**105026: Occupational Certificate: Financial Advisor**

**Long-term Insurance Advice**

**SAQA ID: 105022**

**NQF Level 5**

**150 credits**

**WORKPLACE MENTOR GUIDE**

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# Section A: Introduction

# 1. About this Mentor Guide

The purpose of this Mentor Guide is to provide the workplace mentor with guidelines on the process and scope of mentoring that is required of them to assist in preparing learners for the final summative assessment.

You have been selected as a Mentor for learners on the Occupational Certificate: Long-term Insurance Advisor (SAQA ID 105022, NQF level 5), a registered part-qualification that forms part of the Occupational Certificate: Financial Advisor (SAQA ID 105026 & NQF level 6).

This Qualification is for any individual who is, or wishes to function as a financial advisor within the long-term insurance sector.

|  |  |
| --- | --- |
| Image result for please note icon | This Mentor Guide will enable the Mentor to follow a structured and targeted mentoring process, and document evidence of mentoring in such a manner that it can be included in the learners’ final portfolio of evidence. |

# 2. About the Qualification

## 2.1 Qualification Overview

The following table provides a brief overview of the Occupational Certificate: Long-term Insurance Advisor for which you will provide mentorship.

|  |  |  |
| --- | --- | --- |
| **No** | **Area** | **Description** |
| 1 | **Purpose of Programme** | The purpose of this qualification is to prepare a learner to be able to advise clients regarding the use of long-term insurance products to sustain and protect wealth. |
| 2 | **Duration of Programme** | The programme takes a period of 10 – 12 months. |
| 3 | **Target Group / Occupational link** | People who are already working within the insurance industry and new entrants who intend to follow the long-term insurance advisor career path. |
| 4 | **Learning assumed to be in place** | An NQF level 4 qualification with Communication. |
| 5 | **Exit Level Outcomes** | * Provide advice to clients regarding the use of long-term insurance to manage risks and protect wealth. |
| 6 | **Overview – Provision / Facilitation** | The learner must attend at least 70% of all facilitated sessions as part of contact learning. |
| 7 | **Overview – Learner Support** | **Provider Support**  The learner must be provided with the learner guide and any other relevant guides.  There must be a facilitator to support the learner through the learning process.  **Workplace Support**  Workplaces are required to appoint a designated mentor to assist the learner with the workplace learning component.  A ratio of one mentor to three learners, a designated and experienced claims assessor (who must have achieved or be in the process of achieving competence in an accredited Coaching and Mentoring skills programme) must monitor learner progress and sign off workplace records and the mentor performance must be managed on the quality of mentoring/ coaching.  Provision of minimum of 2 tutorial days during the work experience module.  Learner must be exposed to all relevant workplace learning activities in the workplace. |
| 8 | **Overview – Learner Duties / Learning** | * Participate in all learning activities * Attend relevant learning interventions * Complete formative assessment activities * Complete relevant practical assignments * Participate in practical activities * Complete relevant workplace assignments * Participate in workplace activities |

The programme structure that will be followed in this qualification is as follows:

## 2.2 Qualification make up

The following standards are contained in the part-qualification, and will form the basis of your mentoring interactions with the mentees.

**Knowledge Subject Specifications**

|  |  |  |  |
| --- | --- | --- | --- |
| **Code** | **Title** | **NQF Level** | **Credits** |
|  |  |  |  |
| 241301-001-00-00-KM-01 | Overview of the investment advisory industry | 5 | 13 |
| 241301-001-00-00-KM-02 | Regulatory requirements for advising clients regarding insurance and investments | 5 | 17 |
| 241301-001-00-00-KM-06 | Principles of providing advice to clients regarding insurance, savings and investment planning. | 5 | 16 |
| **TOTAL CREDIT VALUE** | | **46** | |

**Practical Skills Standards**

|  |  |  |  |
| --- | --- | --- | --- |
| **Code** | **Title** | **NQF Level** | **Credits** |
|  |  |  |  |
| 241301-001-00-00-PM-01 | Analyse client’s long-term wealth creation/protection needs | 5 | 31 |
| 241301-001-00-00-PM-02 | Evaluate available long-term wealth creation/ protection options | 5 | 27 |
| 241301-001-00-00-PM-03 | Recommend and implement the most appropriate wealth creation/protection options | 5 | 26 |
| **TOTAL CREDIT VALUE** | | **84** | |

**Work Experience Standards**

|  |  |  |  |
| --- | --- | --- | --- |
| **Code** | **Title** | **NQF Level** | **Credits** |
|  |  |  |  |
| 241301-001-00-00-WM-01 | Participate in the process of wealth creation | 5 | 50 |
| **TOTAL CREDIT VALUE** | | **50** | |

# 3. About Mentoring

## 3.1 The Mentor Role (It is advisable that a contract is signed between the parties spelling out their roles and responsibilities)

|  |  |
| --- | --- |
|  | **Mentor Tip:**  For learning to be effective the mentor and learner must build a relationship that is supportive of learning and development.  In this relation to this both the mentor and learner are expected to ***behave with a level of responsibility***. |

The relationship between mentor and mentee is described in the table below

|  |  |
| --- | --- |
| **Mentor Behaviour** | **Learner Behaviour** |
| ***Relationship*** | |
| **Key point – Trust**  Shares and reflects on experiences  Listens empathically  Understands and accepts | Offers detailed explanations  Expects Mentor to listen and to ask questions |
| ***Information*** | |
| **Key point – Advice**  Offers facts about organisation’s procedures and processes  Exhibits tailored, accurate and sufficient knowledge | Provides facts and records  Expects mentor to review use and depth of sources |
| ***Facilitative*** | |
| **Key point – Alternatives**  Explores interest, abilities, ideas, beliefs  Provides other views/ attainable goals  Shares personal decisions about career, training, education | Explains choices and decisions  Expects mentor to pose options and other views |
| ***Confrontational*** | |
| **Key Point – Challenge**  Shows respect for decisions, actions, and career  Shares insight into counterproductive strategies and behaviours  Evaluates need and capacity to change | Reflects on initiatives  Expects mentor to examine the approach to apply knowledge and skills |
| ***Mentor Model*** | |
| **Key Point – Motivation**  Overcomes – Discloses life experience as role model  Takes risks – overcomes difficulties in education and career | Expresses main concerns  Expects mentor to share ideas and feelings |

## 3.2 The Mentor-Mentee Relationship

|  |  |
| --- | --- |
| **The Mentor should …** | **The Mentee should ...** |
| * Take the lead in supporting the learner * Serve as a positive role model * Build the relationship by planning and participating in activities together * Strive for mutual respect * Build self-esteem and motivation * Help set goals and work toward accomplishing them * Make a commitment for the duration of the programme * Spend a minimum of eight hours per month one-to-one with a Learner * Communicate with the learner weekly * Attend an initial orientation training session for the mentors * Be willing to adhere to all programme procedures * Be dependable and consistent in meeting the time commitments * Be willing to communicate regularly with program facilitators and assessors, * Submit activity information, and * Provide constructive feedback regarding mentoring activities * Complete a performance report of the learner at the end of the programme | * Follow all rules and guidelines as outlined by the programme facilitator * Have a positive attitude and be respectful of his/her mentor * Make a commitment for the duration of the learning programme to meet with the mentor * Meet at least eight hours per month with the mentor * Make at least weekly contact with the mentor * Obtain workplace permission for all meeting times at least three days in advance, if possible * Be on time for scheduled meetings or call your mentor at least 24 hours beforehand if you are unable to make it to the meeting * Discuss monthly meeting times and activities with the programme facilitator, and regularly and openly communicate with the program coordinator as requested * Inform the program facilitator of any difficulties or areas of concern that may arise in the relationship * Participate in a closure process when that time comes |

|  |
| --- |
| **The Organization should …** |
| * Provide learner time-off for mentoring activities * Provide structures for learner to implement recommendations / advice from mentor * Provide necessary organizational support to learner * Commit to the Mentor-Learner relationship |

## 3.3 The Mentoring Process

*The following process is followed in a mentoring relationship:*

### 3.3.1 Prepare and review information

As mentors are also busy people in the workplace, we suggest that you kick start the process in the following manner:

1. Meet with your group of mentees and have a general discussion of the qualification they are on. Discuss the role of the mentor and mentee and agree on the areas of responsibilities of the parties.
2. Use the qualification cluster and roll out plan to determine when the mentees will be in the workplace, what they will have completed by then, and what the mentor topics may be for that period. This may change over time but gives you a good start for preparation!
3. Task the mentees with noting down areas that they would like to discuss with you in structured appointment – either in groups, pairs or individually. This can be done during their contact sessions with the provider.

### 3.3.2 Plan, prepare, agree and schedule activities

Once the mentees return to the workplace from their first contact sessions, follow the process listed below:

1. Meet with your group of mentees again and have a general discussion of the work covered to date.
2. Gather the topics the mentees have prepared and agree on scheduled times and dates to meet with them.
3. Emphasize the fact that the mentee has a responsibility to prepare for his meetings, and come to the sessions with informed, structured questions – the mentor meeting is not another training session, it is for the mentees to draw on the expertise and experience of the mentor.

### 3.3.3 Conduct and record the activities

|  |  |
| --- | --- |
| Image result for please note icon | **Mentor Tip:**  This is the difficult part – stick to the schedule! Your role is to make yourself available, and to share what you know and have experienced, to provide a seasoned insight on topics that learner only knows from textbook and a bit of practical. |

During the mentor activities, pleasetake the time to record what has taken place – this will serve as additional workplace evidence for the learners that attended your workplace mentor sessions. During the programme your mentees will mature, and the mentor activities will probably become less as they become more self-sufficient.

The recording documents are in the next section of this Mentor Guide. You may use them “as is” or make adjustments to suit the workplace environment – as long as it shows valid, authentic, current and sufficient evidence of mentoring.

### 3.3.4 Review the Mentoring Process

By the time the programme ends, you should have established a relationship with your mentees, and they are by this time well on their way to qualifying. Before the mentees complete the programme, you can convene them one last time, and ask them to note down the strengths and weaknesses of the mentorship, as well as possible improvements in the future. Refer to the mentor evaluation sheet at the end of this Mentor Guide.

# 4. About the Tools

## 4.1 The Mentor Pack

The Mentor Pack is included in this Mentor Guide, and consists out of the following documents:

* Mentor Log Sheet
* Mentee Evaluation Report
* Mentorship Evaluation
* Mentor Evaluation

## 4.2 Recording & Reporting

|  |  |
| --- | --- |
| Image result for please note icon | Resource:  The following documents must be completed and submitted per Module completed by the mentees:  Mentor Log Sheet |

### 4.2.1 Mentor Log Sheet

* The Mentor Log Sheet is completed per Mentee. It documents the discussions and mentor sessions between the Mentor and Mentee and provides the Mentor with the freedom of noting the interventions in free style yet link it to unit standards as well.
* If a Mentor is allocated a number of Mentees, he may address them as a group, and request each Mentee to complete the Topic Log individually. The Mentor then only has to sign the Log at the end of the discussion / session.
* At the end of each Module, the Mentee must sign off the Mentor Log Sheet per learner and provide the mentee with the original for inclusion in his Portfolio of Evidence.

### 4.2.2 Mentee Progress Report

* The Mentee Progress Report provides an individual evaluation of each Mentee’s growth and development over the period of the learning programme.
* The Mentee Progress Report must be completed at the end of each Module and submitted with the Mentor Log Sheet.

## 4.3 Review the mentorship Programme

### 4.3.1 Mentorship Evaluation

* The Mentee completes the Mentorship Evaluation at the end of each Module and includes it in his Portfolio of Evidence with the Mentor Log Sheet and Mentee Progress report.

|  |  |
| --- | --- |
| Image result for please note icon | **Mentor Tip:**  ***The Mentor Sheets are not used to declare a learner Competent or Not Yet Competent.***  The Mentor Sheets are primarily to act as supplement to the Workplace Record, which shows that the learner had access to a structured workplace component and received expert advice and learner support in the process of work. |

### 4.3.2 Mentor Evaluation

* The Mentor Evaluation is completed by the Mentee or Learner and is not aimed at evaluating the Mentor as an individual, but rather the overall success of the mentorship concept in the workplace.
* The purpose of the evaluation is to obtain information on the success of the mentorship, and to provide assistance / guidance to workplace mentors in making the workplace mentor experience more beneficial.

# 5. Conclusion

Please refer to the standard documents /templates provided in Section B of this Mentor Guide.

**You are ready to embark on your mentor role – good luck!**

# Section B: Mentor Pack

# 1. Mentor Log Sheet

## 1.1 Module 5: Long-term insurance advice

|  |  |
| --- | --- |
| **Mentor Name** |  |
| **Learner name** |  |
| **Learning Programme** | Occupational Certificate: Long-term Insurance Advisor |
| **Date of Submission** |  |

| **Module Number** | | **Title** | | |
| --- | --- | --- | --- | --- |
| **5** | | **Long-term insurance advice** | | |
|  | |  | | |
| **Date** | **Topic addressed** | **Link to module/subject** | **Signature – Mentor** | **Signature – Mentee** |
|  |  |  |  |  |
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|  |  |  |  |  |
|  | **SUBMISSION SIGN OFF (MENTOR)** |  | | |

# 2. Mentee Evaluation Report

## 2.1 Module 5: Long-term insurance advice

|  |  |
| --- | --- |
| **Name of Learner** |  |
| **Name of Programme** |  |
| **Name of Module** |  |
| **Name of Mentor** |  |
| **Date of Report** |  |

|  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- |
| **NO** | **AREAS OF PROGRESS** | **Good** | **Average** | **Needs Help!** | **MENTOR COMMENTS** |
| 1 | The learner’s ability to explain the key principles of financial advice |  |  |  |  |
| 2 | The learner’s ability to identify the various pieces of legislation regulating the work of financial advisors and financial services providers |  |  |  |  |
| 3 | The learner’s ability to interpret the impact of, and to comply with the relevant legislation |  |  |  |  |
| 4 | The learner’s ability to demonstrate a legal understanding of contracts with clients |  |  |  |  |
| 5 | The learner’s ability to demonstrate an understanding of the long-term insurance advice process |  |  |  |  |
| 6 | The learner’s ability to analyse the client’s long term wealth creation/protection needs |  |  |  |  |
| 7 | The learner’s ability to evaluate the available long-term wealth creation/protection options |  |  |  |  |
| 8 | The learner’s ability to recommend and implement the most appropriate wealth creation/protection options |  |  |  |  |
| 9 | The learner’s ability to refer a client to a supervisor where he/she cannot assist the client |  |  |  |  |
| 10 | The learner’s ability to participate in the process of wealth creation. |  |  |  |  |
| Mentors overall comments: | | | | | |
| **SIGNATURE OF MENTOR** | | | | **DATE** | |

# 3. Mentorship Evaluation – by Mentor

## 3.1 Module 5

|  |  |  |  |
| --- | --- | --- | --- |
| **NAME OF PROGRAMME:** |  | | |
| **NAME OF MENTOR:** |  | | |
| **Review Dimension** | **Judgment** | **MENTOR COMMENTS** | |
| The purpose of mentoring was clear and was achieved | Agree  Disagree |  | |
| The mentoring activities related to actual workplace activities | Agree  Disagree |  | |
| The mentoring process was systematic and practical, and beneficial to the learner | Agree  Disagree |  | |
| It was efficient, cost-effective and I would like to continue to act as a mentor for future learners | Agree  Disagree |  | |
| The mentoring activities and instruments were clear and easy to implement. | Agree  Disagree |  | |
| The mentee benefitted from the workplace mentoring | Agree  Disagree |  | |
| **RECOMMENDATIONS TO IMPROVE FUTURE PRACTICES** | | | |
|  | | | |
|  | | |  |
| **SIGNATURE OF MENTOR** | | | **DATE** |

# 4. Mentor Evaluation – by Mentee

## 4.1 Module 5

|  |  |  |  |
| --- | --- | --- | --- |
| **NAME OF PROGRAMME:** |  | | |
| **NAME OF MENTEE:** |  | | |
| **Review Dimension** | **Judgment** | **MENTEE COMMENTS** | |
| The purpose of mentoring was clear and was achieved | Agree  Disagree |  | |
| The mentoring activities related to actual workplace activities | Agree  Disagree |  | |
| The mentoring process was systematic and practical, and beneficial to the learner | Agree  Disagree |  | |
| It was efficient, cost-effective and I would like to continue to act as a mentor for future learners | Agree  Disagree |  | |
| The mentoring activities were beneficial and developmental | Agree  Disagree |  | |
| I, the mentee, benefitted from the workplace mentoring | Agree  Disagree |  | |
| **RECOMMENDATIONS TO IMPROVE FUTURE PRACTICES** | | | |
|  | | | |
|  | | |  |
| **SIGNATURE OF MENTEE** | | | **DATE** |