



NC: Financial Services
Logbook and Workplace Assessments

Qualification Name: NC: Financial Services

Qualification Number: 49089

Learnership LGA Nr: _____

Learner Name and Surname: _____

Learner Contact Number: _____

Learner Email Address: _____

Learner ID Number:

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Mentor Name and Surname: _____

Mentor Contact Number: _____

Mentor Email Address: _____

Roles and Responsibilities

Employer Responsibilities:

- ▶ Select and Appoint Accredited Training Provider that has scope for the qualification
- ▶ Select, inform, induct and sign learnership contract
- ▶ Submit learnership contract to INSETA timorously as stipulated on the agreement
- ▶ Adherence to learnership contract
- ▶ Appoint a internal mentor for every 3 to 5 learners
- ▶ Relevant resources to be made available to assist learner with completion of assignments e.g Internet, library, subject matter expert, ect
- ▶ Learners to be rotated or be exposed to all areas within the organisation relevant to the qualification
- ▶ Submit a motivation to INSETA for approval where rotation is not possible and indicate how exposure is going to be provided
- ▶ Allow learners time off to write the summative assessment and/or remediation's

Mentor Responsibilities:

- ▶ Mentor must meet with the learners on a minimum of bi-monthly basis (or as often as necessary)
- ▶ Mentor to sign logbook on a monthly basis and ensure that it is submitted to the training provider at the 6 months and 12 months interval of the learnership
- ▶ Mentor- learner contract to be signed
- ▶ Oversee and mentor learners w.r.t. workplace assessments
- ▶ Oversee that learners meet the submission due dates of formative assessments
- ▶ Provide guidance in areas needed

Learner Responsibilities:

- ▶ Adhere to all employer/provider/INSETA codes of conduct, policies and ethics
- ▶ Attend and actively participate in facilitation sessions
- ▶ Complete workplace assessments and formative assessments with quality, comprehensive and relevant information
- ▶ Submit all assessments by the agreed submission due date to be permitted to write the summative assessment
- ▶ Complete the logbook on a weekly basis, indicating times spent in the workplace e.g. 8am – 4pm = 8 hours per day
- ▶ Complete the logbook giving a comprehensive outline of functions performed daily e.g. 4 x assessed claims
- ▶ Present the logbook to the mentor at the monthly meeting for sign-off
- ▶ Prepare adequately for the summative assessment

Training Provider Responsibilities:

- ▶ Induction session with mentors at the start of a learnership (Expectations, overview of logbook and workplace assessments, etc)
- ▶ Provide learner with the logbook template
- ▶ Ensure that learners' workplace experience is relevant to the unit standard/qualification being assessed
- ▶ Present logbook and workplace assessment to the INSETA Verifier at the 6 months and 12 months verification visits during the learnership

Assessor Responsibilities:

- ▶ Link functions performed to the Associated Assessment Criteria
- ▶ Record a competency judgment(s)
- ▶ Make recommendations to the learner and mentor on areas that need exposure within the next month
- ▶ Give feedback to the learner and mentor within 10 days of monthly submission
- ▶ Give constructive guidance to the learners on development areas

Stakeholder	Signatures	Date
Employer		
Mentor		
Learner		
Training Provider		
Assessor		

Declaration of authenticity

Declaration by Learners

I (*learner name and surname*) _____, ID Nr _____ hereby declare that the work contained herein was completed by me on my own.

Where assistance or advice was received or where I used resource material from a workbook, policy wording, internet or any other printed sources, this has been acknowledged and referenced. I further declare that I understand that plagiarism is a punishable offence as it constitutes the theft of another's intellectual property rights.

Learner Signature

Date

Declaration by Mentor

I (*mentor name and surname*) _____, ID Nr _____ hereby declare that the learner is being mentored by myself and that the functions listed and the working hours is a true reflection of the learners situation. According to my knowledge I declare that this is his/her own work.

Employer Signature

Date

Logbook

AAC

- 1.1 Current events and developments related to financial services in general, and the insurance or investment sub sectors in particular, are interpreted and discussed in terms of the possible implications for the financial services sector and a personal point of view is offered in the discussion.
- 1.2 Knowledge learnt in various Unit Standards and current events as they occur are integrated with a developing understanding of the financial services industry and a selected sub sector so that knowledge of the industry is applied in authentic situations.
- 1.3 The key concepts and knowledge of financial services industry are explained with reference to the history and structure of the industry in South Africa, the structure of a financial services workplace and the needs of clients and the market.
- 1.4 The core business and support functions in a selected financial services organisation are outlined and an indication is given of the contribution of an individual and a selected business unit to the effectiveness of the organisation and the affect of FAIS on the specific business unit at a basic level of understanding.
- 1.5 Information is gathered, analysed, summarised, interpreted from a range of sources and presented coherently. Positions taken are explained and supported.

Note: Assessor to indicate AAC number next to the functions performed in the logbook template below.

- ▶ AACs to be covered in the workplace (depending on the practical component of the qualification)
- ▶ Unit Standard only achieved after the AACs have been assessed

JAN	FEB	MARCH	APR	MAY	JUN	JUL	AUG	SEPT	OCT	NOV	DEC
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Month: *Tick the month in question*

Week 2: ___/___/20___ to ___/___/20___

Department: _____

Functions performed (comprehensive/quantitative)	Hours Worked on this item during the week	Performance Rating by Coach/Mentor (1 = poor to 5 = Excellent)	Alignment of AAC to functions (Assessor)
Leave/Public Holidays taken			
Learner Comments			Learner Signature

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Month: Tick the month in question

Week 3: ___/___/20___ to ___/___/20___

Department: _____

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Month: *Tick the month in question*

Week 4: ___/___/20___ to ___/___/20___

Department: _____

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Coach Signature		Coach Comments				
Assessor Signature		Assessor Comments		C		NYC
Moderator Signature		Moderator Comments		C		NYC

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Leave/Public Holidays taken			
Learner Comments		Learner Signature	

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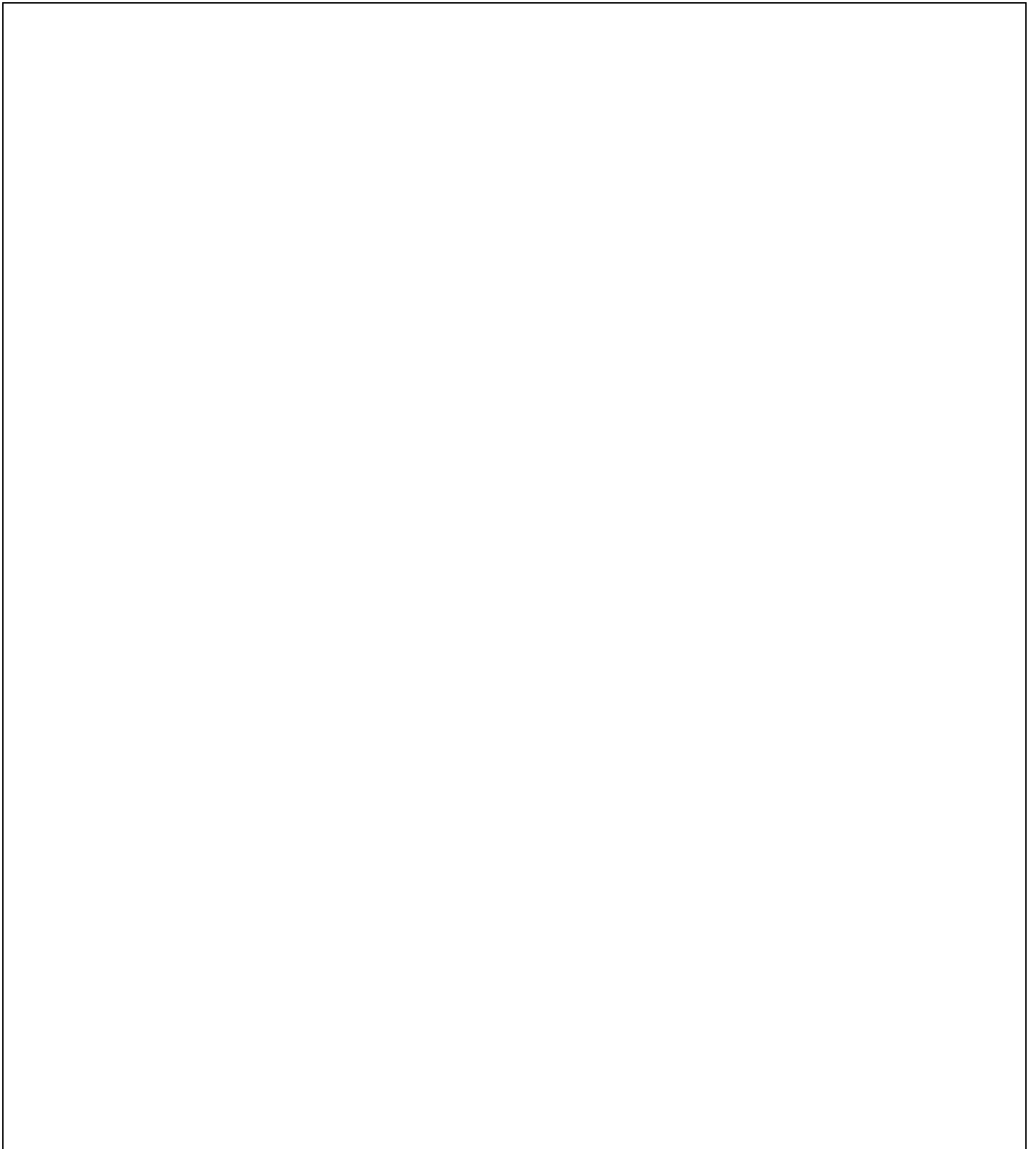
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Month: _____

Coach Signature		Coach Comments				
Assessor Signature		Assessor Comments		C		NYC
Moderator Signature		Moderator Comments		C		NYC

NC: Financial Services Qualification
Annexure A

Job Description/ KPAs

A large, empty rectangular box with a thin black border, occupying most of the page. It is intended for the user to enter the job description or Key Performance Areas (KPAs) for the role.

Workplace Assessment

After successful completion of this Learnership the learner will be;

Qualified in: NC: Financial Services (49089)

Qualified as: Including but limited to the following positions:

- General Administration Clerks.
- Claims Clerks
- Administrators
- Internal Brokers
- Pension Fund, Retirement Fund, Medical Scheme and Employee Benefits Administration Clerks.
- Administrators in a Collective Investment Scheme Manager
- Client Service Clerks
- Financial Services Call Centre Agents
- Human Resources Personnel
- Account clerks - Debtors, Creditors, Premium Collection, General Ledger and Third Party Claims Clerks
- Company representatives (Category B)
- Intermediaries (Category B)
- Learners in learnerships, particularly 18.2 category learners (Unemployed Learners)
- Case Management Clerks
- First time administrative Personnel in the financial Services Sector.

Qualified to be knowledgeable in:

- To provide a general knowledge of the Financial Services industry's key concepts and knowledge for people in administrative positions who are required to select appropriate procedures to solve problems within given parameters and who operate within clearly defined contexts.
- To provide a qualification with a broad base that accommodates learners who sell insurance, banking, and other financial services products and who require a qualification at NQF Level 3 to meet the Fit and Proper qualification requirements of the Financial Services Board (FSB) as part of a career path in wealth management.
- To form the basis for learnerships in the financial services sector particularly in response to the undertakings in the Financial Services Charter

Exit Level Outcome 1: Carrying out basic research tasks and applying literacy and numeracy skills to summarise and interpret information from a range of sources within the structure of a financial services organisation and the context of the financial services sector.

Exit Level Outcome 2: Manage personal finances and risk.

Exit Level Outcome 3: Managing the interrelationship between personal and professional relationships and selecting appropriate procedures and processes to solve problems or make decisions within own level of mandate in performing work related functions and providing customer service in a professional and ethical manner.

Exit Level Outcome 4: Explaining the implications and consequences of non-compliance with FAIS and FICA legislation.

Exit Level Outcome 5: Applying the basics of computer literacy in a work environment.

Lined writing area for student response.

Score : ____/30	C		NYC	
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4: Describe your role and responsibilities as an active member of your community. (5)

Lined area for writing the answer to question 4.

Score : ____/5	C		NYC	
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5: Create a personal financial plan for the short, medium and long term. Include pamphlets and marking material for financial and other services you are using or intend to use during this period. (20)

Lined area for writing the answer to question 5.

Lined writing area for student response.

Score : ____/20	C		NYC	
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Handwritten notes area with horizontal lines.

Score : ____/25	C		NYC	
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Grand Total: _____/100	C		NYC	
Assessor Signature:		Date:		
Moderator Signature:		Date:		