your role play:

1. **Explain to the client the reason for the interview, referring to your obligations under the** [**NDB scheme**](https://www.oaic.gov.au/privacy-law/privacy-act/notifiable-data-breaches-scheme)
2. **Outline DataTrust’s requirements for ethical customer service (i.e. your two points for the code of ethics)**
3. ~~Ask three appropriate questions to:~~
   1. ~~ascertain whether the Code of Ethics is being applied by staff members~~
   2. ~~obtain their opinions on the implementation of the Code of Ethics~~
4. Write an email to your supervisor, using the [*email template*](https://share.tafensw.edu.au/share/integ/gen/4e2424f3-024d-4bf1-b865-206ea679190e/0/?attachment.uuid=43ae944e-a12f-42bb-8925-f33e381cbfb6) (DT\_Email.dotx), to report on your review of the work practices and feedback you’ve collected (minimum 150 and maximum 300 words).
   * Summarise the feedback you received from the staff members (Part 2) and clients (Part 3)
   * Identify and list the section of the Privacy Policy that wasn’t adhered to by Brian
   * Suggest two procedures that could be implemented to avoid this situation in the future, including one that relates to system security.

## Appendix 1: Assessment Checklist

The following checklist will be used by your assessor to mark your performance against the assessment criteria of your submitted project. Use this checklist to understand what skills and/or knowledge you need to demonstrate in your submission. All the criteria described in the Assessment Checklist must be met. The assessor may ask questions while the submission is taking place or if appropriate directly after the task has been submitted.

Table 2: Assessment Checklist

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| TASK/STEP # | Instructions | S | U/S | Assessor Comments |
| **Part 1.1** | Writes a clause that deals with the responsibility of employees towards copyright and intellectual property that aligns with legislation and industry standards |  |  | *Assessors are to record their comments in sufficient detail to demonstrate their judgement of the student’s performance against the criteria.* |
| **Part 1.1** | Lists the relevant legislation and industry standards for both copyright and intellectual property |  |  |  |
| **Part 1.2** | Outlines ethical procedures for following the copyright policy |  |  |  |
| **Part 1.3** | Writes an amendment to the privacy policy regarding storage and security of personal information to align with legislation |  |  |  |
| **Part 1.3** | Lists the relevant privacy legislation |  |  |  |
| **Part 1.4** | Outlines recommended physical and operating system security procedures and features |  |  |  |
| **Part 1.5** | Writes at least two points for a code of ethics that align with legislation and industry standards |  |  |  |
| **Part 1.5** | Lists the relevant legislation and industry standards for ethics |  |  |  |
| **Part 1.6** | Writes an appropriate grievance procedure and review process to enable confidential reporting of any ethical issues |  |  |  |
| **Part 1.7** | Develops an appropriate implementation plan with timeframes, checks and reviews |  |  |  |
| **Part 1.7** | Outlines three appropriate communication methods and processes |  |  |  |
| **Part 1** | Minimum of 50 and maximum of 200 words each |  |  |  |
| **Part 2** | Performs a role play of minimum three and maximum 10 minutes, including assessor questions |  |  |  |
| **Part 3.1** | Writes an appropriate email to the client of a minimum 100 and maximum 300 words, explaining how the feedback will be used |  |  |  |
| **Part 3.1** | Outlines DataTrust’s requirements that should have been followed, according to policy, for good customer service |  |  |  |
|  | Suggests two appropriate procedures to be implemented, including one that relates to system security |  |  |  |
| **Part 3.2** | Performs a role play of minimum two and maximum five minutes, including assessor questions |  |  |  |
| **Part 3.3** | Writes an appropriate email to their supervisor of a minimum 75 and maximum 200 words |  |  |  |
| **Part 3.3** | Summarises the feedback received from stakeholders |  |  |  |
| **Part 3.3** | Lists the section of the Privacy Policy not adhered to |  |  |  |
| **Part 3.3** | Suggests two procedures to implement to avoid a privacy breach |  |  |  |
| **Part 3.3** | One procedure relates to system security |  |  |  |

## Appendix 2: Observation Checklist 1

The Observation Checklist will be used by your assessor to mark your performance in the role play scenario in Part 2. Use this Checklist to understand what skills you need to demonstrate in the role play. The Checklist lists the assessment criteria used to determine whether you have successfully completed this assessment event. All the criteria must be met. Your demonstration will be used as part of the overall evidence requirements of the unit. The assessor may ask questions while the demonstration is taking place or if appropriate directly after the activity has been completed.

Table 3: Observation Checklist 1

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| TASK/STEP # | Instructions | S | U/S | Assessor Comments |
| **Part 2** | Effectively undertakes role play despite noise and distractions |  |  | *Date of Observation:*  *Assessors are to record their observations in sufficient detail to demonstrate their judgement of the student’s performance against the criteria.* |
| **Part 2** | Articulates clearly and appropriately for the audience (staff members) |  |  |  |
| **Part 2** | Uses appropriate listening and questioning techniques to elicit feedback and ideas |  |  |  |
| **Part 2.1** | Distributes policies and procedures using an appropriate method |  |  |  |
| **Part 2.2** | Explains their clause for the copyright policy |  |  |  |
| **Part 2.2** | Explains the employee procedures for applying the copyright policy |  |  |  |
| **Part 2.3** | Explains their amendments for the privacy policy |  |  |  |
| **Part 2.3** | Explains the system security procedures relevant to the privacy policy |  |  |  |
| **Part 2.4** | Explains their points for the Code of Ethics |  |  |  |
| **Part 2.5** | Explains their grievance procedure |  |  |  |
| **Part 2.6** | Outlines their implementation plan |  |  |  |
| **Part 2.7** | Asks for, and receives, feedback on policies and procedures |  |  |  |
| **Part 2.8** | Responds appropriately to additional questions |  |  |  |

## Appendix 3: Observation Checklist 2

The Observation Checklist will be used by your assessor to mark your performance in the role play scenario in Part 3.2. Use this Checklist to understand what skills you need to demonstrate in the role play. The Checklist lists the assessment criteria used to determine whether you have successfully completed this assessment event. All the criteria must be met. Your demonstration will be used as part of the overall evidence requirements of the unit. The assessor may ask questions while the demonstration is taking place or if appropriate directly after the activity has been completed.

Table 3: Observation Checklist 2

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
| TASK/STEP # | Instructions | S | U/S | Assessor Comments |
| **Part 3.2** | Effectively undertakes role play despite noise and distractions |  |  | *Date of Observation:*  *Assessors are to record their observations in sufficient detail to demonstrate their judgement of the student’s performance against the criteria.* |
| **Part 3.2** | Articulates clearly and appropriately for the audience (client) |  |  |  |
| **Part 3.2** | Uses appropriate listening and questioning techniques to elicit feedback and ideas |  |  |  |
| **Part 3.2.1** | Explains reasons for interview and refers to obligations under the NDB scheme |  |  |  |
| **Part 3.2.2** | Outlines DataTrust’s requirements for ethical customer service |  |  |  |
| **Part 3.2.3** | Asks three appropriate feedback questions relating to the Code of Ethics |  |  |  |

## Assessment Feedback

This section is to be completed by the assessor. Once feedback has been provided by the assessor you will be given the opportunity to respond.

### Additional evidence for verification of assessments

#### Additional questions asked by assessor

Assessors may ask additional questions to clarify student understanding. List here any additional questions that were asked during this assessment event.

#### Student responses to additional questions

Record the student responses to any additional questions that were asked during this assessment event.

### Assessment outcome

☐ Satisfactory

☐ Unsatisfactory

### Assessor feedback

☐ Has the Assessment Declaration been signed and dated by the student?

☐ Are you assured that the evidence presented for assessment is the student’s own work?

☐ Was the assessment event successfully completed?

☐ If no, was the resubmission/re-assessment successfully completed?

☐ Was reasonable adjustment in place for this assessment event?  
*If yes, ensure it is detailed on the assessment document.*

Comments:

### Assessor name, signature and date:

### Student acknowledgement of assessment outcome

Would you like to make any comments about this assessment?

### Student name, signature and date

Alex Goulden 04/07/2020

***NOTE: Make sure you have written your name at the bottom of each page of your submission before attaching the cover sheet and submitting to your assessor for marking.***