



Working together for a skilled tomorrow

## Further Education and Training Certificate: Wealth Management (66613 / LP 57917) Logbook and Workplace Assessments

Qualification Name: Further Education and Training Certificate: Wealth Management

Qualification Number: SAQA ID: 66613 / 57917

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

The following Associated Assessment Criteria are required for a successful completing of your learnership.

<b>Associated Assessment Criteria</b>	
1.1	Current events and developments related to wealth management are analysed and discussed and a personal point of view is offered in the discussion indicating ability to anticipate or predict future trends.
1.2	Knowledge learnt in various Unit Standards and current events as they occur are integrated with a developing understanding of the Wealth Management environment in general, and a selected career path in particular, so that knowledge of the industry is applied in authentic situations.
1.3	Information is gathered, analysed, summarised, interpreted from a range of sources and presented reliably and accurately. Positions taken are motivated and substantiated.
2.1	The basic principles and different forms of individual income tax are explained with reference to an individual's liability and duty to pay tax.
2.2	Basic financial statements are analysed and used to make a personal financial decision.
2.3	Knowledge of financial risk is applied and managed in own life.
3.1	Methods, procedures and techniques of Wealth Creation and Wealth Management are explained and applied with reference to specific company policy, industry practices and in compliance with relevant legislation and the needs of the client.
3.2	Information is gathered, analysed, evaluated, interpreted, recorded and presented and decisions are explained within own authority limits, license or mandate and with due regard for compliance.
3.3	The concept of ethics is explained with reference to an organisations code of conduct and an individual's personal and property rights as enshrined in the South African Constitution.
3.4	Knowledge of legislation is applied to a specific work role.
3.5	A solution is appropriate to a selected client's needs is proposed and substantiated in line with licensing requirements, an agreed mandate, relevant service agreements and an organisation's customer service policy.
3.6	Risks associated with non-compliance or non-activity that could result in liability are identified in a proposed solution and/or client interaction.

- ▶ **Note:** Assessor to indicate AAC number next to the functions performed in the logbook template below.
- ▶ Between 40-60% of AACs to be covered in the workplace (depending on the practical component of the qualification)

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Month: Tick the month in question

Week 1: \_\_\_/\_\_\_/20\_\_\_ to \_\_\_/\_\_\_/20\_\_\_

Department: \_\_\_\_\_

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E. g. Complete 4 client portfolios	12 hours	3	1.3, 1.4, 1.5, 2.1, 2.2
Leave/Public Holidays taken			
Learner Comments		Learner Signature	

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

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Assessor Signature		Assessor Comments		C		NYC
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Level 4: Further Education and Training  
Certificate: Wealth Management 66613 /  
LP:57917

Annexure A

Job Description(s)

A large, empty rectangular box with a thin black border, occupying the central portion of the page. It is intended for the job description(s) mentioned in the text above it.

## Workplace Assessment

After successful completion of this Learnership the learner will be;

**Qualified in: Further Education and Training Certificate: Wealth Management. (SAQA Qualification No: 66613/ INSETA LP: 57917)**

### **Qualified as:**

**The FETC: Wealth Management allows specialization for:**

1. Intermediaries Long-Term Category A and B and Short Term Insurance and Trainee Financial Planners.
2. Trustees and Principal Officers of Retirement Funds.
3. Retirement Fund Administration.
4. Trustees and Principal Officers of Medical Schemes.
5. Medical Scheme Administration.
6. Collective Investments.

**Qualified to:** and includes but is not limited to:

1. Learners who require licensing in Long-Term Category A, generally intermediaries who sell assistance policies including funeral policies in terms of the current Determination of Fit and Proper Requirements for Financial Services providers.
2. Learners who require licensing in Long-Term Category B, generally intermediaries selling risk policies (death, disability and health events) and guaranteed investment/savings, recurring policies and annuities other than single premium annuities and excluding products marketed as investment or savings policies in terms of the current Determination of Fit and Proper Requirements for Financial Services providers.
3. Intermediaries who run their own financial planning practices and who offer advice on Short-Term Personal Lines and Business Insurance and who also advise on Long-Term Categories A and/or B in terms of the current Determination of Fit and Proper Requirements for Financial Services providers.
4. Trustees and Principal Officers of Retirement Funds or Medical Schemes.
5. Learners who have a School-Leaving Certificate and are entering the Insurance and investment Industry for the first time.
6. Learners in administrative positions and sales in Collective Investment Scheme Managers and Medical Schemes who do not provide advice.
7. Broker Consultants and learners in Call Centres who give advice on Long-Term Category A and/or B products in terms of the current Determination of Fit and Proper Requirements for Financial Services providers.
8. Administrators in financial services organisations.
- 9.** Trainee Financial Planners who seek registration with the Financial Planning Institute.

<u>Exit Level Outcome</u>	<u>Detail</u>
<b><u>Exit Level Outcome 1</u></b>	1. Carrying out basic research tasks and applying literacy and numeracy skills to analyse, interpret and evaluate information from a range of sources related to the creation or management of wealth.
<b><u>Exit Level Outcome 2</u></b>	2. Managing personal finances.
<b><u>Exit Level Outcome 3</u></b>	3. Applying knowledge of economics, the financial services industry, legislation, ethics and compliance in a Wealth Management environment/situation.

<u>Critical Cross Field Outcomes</u>	<u>Detail</u>
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The learner is able to demonstrate ability to:

1. **Identify and solve** well-defined problems of a routine and non-routine and familiar nature within the context of Wealth Management in which responses show that responsible decisions have been made, adjust common solutions to meet changes in the problem and motivate the changes within own limit of authority and license.
2. **Work effectively** with others as a member of a team, group, organisation or community. As the Qualification is intended to be part of a learnership it is unlikely that the learner would work alone.
3. **Organise and manage** him/herself and his/her activities responsibly and effectively in that it is expected that the learner will be responsible for his/her own learning and for organising his/her own work allocated tasks responsibly in the work environment. She/he is required to complete research assignments timorously and to demonstrate insight into different aspects of Wealth Management.
4. **Collect, organise and critically evaluate information.** These competencies are built into the Assessment Criteria in many of the Unit Standards and the learner is required to do research projects and analyse information from the media.
5. **Communicate effectively** using visual, mathematics and language skills in the modes of oral and/or written presentations. These competencies are an integral part of all the Unit Standards and are built into the Assessment Criteria.
6. **Use technology effectively** and critically showing responsibility towards the environment and the health of others in that the Financial Services environment is technology driven and very few activities take place without the application of technology.
7. **Demonstrate an understanding** of the world as a set of related systems by recognising that problem-solving contexts do not exist in isolation in demonstrating insight into current affairs in the sector, understanding the consequences of non-compliance and the interrelationship between the various indicators and trends in the market.



Lined writing area with 20 horizontal lines.

Score : ___/10	C		NYC	
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Score : ____/2				C		NYC	
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Score : ____/2				C		NYC	
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Lined writing area for student response.

Score : ____/4	C		NYC	
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**Question 3:** Financial risk in your own life is a very important component of being able to work in the financial services industry and one cannot expect an Financial Services agent to provide financial advice to a customer if they cannot manage their own personal lines

Discuss how you are going to make sure, by evaluating the various steps you have put in place, to make sure that you do not get yourself into a bad financial position.

You must discuss this action plan with your mentor or coach and have them sign it off as being valid, realistic and authentic. **(5 Marks)**

Lined area for writing the answer to the question.

Score : ____/5	C		NYC	
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**Question 4:** Describe the value statement of your organisation. If your organisation does not have a value statement use your code of ethics or refer to Board Notice 80 of the FAIS Act of 2002. **(10 Marks)**

Score : ____/10	C		NYC	

**Question 5:** In your own words, describe how your organisation looks after its FAIS and FICA requirements when dealing with a customer specific to the following;

- FICA - Describe what are the necessary requirements of the FICA verification process in regards to the customers RSA I.D. Document / Book
- FAIS - Discuss your requirements for being Fit and Proper. **(10 Marks)**

Score : ____/10	<b>C</b>		<b>NYC</b>	



Lined writing area for student response.

Score : ____/10	C		NYC	
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## Question 7: Customer Care and Communication Skills

This practical skill is designed to make sure that you are comfortable with customer care and communication skills.

You are required to;

1. Set up a mock telephone conversation with your mentor or supervisor to attend to the following;
  - **Task 1:** Tell a customer that his product that he has purchased from you not will incept this month because you missed the batch run cut off.
  - **Task 2:** Handle a customer who cannot afford to pay for their 2nd month life premium in a row.
  - **Task 3:** Organise with the customer that he should collect or deliver his certified documentation.
  - **Task 4:** Inform a aggressive customer that he has not been approved for an investment due to his FICA requirements being incorrect and instruct him on what is needed.
  - **Task 5:** Send through a detailed email to the customer in the above task (No 4) as a curtsey follow up.

Your mentor / coach must sign your off as being competent in all of the above.

**(10 marks)**

<b>Mentor / Coach Sign off Schedule</b>				
<b>Task No</b>	<b>Date Completed</b>	<b>Competent (Sign)</b>	<b>Comment</b>	
<b>Task 1</b>				
<b>Task 2</b>				
<b>Task 3</b>				
<b>Task 4</b>				
<b>Task 5</b>				
<b>Score : ____/10</b>		<b>C</b>		<b>NYC</b>

**Question 8:**

In order to make sure that you are competent in workplace requirements you are required to be signed off by various people on a number of small requirements and or abilities.

Please make sure that you have the following signed off in full.

**(5 Marks)**

No	Requirement	Learner Comment	Must be signed off by	Signature, Name and Date
1	You are able to send an email.		Mentor / Coach	Name  Date  Signature
2	You are able to functionally use a computer and you are able to use MS word and MS Excel		Mentor / Coach	Name  Date  Signature
3	You can effectively manage your time in the workplace		Mentor / Coach	Name  Date  Signature
4	You are competent in the use of one of the platforms to capture, amend and terminate a policy		Mentor / Coach	Name  Date  Signature
5	You completely understand how to complete an application document and lodge it for processing.		Mentor / Coach	Name  Date  Signature

Score : ____/5	C		NYC	
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Lined writing area for notes or answers.

Lined writing area for student response.

Lined writing area for notes or answers.

Handwritten notes area with horizontal lines.

Score : ____30	C		NYC	
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Grand Total: _____/100	C		NYC	
Assessor Signature:		Date:		
Moderator Signature:		Date:		