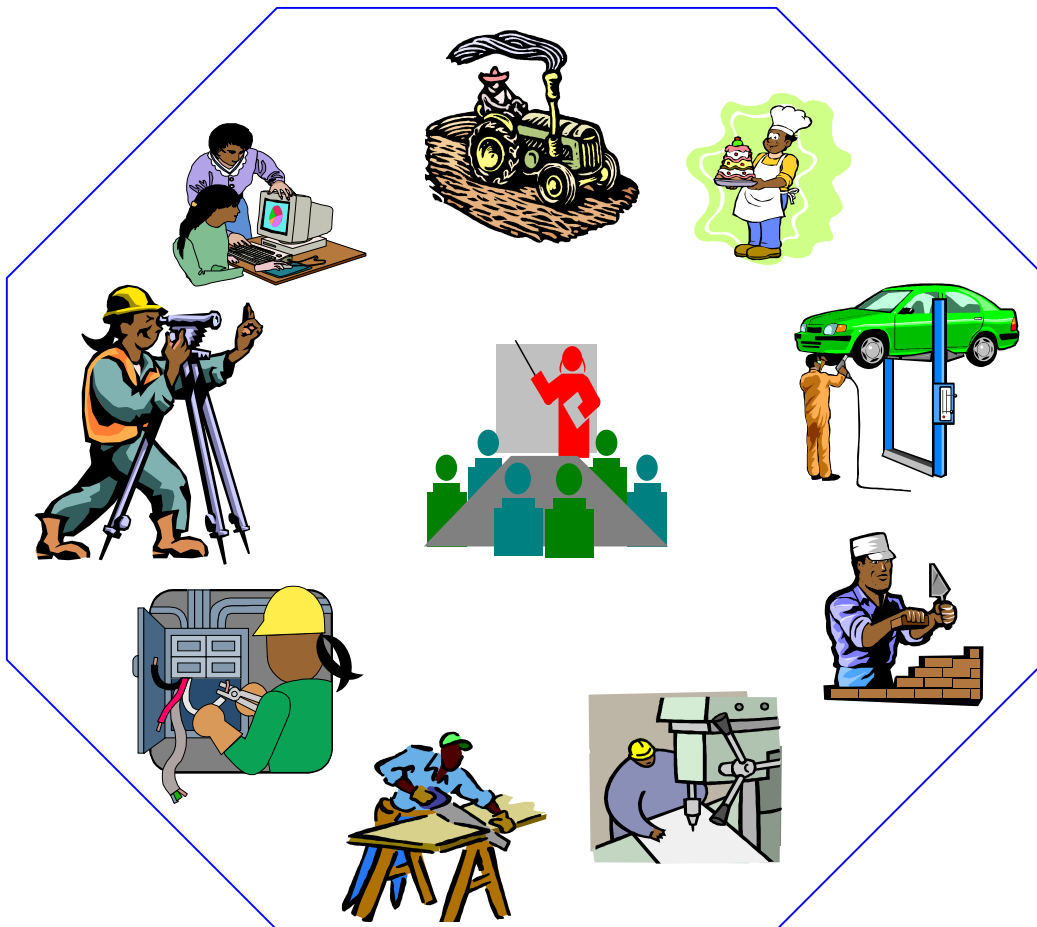**Federal Democratic Republic of Ethiopia**
OCCUPATIONAL STANDARD

DOCUMENTS AUTHENTICATION AND REGISTRATION MANAGEMENT

NTQF Level V

Ministry of Education
August 2012

Introduction

Ethiopia has embarked on a process of reforming its TVET-System. Within the policies and strategies of the Ethiopian Government, technology transformation – by using international standards and international best practices as the basis, and, adopting, adapting and verifying them in the Ethiopian context – is a pivotal element. TVET is given an important role with regard to technology transfer. The new paradigm in the outcome-based TVET system is the orientation at the current and anticipated future demand of the economy and the labor market.

The Ethiopia Occupational Standards (EOS) is the core element of the Ethiopian National TVET-Strategy and an important factor within the context of the National TVET-Qualification Framework (NTQF).They are national Ethiopia standards, which define the occupational requirements and expected outcome related to a specific occupation without taking TVET delivery into account.

This document details the mandatory format, sequencing, wording and layout for the Ethiopia Occupational Standard which comprised of Units of Competence.

A Unit of Competence describes a distinct work activity. It is documented in a standard format that comprises:

- Occupational title, NTQF level
- Unit code
- Unit title
- Unit descriptor
- Elements and Performance criteria
- Variables and Range statement
- Evidence guide

Together all the parts of a Unit of Competence guide the assessor in determining whether the candidate is competent.

The ensuing sections of this EOS document comprise a description of the respective occupation with all the key components of a Unit of Competence –

- chart with an overview of all Units of Competence for the respective level including the Unit Codes and Unit of Titles

- contents of each Unit of Competence (competence standard)

- occupational map providing the Technical and Vocational Education and Training (TVET) providers with information and important requirements to consider when designing training programs for this standards, and for the individual, a career path

UNIT OF COMPETENCE CHART

Occupational Standard: Document Authentication & Registration Management
Occupational Code: EIS DRM
NTQF Level V

EIS DRM5 01 0812 Develop Principles of Document Authentication Service	**EIS DRM5 02 0812** Administer Verification Registration and Authentication	**EIS DRM5 03 0812** Manage Implementation of Fraud Control Activities
EIS DRM5 04 0812 Manage Compliance with Legislation in the Public Sector	**EIS DRM5 05 0812** Support Workplace Coaching and Mentoring	**EIS DRM5 06 0812** Manage Performance
EIS DRM5 07 0812 Foster Positive Organization Image in the Community	**EIS DRM5 08 0812** Manage Project Quality	**EIS DRM5 09 0812** Facilitate and Capitalize on Change and Innovation
EIS DRM5 10 0812 Establish and Conduct Business Relationships	**EIS DRM5 11 1012** Manage Continuous Improvement Process (Kaizen)	

Occupational Standard: Documents Authentication and Registration Management Level V	
Unit Title	Develop Principles of Document Authentication Service
Unit Code	**EIS DRM5 01 0812**
Unit Descriptor	This unit defines the competence required to work in document authentication service by designing the principles.

Elements	Performance Criteria
1. Design basic principles of authentication delivery systems	1.1 Current authentication delivery system is designed as appropriate facility organizational level.
	1.2 Formulation of basic principles is ensured in relation to **document authentication delivery systems**
	1.3 Ensure information flow is channeled and designed based on the relationship between **federal and regional state organizations**.
2. Follow organizations' regulation of authentication service	2.1 Make sure that organization structure and **operational principles are** formulated according to national regulation.
	2.2 Applicable regulations are followed to design authentication services
	2.3 Ensure **service development programs** are designed based on respective strategy document.

Variable	Range
Document authentication delivery systems	• Document authentication and registration office delivery systems • Ministry of Foreign Affair document authentication delivery systems • Ministry of Defense document authentication delivery systems • Federal prison Administration office document authentication delivery systems • Regional state Justice Bureau document authentication delivery systems • Federal Investment Agency document authentication delivery systems
Federal and regional state organizations	it may include but not limited: • Document authentication and registration office • Ministry of Foreign Affair • Ethiopian Embassies and consular office • Ministry of Defense • Federal prison • Regional state Justice Bureau • Federal Investment Agency
Operational principles	principles applying to the authentication service facility: • client reception and handling • authentication administration • payment

	- confidentiality of information - Service delivery - Special treatment for elders and disables. - authentication services related polices, strategies and guidelines are followed
Service development Programs	Programs which are implemented to improve document authentication service.

Evidence Guide	
Critical Aspects of Competence	Assessment requires evidence that the candidate: - design principles of document authentication delivery system - followed regulations of document authentication service - explain current issues which impact the development of the document authentication policies - apply principles of document authentication delivery system
Underpinning Knowledge and Attitudes	Demonstrates knowledge of: - organizations involved in document authentication in Ethiopia - program strategies, Federal, Regional and local document authentication initiatives and priorities - Regulations of document authentication service. - principles of document authentication delivery system - equity issues in document authentication - Millennium Development Goals (MDG's) - plan for Accelerated and Sustained Development to End Poverty (PASDEP) - overall structure of Ethiopian document authentication system and context - identification of current document authentication service models and delivery - current issues which impact the development of the document authentication policies - framework of document authentication
Underpinning Skills	Demonstrate skills required on: - planning skill - communication skill - apply principles of document authentication delivery system - implement regulations of document authentication service
Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: - Interview / Written Test - Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Documents Authentication and Registration Management Level V	
Unit Title	**Administer Verification Registration and Authentication**
Unit Code	**EIS DRM5 02 0812**
Unit Descriptor	This unit defines the competence required to ensure standard verification Registration and authentication of documents.

Elements	Performance Criteria
1. Improve proper client document verification Registration and authentication	1.1 Ensure customer needs are identified by accompanying person according to set guidelines.
	1.2 Ensure availability of previous record in the same facility is identified.
	1.3 Check customer's **document** verification registration and authentication is coordinated according to set guidelines.
	1.4 Guide new events are prepared with standardized forms.
	1.5 Ensure catalogued **card index** (CI) is facilitated during registration.
2. Prepare the retrieval and tracing methods for clients' records	2.1 Ensure event records are checked and evaluated for completion according to standard.
	2.2 Records are reviewed for proper registration
	2.3 The use of service identification is explained to clients according to the organizational procedures.
	2.4 CI catalogue is maintained based on the working principle.
3. Monitor client record keeping and maintenance	3.1 Check event records are completed according to standard.
	3.2 Records are reviewed for proper registration.
	3.3 Collected **data** are entered into client's record.
	3.4 Use of **service identification care** is explained to clients.
	3.5 CI catalogue is maintained.
4. Ensure compliance to record management standards	4.1 Events record maintenance directives are applied.
	4.2 Application of standardized record filling procedures is ensured and verified.
	4.3 Accuracy and completeness of each record are maintained according to policies and procedures.
	4.4 Compliance to record management standards is managed at all levels.

Variable	Range

Document	Documents include may not limited to:
	• license document such as:
	  ➢ trade licensee
	  ➢ foreign national investment license
	  ➢ driving license
	  ➢ professional license
	  ➢ tin certificate
	• Medical document such as:
	  ➢ DNA certificate
	  ➢ Health status certificate
	• Court decision such as:
	  ➢ Injunction or restriction order
	  ➢ Divorce decision
	  ➢ Death certificate
	  ➢ Name change
	  ➢ Guardian
	  ➢ Rights of heritage
	  ➢ Will
	  ➢ Marital status certificate
	• Title deed:
	  ➢ Vehicle deed
	  ➢ Title deed of house
	• ID card such as:
	  ➢ Pass port
	  ➢ Residential ID card
	  ➢ Foreign national ID card
	  ➢ Employee ID
	  ➢ Birth Certificate
	• Lease contract
	• Lease payment certificate
	• Educational documents
	• Declaration paper
	• Power of attorneys such as:
	  ➢ General power of attorney
	  ➢ Family power of attorney
	  ➢ Power of attorney of lawyer
	• Affidavit
	• Death certificate

Card index	Index card with information about: • facility identifier • civil registration record number • registration date • client's full name • date of birth • gender and client's address

Data	Dates, numbers, images, symbols, that represent basic facts and observations about people, processes, measurements and conditions
Service Identification card	Is issued to each client on registration and has information about: • name of facility • date of registration • civil registration record number • name of client • age, sex and address

Evidence Guide	
Critical Aspects of Competence	Demonstrates skills and knowledge to: • ensure proper client reception and registration • monitor client record keeping and maintenance • implement retrieval and tracing methods for clients' records • ensure compliance to record management standards • store, retrieve and archive information effectively and efficiently • protect records from accidental damage • explain documentation requirements and formats used for registration records • describe use and function of registration record • explain development and maintenance of registration record system
Underpinning Knowledge and Attitudes	Demonstrates knowledge of: • working knowledge of client privacy legislations • content registration record in various events setting • documentation requirements and formats used for registration records • use and function of registration record • information security • development and maintenance of registration record system • concept and evolution of electronic registration record • Initiatives to support MIS • keeping records tidy, handling records safely • protecting records from accidental damage • organization's policy on the return of records • obtaining assistance to resolve difficulties • organization's systems for arranging material • correcting sequencing errors without delay • identifying relevant subject matter of record • a working knowledge of why it is important to maintain the integrity of the registration record keeping system • storing, retrieving and archiving information effectively and efficiently • working knowledge of the methods you can use to collect required information

	• accessing customer record using the card index and unique documentation requirements and information management issues in each are setting
Underpinning Skills	Demonstrates skills to: • formats used for civil registration records • develop and maintain civil registration record system • keep records tidy, handle records safely • identify relevant subject matter of record • protect records from accidental damage • apply organization's policy on the return of records • correct sequencing errors without delay • store, retrieve and archive information effectively and efficiently
Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Documents Authentication and Registration Managements Level V	
Unit Title	**Manage Implement of Fraud Control Activities**
Unit Code	**EIS DRM5 03 0812**
Unit Descriptor	This unit covers implementation of controls and education which will reduce or eliminate the risk of fraud and corruption. It includes activities required in promoting and disseminating the organization's approach to fraud/corruption control internally, assessing options and selecting actions for fraud and corruption control activities, setting down procedures and expectations for staff, and implementing performance evaluation and monitoring systems.

Elements	Performance Criteria
1. Assess options and select actions	1.1 Existing systems and procedures are assessed for compliance with fraud/corruption control plan and strategy, and broader organizational objectives.
	1.2 Possible courses of action are determined based on an assessment of relevant resources and personnel available and integration with organizational activities.
	1.3 Agreement of relevant staff and management is obtained on key features of the *fraud/corruption control activities* within their area of responsibility.
	1.4 Resource implications and efficiency, and effectiveness of options are assessed.
	1.5 Desired outcomes are specified in consultation with *stakeholders*.
	1.6 Preferred options are recommended to senior management and agreed to by those responsible for implementation.
2. Set down procedures and expectations for staff	2.1 Key tasks and deadlines are specified and a project timeline is prepared when appropriate.
	2.2 Ethical standards and guidelines are developed in consultation with stakeholders.
	2.3 Procedures are developed outlining the obligations and protections relating to public interest disclosures, protected disclosures or whistle blowing legislation.
	2.4 Procedures are documented, tested and *disseminated* through most effective channels.
	2.5 Opportunities for identifying possible new risks and threats are included in the procedures.
	2.6 Refinements and adjustments to procedures are made on the basis of regular reviews and evaluation.

3. Implement performance evaluation and monitoring systems	3.1 Mechanisms to monitor implementation are identified through consultation with appropriate people.
	3.2 Relevant information and methods of comparing progress of implementation procedures to objectives of fraud/corruption control plan are agreed between those involved.
	3.3 Quality of work, extent of progress, resource usage and other critical features are assessed and variations or adjustments to the fraud/corruption control plan are recommended.
	3.4 Authorities are kept informed of progress of implementation and of problems as they arise in accordance with organizational policy and procedures.
	3.5 Regular reporting activities are used to provide advice regarding impact of procedures on effectiveness of fraud/corruption control strategy.
4. Promote fraud/corruption control inside the organization	4.1 Potential activities to promote the fraud/corruption control process and its importance to the overall objectives of the organization are identified and assessed in relation to the fraud/corruption control strategy in place.
	4.2 Implementation is coordinated with management and key stakeholders who play a role in prevention.
	4.3 Shared ownership of fraud/corruption processes is encouraged through ongoing consultation and information sharing.
	4.4 Promotion activities are organized to raise stakeholders' awareness of both the ethical and financial aspects of fraud/corruption control and to facilitate endorsement of the concept and practice of fraud/corruption control.

Variable	Range
Fraud/corruption control activities may include:	• controls which reduce or eliminate the risk of fraud and corruption • awareness raising and training activities
Stakeholders may include:	• relevant government Ministers • agency staff and senior management • agency clients • contractors and consultants • industry associations • internal/external audit personnel • standards-setting organizations • community and lobby groups • contractors and consultants • suppliers and customers • other agencies with an interest in fraud/corruption control • law enforcement agencies

	• prosecution agencies • internal/external audit personnel

Effective channels for dissemination of information may include:	• internal manuals and guidelines
	• internal audits, directives and reports
	• public documents
	• training and awareness sessions
	• consultation with:
	   ➢ industry organizations
	   ➢ clients
	   ➢ specialist personnel or contractors
	   ➢ community groups
	   ➢ standards-setting organizations
	   ➢ electronic communication, such as intranet, Internet or email

Evidence Guide	
Critical Aspects of Competence	Demonstrates skills and knowledge in: • legislation, policies and procedures relating to fraud and corruption control • agency fraud and corruption control strategy • writing reports requiring formal language and structure on the effectiveness of fraud and corruption control activities • planning, analysis and evaluation relating to fraud and corruption risk control • agency structure and core business activities
Underpinning Knowledge and Attitudes	Demonstrates knowledge of: • jurisdictional fraud and corruption control requirements • agency fraud and corruption control strategy • best practice initiatives in fraud and corruption control • client base and any history of fraud and corruption against the agency • control testing and evaluation • agency structure and core business activities • fraud and corruption risk factors in the organization, agency clients, and any history of fraud and corruption in or against the agency • anti-discrimination and diversity legislation • legislation and procedures relating to public interest disclosures, protected disclosures or whistle blowing • legislation, policies and procedures relating to fraud and corruption control
Underpinning Skills	Demonstrates skills to: • planning, analysis and evaluation relating to fraud and corruption risk control • ensuring compliance of activities with fraud/corruption control plan and fraud/corruption control strategy • consulting with staff or personnel responsible for relevant activities or components of the activities specified

	• using a range of communication, consultation and negotiation styles to suit different audiences and purposes • responding to diversity, including gender and disability • writing reports requiring formal language and structure on the effectiveness of fraud and corruption control activities • managing widespread dissemination of activities in the agency • applying occupational health and safety and environmental procedures in the context of fraud and corruption control
Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Documents Authentication and Registration Management Level V	
Unit Title	**Manage Compliance with Legislation in the Public Sector**
Unit Code	**EIS DRM5 04 0812**
Unit Descriptor	This unit covers promotion and management of compliance with public sector legislative requirements. It includes modelling compliance with legislation and related public sector guidelines, procedures and encouraging and assisting others to interpret legislation and evaluate compliance outcomes.

Elements	Performance Criteria
1. Model and encourage compliance with legislative requirements	1.1 Personal work practices are used to provide a consistent model of compliance with current public sector *legislation and guidelines*. 1.2 Responses to staff enquiries about the legislative requirements of the workplace are provided in a timely, consistent and constructive manner. 1.3 The *consequences of non-compliance* relating to a range of legislation are explained to staff using language and materials suited to their levels of experience, learning styles and individual needs. 1.4 *Compliance strategies* are used to encourage compliance with legislation, policies and guidelines in accordance with the situation at hand.
2. Assure legislative compliance	2.1 Personal conduct is used to demonstrate a commitment to compliance with legislation, policy and guidelines. 2.2 Staff is encouraged to discuss, clarify and meet legislative requirements. 2.3 Staff understanding of legislation and guidelines is confirmed and action to address professional development needs is timely. 2.4 Risk assessment planning relating to legislative compliance is undertaken to establish the risk of non-compliance and develop/implement mitigation strategies in accordance with organizational policy and procedures. 2.5 Workplace occurrences of compliance and non-compliance are used as learning situations for staff, without compromising privacy and confidentiality considerations.
3. Interpret legislation relating to public sector work	3.1 Interpretation of legislative requirements is provided in a timely manner, is substantiated, and falls within the limits of authority, or is referred for advice.
4. Evaluate compliance outcomes	4.1 Analysis of compliance outcomes is conducted to provide comprehensive and valid conclusions that are supported by evidence.

	4.2 Analysis is used to identify trends, possible reasons and potential mitigation strategies for improving outcomes in accordance with government policy and resource constraints.
	4.3 ***Inadequacies in procedures*** which allow breaches of legislation to occur are confirmed and addressed promptly in accordance with organizational procedures.
	4.4 Compliance with legislative requirements is reported on, in accordance with organizational policy and procedures.

Variable	Range
Legislation and guidelines may include:	public sector standards: • codes of conduct/ethics • guarantee of service • legislated standards • Federal and regional state organizational standards • technical standards • professional standards • industry competency standards • anti-corruption legislation • whistleblowers' protection public sector employment: • employee relations • higher officials instructions • public sector notices workplace environment: • equal employment opportunity • affirmative action • workplace diversity • anti-discrimination • workplace harassment • occupational health and safety • duty of care • security, storage, handling and classification of documents financial management and accountability: • Treasurer's instructions • contractual obligations transparency: • freedom of information • professional reporting • accountability • fair trading business and community: • privacy • trade practices • competition

	• road transport legislation • information and records management standards and legislation the organization's enabling legislation, regulations aspects of civil law, labor law and administrative law, international legislation/codes of behavior
Consequences of non-compliance may include:	for individuals: • counseling • disciplinary action • transfer • demotion • dismissal • legal liability • fine external consequences, for example: • to clients • customer service • to the organization's reputation
Compliance strategies may include:	• education • mentoring • coaching • shadowing • supervision • taking disciplinary or legal action
Inadequacies in procedures may include:	• insufficient financial/other controls • insecure Internet/fax access • non-auditable records processes • ambiguous guidelines • no guidelines • unnecessary complexity • use of non-current legislation

Evidence Guide	
Critical Aspects of Competence	Demonstrates skills and knowledge in: • legislation, regulations, guidelines relating to the public sector • public sector codes of ethics/conduct • regulations, guidelines, policy, practices • analysing and explaining complex and formal documents such as legislation, regulations and instructions/directives and applying them to work practices • using mathematical techniques to interpret data and draw conclusions about compliance issues • applying research and evaluation • reading and explaining complex and formal documents such as legislation and codes of ethics and applying them to work practices

Underpinning Knowledge and Attitudes	Demonstrates knowledge of: • legislation, regulations, guidelines relating to the public sector • public sector codes of ethics/conduct • equal employment opportunity, equity and diversity principles • government processes • governance practices • regulations, guidelines, policy, practices • public sector codes of ethics/conduct
Underpinning Skills	Demonstrates skills to: • analyse and explain complex and formal documents such as legislation, regulations and instructions/directives and applying them to work practices • apply critical analysis to identify political issues • deal and assist with people in such areas as conflict resolution, coaching, problem solving • respond to diversity, including gender and disability • provide advice and discussion involving exchanges of complex oral and written information • use mathematical techniques to interpret data and draw conclusions about compliance issues • use qualitative data and analysis • prepare written advice and reports requiring precision of expression • use technology to access legislation and guidelines • manage ad apply staff to implement environmental and occupational health and safety procedures • apply research and evaluation • read and explain complex and formal documents such as legislation and codes of ethics and applying them to work practices
Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Documents Authentication and Registration Management Level V	
Unit Title	**Support Workplace Coaching and Mentoring**
Unit Code	**EIS DRM5 05 0812**
Unit Descriptor	This unit covers promotion and support for coaching and mentoring in the organization. It includes developing a coaching/mentoring strategy, establishing a coaching/mentoring framework, implementing and supporting coaching/mentoring, monitoring coaching and mentoring arrangements and consolidating opportunities for further coaching/mentoring.

Elements	Performance Criteria
1. Develop coaching/ mentoring strategy	1.1 The potential for **coaching** and **mentoring** within the work group/organization is researched
	1.2 A strategy is developed to implement and promote a coaching and mentoring framework, linked to other **human resource strategies** in the organization
	1.3 **Benefits** to all parties involved in coaching and mentoring are clearly outlined, consistent with the organization's philosophy and goals
	1.4 **Ground rules** established for coaching and mentoring in the organization are contained within the strategy
	1.5 Timelines for the implementation of the strategy are developed with key **stakeholders**
	1.6 Organizational support and resources are obtained for the strategy in accordance with organizational procedures
2. Establish a coaching/ mentoring framework	2.1 A range of coaching/mentoring models is identified to suit the organization's needs
	2.2 Training is arranged for those interested in being coaches, coached, mentors and/or mentored
	2.3 The requirements of coaching and mentoring contracts/agreements are developed and monitored in accordance with the coaching and mentoring strategy
	2.4 The range of stages in coaching and mentoring relationships is identified and flexibility is built into the framework to manage the stages where necessary
	2.5 Protocols for **matching participants** and dealing with difficulties, disputes and grievances are formalised in accordance with the organization's existing procedures
3. Implement and support coaching and mentoring	3.1 The value of coaching and mentoring is promoted at all levels of the organization in accordance with organizational policy and procedures

	3.2 *Opportunities for mentoring* and coaching are identified and communicated to interested parties in accordance with the strategy
	3.3 Internal and external *networks* are used to support coaching and mentoring in accordance with *legislation, policy and procedures*
	3.4 *Techniques and practices* are suggested for resolving differences/problems without damaging relationships, or assistance/referral is provided in accordance with organizational policy and procedures
4. Monitor coaching and mentoring arrangements	4.1 People involved in coaching and mentoring are encouraged to reflect on organizational processes, organizational support and their activities to identify opportunities for improvement and innovation.
	4.2 Recommendations made for improvements in the coaching/mentoring strategy are evaluated and implemented as necessary in accordance with organizational policy and procedures.
5. Consolidate opportunities for further coaching and mentoring	5.1 The positive contributions of individuals to coaching and mentoring arrangements are recognized and acknowledged
	5.2 Positive changes created through coaching and mentoring arrangements are celebrated and rewarded in accordance with organizational policy and procedures
	5.3 Ongoing opportunities for coaching and mentoring are identified and promoted in accordance with individual and organizational requirements

Variable	Range

Coaching	- has a focus on the acquisition of job skills and knowledge and is generally short-term
	- is a defined relationship to enhance performance
	- is results oriented
	- is performance or goal directed
	- emphasizes action or improved performance in a specific area
	- requires good interpersonal relations
	- is identified on personal learning and development plans
	- is provided by a coach who:
	  ➢ provides learning opportunities
	  ➢ monitors performance
	  ➢ provides constructive feedback
	  ➢ maintains confidentiality
	  ➢ may have undertaken training/development to undertake the role
	  ➢ is not necessarily hierarchical

Mentoring	- generally has a longer-term focus on personal growth and learning - includes a wide range of learning oriented to: ➢ exchange of wisdom

	- support
	- guidance in personal or professional growth
	- is a relationship, not just a procedure or activity
	- is one person professionally assisting the professional development of another
	- is a developmental effort to build skills and knowledge for advancement based on merit, rather than alliances/politically-based partnerships to advance careers based on politics rather than aptitude
	- is provided by a mentor who:
	  - facilitates the growth of the person being mentored and professional development
	  - provides information, guidance and constructive comments
	  - evaluates the plans of the person being mentored, decisions, goals and objectives
	  - supports, encourages and, where necessary, highlights shortfalls in agreed performance
	  - maintains confidentiality in the relationship
	  - does NOT take over problems and try to solve them
	  - does NOT give advice, criticisms or solutions, but supports the person being mentored to make their own decisions
	  - is not the direct manager of the person being mentored

Human resource strategies may include:	- performance management - learning and development - succession planning - career management

Benefits may include:	- for the organization:
	  - increased productivity
	  - new competencies available
	  - more committed, involved and responsible personnel at all levels
	  - personal and trusting developmental relationships
	  - knowledge sharing
	  - safeguarding investment in high potential people
	  - culture change
	- for the person being coached or mentored:
	  - empowerment
	  - opportunity to acquire competencies and professional experience
	  - insights into the organizational culture, attitudes, protocols and expected behaviors
	  - increased potential for career mobility and promotion
	  - a supportive environment in which successes and failures can be evaluated
	  - internal and external networking opportunities
	  - development of professional abilities and self-confidence
	  - recognition and job satisfaction
	  - mutual respect
	- for the coach/mentor:

	➢ renewed enthusiasm for the role (if an experienced employee) ➢ challenging discussions with people who may have fresh perspectives ➢ satisfaction from contributing to another's development ➢ opportunities to reflect upon and articulate the role of coach/mentor ➢ improved ability to share experiences and knowledge ➢ opportunities to test new ideas ➢ being of service to others ➢ increased self-esteem
Ground rules may include:	- relationship is voluntary, although the requirement to participate in coaching may not be - mentoring partners should not be in the same chain of command - supervisors of both partners must approve, if in-house rather than out-sourced arrangement - guidance and counsel from a coach/mentor does not supersede that of the supervisor in work-related matters - training for coaching and mentoring partners - a formal agreement - active involvement of both partners in the process - commitment from the organization and both parties to the arrangement - effectiveness measures - provision for either party can end the relationship any time for any reason, or no reason
Stakeholders may include:	- all those individuals and groups both inside and outside the organization that have some direct interest in the organization's behavior, actions, products and services such as: ➢ employees at all levels of the organization ➢ other public sector organizations ➢ private sector organizations/businesses ➢ non-government organizations ➢ union and association representatives ➢ Higher officials
Matching participants may include:	- age - cultural background - educational level - ethnicity - expertise - family responsibilities - gender - goals - interests - interpersonal approach - language - learning/thinking styles - life experience

	• marital status • personality • physical ability • religious belief • sexual orientation • socio-economic background • work experience • working style • coach/mentor with particular attributes depending on the purpose and objectives of the arrangement
Mentoring opportunities may include:	• secondments • relieving opportunities • work shadowing • project assignments • intra- and inter-departmental release • networks • outsourced (paid) - business coach/mentor when none is available internally
Networks may include:	• professional organizations • informal common interest groups • public sector management consultants

Legislation, policy and procedures may include:	• Federal and Regional state legislation and regulations such as:
	  ➢ equal employment opportunity, anti-discrimination and harassment legislation
	  ➢ occupational health and safety legislation
	  ➢ ethics and accountability standards
	  ➢ public sector standards
	  ➢ organizational policy, procedures and protocols

Techniques and practices for resolving differences may include:	• finding a mutually beneficial solution • inviting discussion • providing explanations • not taking it personally when information is rejected • not laying blame • using 'I' messages • self-disclosure

Evidence Guide	
Critical Aspects of Competence	Demonstrates skills and knowledge in: • legislation, regulations, policies, procedures and guidelines relating to workplace coaching and mentoring • principles and practices of coaching and mentoring that need to be addressed in the organizational strategy • coaching/mentoring methodologies and strategies • Interpretation and application of codes of ethics • Interpretation and application of code of conduct • undertaking research and analysis

	• planning and application of coaching and mentoring • effective communication with a diverse workforce including active listening, giving and receiving feedback
Underpinning Knowledge and Attitudes	Demonstrates knowledge of: • legislation, regulations, policies, procedures and guidelines relating to workplace coaching and mentoring including privacy and freedom of information • equal employment opportunity, equity and diversity principles • codes of ethics • code of conduct • communication processes and channels • research principles and ethics • policy and procedures for specific environment • human resource strategies that link to a coaching/mentoring strategy • strategic goals and direction/plan • principles and practices of coaching and mentoring that need to be addressed in the organizational strategy • coaching/mentoring methodologies and strategies • public sector legislation such as occupational health and safety and the environment in the context of workplace coaching and mentoring
Underpinning Skills	Demonstrates skills to: • apply legislation, regulations and policies relating to workplace coaching and mentoring • undertake research and analysis • plan • network • communicate skills with a diverse workforce including active listening, giving and receiving feedback • respond to diversity, including gender and disability • apply procedures relating to occupational health and safety and the environment in the context of workplace coaching and mentoring
Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Documents Authentication and Registration Management Level V
Unit Title	**Manage Performance**
Unit Code	**EIS DRM5 06 0812**
Unit Descriptor	This unit covers supervision and performance management in accordance with the organization's performance management system. It includes linking individual/workgroup activities to organizational goals, setting performance expectations, measuring performance achievements, and renegotiate performance and development plans. In practice, performance management may overlap with other generalist or specialist public sector work activities such as acting ethically, complying with legislation, leading a group, managing projects, supervising inspections, benchmarking performance, etc.

Elements	Performance Criteria
1. Link individual/ Workgroup activities to organizational goals	1.1 The organization's mission, vision and goals are identified, linked and explained in accordance with each individual's needs 1.2 Individual and **workgroup** activities are aligned with organizational goals in consultation with workgroup members 1.3 Individual and workgroup activities are prioritized in accordance with **organizational directions**
2. Set performance standards expectations	2.1 **Performance standards** are identified and clarified in accordance with organizational policy and procedures 2.2 Performance standards are consulted upon, negotiated and agreed 2.3 Performance and learning/development plans are developed and agreed, to document team and individual performance targets, standards and professional development objectives 2.4 Performance targets and key performance indicators are developed that are specific, realistic and measurable 2.5 Performance plans are implemented in accordance with organizational requirements
3. Measure performance achievements	3.1 Individual performance is monitored, **appraised** and measured against performance goals and required business outcomes 3.2 Performance is assessed and addressed in a fair and timely manner in accordance with **legislation, policy and procedures** 3.3 Disagreement or conflict is managed and documented in accordance with organizational policy and procedures 3.4 Where possible, outstanding performance is recognized/rewarded in accordance with organizational policy and procedures 3.5 Under-performance is addressed promptly in accordance with organizational guidelines, procedures and the principles of natural justice

	3.6 Areas/strategies for improvement are identified and implemented to continuously improve performance and outcomes
4. Renegotiate performance and learning/ development plans	4.1 The results of performance management are documented in accordance with legislative and organizational requirements and used to identify strengths and performance gaps
	4.2 Learning is captured to inform knowledge management strategies and transfer skills to other staff
	4.3 Performance standards are renegotiated and agreed in accordance with organizational procedures
	4.4 *Learning and development* objectives are identified and agreed to enhance performance and meet developing organizational and workgroup goals
	4.5 Agreed performance standards and related professional development are documented in accordance with organizational policy and procedures

Variable	Range
Workgroup	may include • an existing team • group formed for a special purpose or project • work unit
Organizational directions	may relate to • strategic plan • business plan • operational plan • sector-wide requirements • organizational capability framework • succession planning
Information affecting the workgroup/organization	may include • legislation • plans • industrial awards and agreements • organization policies, plans, procedures and protocols • performance management system • quality standards • efficiency indicators • capability frameworks • leadership capabilities • standards/conditions outlined in performance contracts
Performance standards	may include • selection criteria • best practice standards • quality standards • organizational practice standards

	- competencies - service level standards - standards in codes of ethics/conduct/confidentiality - standards in legislation/regulations/policy/guidelines - agreed goals and outcomes at workgroup (business) and organization (strategic) level
Appraisal processes	may include - 360° feedback - performance data - supervisor/employee feedback - peers - client/customer feedback - assessor feedback - evaluation of job position statement against current job role - validation feedback - feedback from subject matter experts - results of training needs analyses for workgroup/individual - previous performance and development plans with agreed goals
Legislation, policy and procedures may include:	Federal and Regional state legislation and regulations such as: - freedom of information - equal employment opportunity, anti-discrimination and harassment legislation - employment legislation - occupational health and safety legislation - ethics and accountability standards - public sector standards - organizational policy, procedures and protocols - international legislation/codes of behavior - enterprise bargaining agreements - award conditions/requirements - strategic and business plans
Learning and development opportunities may include:	- formal course participation - on-the-job training - work experience - staff exchanges - mentoring - coaching - external study - conference and seminar attendance - induction - job rotation - higher duties - work shadowing opportunities

Evidence Guide	
Critical Aspects of Competence	Demonstrates skills and knowledge in: • interpreting organization's performance management system • interpreting and applying legislation, regulations, policies, procedures and guidelines relating to performance management • explaining grievance and disciplinary procedures • communicating with a diverse workforce including listening, questioning, clarifying, negotiating and managing conflict • processes in remuneration systems
Underpinning Knowledge and Attitudes	Legislation, regulations, policies, procedures and guidelines relating to performance management such as: • equal employment opportunity • grievance procedures • disciplinary procedures • code of conduct • freedom of information • organization's performance management system • organization's learning and development system • impact of learning and development opportunities on performance • remuneration systems • equity and diversity principles • public sector legislation such as occupational health and safety and environment in the context of performance management
Underpinning Skills	• applying legislation, regulations and policies relating to performance management • giving feedback on performance • maintaining confidentiality • communication with a diverse workforce including listening, questioning, clarifying, negotiating and managing conflict • responding to diversity, including gender and disability • identifying future learning and development requirements • applying time management • recordkeeping • applying procedures relating to occupational health and safety and environment in the context of performance management
Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Documents Authentication and Registration Management Level V	
Unit Title	**Foster a Positive Organizational Image in the Community**
Unit Code	**EIS DRM5 07 0812**
Unit Descriptor	This unit covers the competence to enable effective two-way communication with the community, and to promote a positive public image.

Element	Performance Criteria
1. Promote the organization in the community	1.1 **Community** requests for **information** or participation are responded to in accordance with the organization's policies and procedures.
	1.2 **Opportunities to** explain and **promote** the organization's activities are acted on to promote community recognition and support.
	1.3 Non-routine requests for information are referred to an **appropriate person**.
2. Represent the organization in the community	2.1 The organization's position on particular issues is represented in a way which acknowledges community concerns and promotes community awareness.
	2.2 Communication and presentation to the public are enhanced the organization's public image.
	2.3 The activities of the organization are promoted effectively and efficiently according to the organization's policies and procedures.
3. Advise and involve the community in public safety activities	3.1 The community is advised of a range of **prevention and mitigation techniques**.
	3.2 Community members are informed and skilled to implement prevention and mitigation activities.
	3.3 Community is assisted to initiate, develop and conduct prevention and mitigation techniques addressing their own particular needs.

Variables	Range
Community 1	May include: • local community • business community including a range of ages and persons • people with a disability
Information 2	May include: • how to participate • publicity material • contact information • prevention and mitigation strategies

Opportunities to promote	May include: • answering general enquiries • presentations at community group gatherings • special interest forums • other organization forums • community events and festivals • participating in conferences • representing organization on associations and committees
Appropriate person	May include: • more senior personnel • personnel with specific expertise

Evidence Guide	
Critical Aspects of Competence	It is essential to demonstrate in ability to: • provide advice on prevention and mitigation techniques in a way that acknowledges community concerns • apply relevant recording procedures • demonstrate presentation strategies and techniques
Underpinning Knowledge And Attitudes	Essential knowledge includes: • presentation strategies and techniques • legislative responsibilities • organization policy relevant to provision of advice • organization's position on current issues • relevant recording procedures
Underpinning Skills	Essential skills ability to: • communicating with wide variety of people • evaluating activities • interpreting comments • listening to questions
Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Documents Authentication and Registration Management Level V	
Unit Title	**Manage Project Quality**
Unit Code	**EIS DRM5 08 0812**
Unit Descriptor	This unit specifies the outcomes required to manage quality within projects. It covers determining quality requirements, implementing quality assurance processes, and using review and evaluation to make quality improvements in current and future projects.

Elements	Performance Criteria
1. Determine quality requirements	1.1 ***Quality objectives***, standards and levels are determined, with input from stakeholders and guidance of a higher project authority, to establish the basis for quality outcomes and a ***quality management plan***.
	1.2 Established ***quality management methods, techniques and tools*** are selected and used to determine preferred mix of quality, capability, cost and time.
	1.3 Quality criteria are identified, agreed with a higher project authority and communicated to stakeholders to ensure clarity of understanding and achievement of quality and overall project objectives.
	1.4 Agreed quality requirements are included in the project plan and implemented as basis for performance measurement.
2. Implement quality assurance	2.1 Results of project activities and product performance are measured and documented throughout the project life cycle to determine compliance with agreed quality standards.
	2.2 Causes of unsatisfactory results are identified, in consultation with the client, and appropriate actions are recommended to a higher project authority to enable continuous improvement in quality outcomes.
	2.3 Inspections of quality processes and ***quality control*** results are conducted to determine compliance of quality standards to overall quality objectives.
	2.4 A quality management system is maintained to enable effective recording and communication of quality issues and outcomes to a higher project authority and stakeholders.
3. Implement project quality improvements	3.1 Processes are reviewed and agreed changes implemented continually throughout the project life cycle to ensure continuous improvement to quality.
	3.2 Project outcomes are reviewed against performance criteria to determine the effectiveness of quality management processes and procedures.

	3.3 Lessons learned and recommended *improvements* are identified, documented and passed on to a higher project authority for application in future projects.

Variable	Range
Quality objectives may include:	• requirements from the client and other stakeholders • requirements from a higher project authority • negotiated trade-offs between cost, schedule and performance • those quality aspects which may impact on customer satisfaction
Quality management plan may include:	• established processes • authorizations and responsibilities for quality control • quality assurance and continuous improvement
Quality management methods, techniques and tools may include	• brainstorming • benchmarking • charting processes • ranking candidates • defining control • undertaking benefit/cost analysis • processes that limit and/or indicate variation • control charts • flowcharts • histograms • pareto charts • scatter gram and run charts
Quality control may include:	• monitoring conformance with specifications • recommending ways to eliminate causes of unsatisfactory • performance of products or processes • monitoring of regular inspections by internal or external agents
Improvements may include:	• formal practices, such as total quality management or continuous improvement • improvement by less formal processes which enhance both the product quality and processes of the project, for example client surveys to determine client satisfaction with project team performance

Evidence Guide	
Critical Aspects of Competence	Documentation produced in managing projects such as: • lists of quality objectives, standards, levels and measurement criteria • records of inspections, recommended rectification actions and quality outcomes • management of quality management system and quality management plans • application of quality control, quality assurance and continuous improvement processes

	• records of quality reviews • lists of lessons learned and recommended improvements • how quality requirements and outcomes were determined for projects • how quality tools were selected for use in projects • how team members were managed throughout projects with respect to quality within the project • how quality was managed throughout projects • how problems and issues with respect to quality and arising during projects were identified and addressed • how projects were reviewed with respect to quality management • how improvements to quality management of projects have been acted upon

Underpinning Knowledge and Attitudes	Broad knowledge and understanding of:
	• the principles of project quality management and their application
	• acceptance of responsibilities for project quality management
	• use of quality management systems and standards
	• the place of quality management in the context of the project life cycle
	• appropriate project quality management methodologies; and their capabilities, limitations, applicability and contribution to project outcomes
	• attributes:
	  ➢ analytical
	  ➢ attention to detail
	  ➢ able to maintain an overview
	  ➢ communicative and positive leadership

Underpinning Skills	Demonstrate skills of: • ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities • project management • quality management • planning and organizing • communication and negotiation • problem-solving • leadership and personnel management • monitoring and review skills
Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Documents Authentication and Registration Management Level V	
Unit Title	**Facilitate and Capitalize on Change and Innovation**
Unit Code	**EIS DRM5 09 0812**
Unit Descriptor	This unit specifies the outcomes required to plan and manage the introduction and facilitation of change; particular emphasis is on the development of creative and flexible approaches, and on managing emerging opportunities and challenges.

Elements	Performance Criteria
1. Participate in planning the introduction and facilitation of change	1.1 *Manager* contributes effectively to the organization's planning processes to introduce and facilitate change.
	1.2 Plans to introduce change are made in consultation with *appropriate stakeholders*.
	1.3 Organization's objectives and plans to introduce change are communicated effectively to individuals and teams.
2. Develop creative and flexible approaches and solutions	2.1 Variety of approaches to managing workplace issues and problems are identified and analyzed.
	2.2 *Risks* are identified and assessed, and action initiated to manage these to achieve a recognized benefit or advantage to the organization.
	2.3 Workplace is managed in a way which promotes the development of innovative approaches and outcomes.
	2.4 Creative and responsive approaches to resource management improve productivity and services, and/or reduce costs.
3. Manage emerging challenges and opportunities	3.1 Individuals and teams are supported to respond effectively and efficiently to changes in the organization's goals, plans and priorities.
	3.2 Coaching and mentoring assist individuals and teams to develop competencies to handle change efficiently and effectively.
	3.3 Opportunities are identified and taken as appropriate, to make adjustments and to respond to the changing needs of customers and the organization.
	3.4 *Information needs* of individuals and teams are anticipated and facilitated as part of change implementation and management.
	3.5 Recommendations for improving the methods and techniques to manage change are identified, evaluated and negotiated with appropriate individuals and groups.

Variables	Range
Manager	a person with frontline management roles and responsibilities, regardless of the title of their position
Appropriate stakeholders may refer to:	those individuals and organizations who have a stake in the change and innovation being planned, including: • organization directors and other relevant managers • teams and individual employees who are both directly and indirectly involved in the proposed change • union/employee representatives or groups • OHS committees • other people with specialist responsibilities • external stakeholders where appropriate - such as clients, suppliers, industry associations, regulatory and licensing agencies
Risks may refer to:	• any event, process or action that may result in goals and objectives of the organization not being met • any adverse impact on individuals or the organization • various risks identified in a risk management process
Information needs may include:	• new and emerging workplace issues • implications for current work roles and practices including training and development • changes relative to workplace legislation, such as OHS, workplace data such as productivity, inputs/outputs and future projections • planning documents • reports • market trend data • scenario plans • customer/competitor data

Evidence Guide	
Critical Aspects of Competence	Assessment must show evidence that the candidate: • Planning the introduction and facilitation of change • Developing creative and flexible approaches and solutions • Managing emerging challenges and opportunities
Underpinning Knowledge and Attitudes	• Relevant legislation from all levels of government that affects business operation, especially in regard to occupational health and safety and environmental issues, equal opportunity, industrial relations and anti-discrimination • the principles and techniques involved in: • change and innovation management • development of strategies and procedures to implement and facilitate change and innovation • use of risk management strategies: identifying hazards, • assessing risks and implementing risk control measures • problem identification and resolution

	• leadership and mentoring techniques • management of quality customer service delivery • consultation and communication techniques • record keeping and management methods • the sources of change and how they impact • factors which lead/cause resistance to change • approaches to managing workplace issues
Underpinning Skills	Demonstrate skills on: • Communication skills • Planning work • Managing risk
Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Documents Authentication and Registration Management Level V	
Unit Title	**Establish and Conduct Business Relationships**
Unit Code	**EIS DRM5 10 0812**
Unit Descriptor	This unit covers the skills, attitudes and knowledge required to manage business relationship with customers.

Elements	Performance Criteria
1. Establish contact with customer	1.1 Welcoming customer environment is maintained.
	1.2 Customer is greeted warmly according to enterprise policies and procedures.
	1.3 Effective service environment is created through verbal and non-verbal presentation according to enterprise policies and procedures.
	1.4 Customer data is maintained to ensure database relevance and currency.
	1.5 Information on customers and service history is gathered for analysis.
	1.6 ***Opportunities*** to maintain regular contact with customers are identified and taken up.
2. Clarify needs of customer	2.1 Customer needs are determined through questioning and active listening.
	2.2 Customer needs are accurately assessed against the products/services of the enterprise.
	2.3 Customer details are documented clearly and accurately in required format.
	2.4 Conduct negotiations in a business-like and professional manner.
	2.5 Maximize benefits for all parties in the negotiation through use of established ***techniques*** and in the context of establishing long term relationships.
	2.6 Communicate the results of negotiations to appropriate colleagues and stakeholders within appropriate timeframes.
3. Provide information and advice	3.1 Features and benefits of products/services provided by the enterprise are described / recommended to meet customer needs.
	3.2 Information to satisfy customer needs is provided.
	3.3 Alternative sources of information/advice are discussed with the customer.

4. Foster and maintain business relationships	4.1 Pro-actively seek, review and act upon information needed to maintain sound business relationships.
	4.2 Honor agreements within the scope of individual responsibility.
	4.3 Make adjustments to agreements in consultation with the customer and share information with appropriate colleagues.
	4.4 Nurture relationships through regular contact and use of effective interpersonal and communication styles.

Variables	Range
Opportunities to maintain regular contact with customers may include:	• informal social occasions • industry functions • association membership • co-operative promotions • program of regular telephone contact
Negotiation techniques	• identification of goals, limits • clarification of needs of all parties • identifying points of agreement and points of difference • preparatory research of facts • active listening and questioning • non-verbal communication techniques • appropriate language • bargaining • developing options • confirming agreements • appropriate cultural behavior

Evidence Guide	
Critical Aspects of Competence	It is essential that competence is fully observed and there is ability to transfer competence to changing circumstances and to respond to unusual situations in the critical aspects of: • consistently applying enterprise policies and procedures and industry codes of practice in regard to customer service • providing a quality service environment by treating customers in a courteous and professional manner through all stages of the procedure • using effective questioning/active listening and observation skills to identify customer needs • communicating effectively with others involved in or affected by the work • maintaining relevant and current customer databases in accordance with enterprise policies and procedures • ability to build and maintain relationships to achieve successful business outcomes

Underpinning Knowledge and Attitudes	Demonstrate knowledge of:
	• Operational knowledge of enterprise policies and procedures in regard to:
	  ➤ customer service
	  ➤ dealing with difficult customers
	  ➤ maintenance of customer databases
	  ➤ allocated duties/responsibilities
	  ➤ General knowledge of the range of enterprise merchandise and services, location of telephone extensions and departments/sections
	• Basic operational knowledge of legislation and statutory requirements, including consumer law, trade practices and fair trading legislation
	• Basic operational knowledge of industry/workplace codes of practice in relation to customer service
	• negotiation and communication techniques appropriate to negotiations that may be of significant commercial value

Underpinning Skills	Demonstrate skills of: • Use workplace technology related to use of customer database • Collect, organize and understand information related to collating and analyzing customer information to identify needs • Communicate ideas and information • Plan and organize activities concerning information for database entries • Use mathematical ideas and techniques to plan database cells and size • Establish diagnostic processes which identify and recommend improvements to customer service
Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Documents Authentication and Registration Management Level V	
Unit Title	Manage Continuous Improvement Process (Kaizen)
Unit Code	EIS DRM5 11 1012
Unit Descriptor	This unit describes the performance, outcomes, knowledge, attitude and skills required to sustain and develop an environment in which continuous improvement, innovation and learning are promoted, rewarded and managed.

Elements	Performance criteria
1. Diagnose the current status.	1.1 **Parameters** used for study current situation are obtained.
	1.2 Internal and external environment is analyzed.
	1.3 Problems related to targeted environment is recognized and identified.
	1.4 Problems regarding to current situation are analyzed.
	1.5 Alternatives are generated.
	1.6 Best alternatives are selected.
2. Design an effective continuous improvement process (kaizen).	2.1 The values, mission and goals of kaizen management system are clarified.
	2.2 The **kaizen management template** and a visual management logo full of purpose and meaning are developed.
	2.3 A clear action strategy (master and detailed plans) is defined.
	2.4 The most effective and proven **kaizen tools** are chosen and applied.
	2.5 A practical way is identified to involve all employees in **Gemba activities** (top, middle and bottom).
3. Develop change capability.	3. 1. Kaizen Promotion Team Structure is developed.
	3. 2. The Kaizen Training Plan is defined and started.
	3. 3. Supervisors' kaizen capability and habits are developed.
	3. 4. Key people are developed in terms of **Individual leadership capability**.
4. Implement improved processes.	4.1 **Sustainability/continuous improvement** are promoted as an essential part of doing business.
	4.2 Impacts of change and consequences are addressed for people, and transition plans implemented.
	4.3 Objectives, time frames, measures and communication plans are ensured in place to manage implementation.

	4.4 Contingency plans are implemented in the event of non-performance.
	4.5 Failure is followed-up by prompt investigation and analysis of causes.
	4.6 Emerging challenges and opportunities are managed effectively.
	4.7 Continuous improvement systems and processes are evaluated regularly.
	4.8 Improvements are communicated to all relevant groups and individuals.
	4.9 Opportunities are explored for further development of value stream improvement processes.
5. Establish direction and control.	5.1 A *system audit tool* is defined and implemented.
	5.2 The kaizen management system is deployed across all company levels and functions.
	5.3 Results are checked and corrections made.
	5.4 *Standard operating procedures* are developed and maintained.
	5.5 The recruit, training and evaluation systems are improved and *HR practices* compensated.

Range	Variables

Parameters	May include but not limited to:
	• Working condition
	• Resources may include:
	  ➢ Human
	  ➢ Material
	  ➢ Machine
	• Kaizen elements

Kaizen management template	May include but not limited to:
	• Visual management board for:
	  ➢ displaying characteristic figures, data and graphics
	  ➢ depicting and controlling processes
	  ➢ identifying and marking sources of risks, setting and standards
	  ➢ displaying company's values and goals of kaizen

Kaizen tools	May include but not limited to: • 5S (a visual workplace management) • 7 QC tools(Cause and Effect Diagram, Check Sheet , Pareto Diagram , Histogram, Scatter Diagram, Control Chart and Flow Chart) • Brainstorming

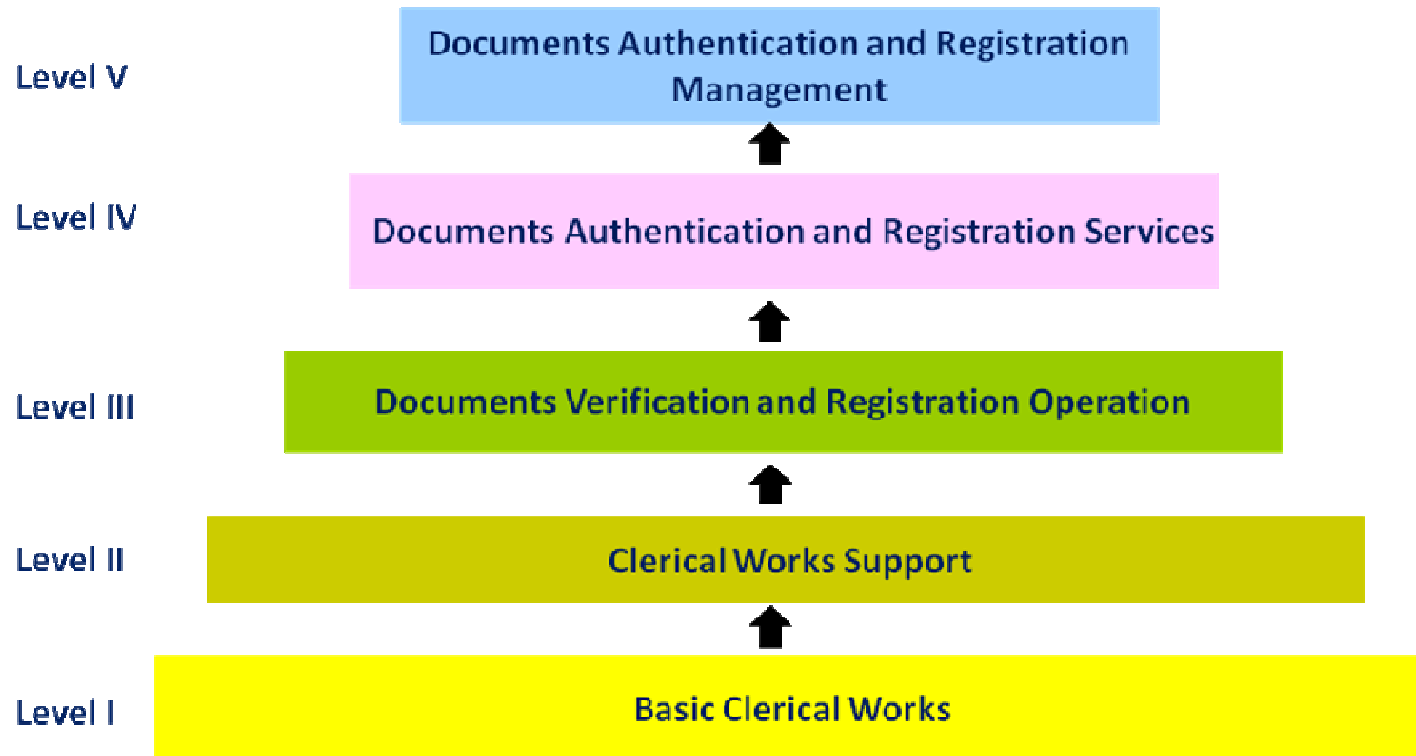|	
	• Basic Industrial Engineering (IE) tools such as time study, motion study, line balancing, work sampling • JIT(JUST IN TIME principles) • MUDA identification and elimination tools • Kanban • Poka-yoke • Takt- time
Gemba activities	May include but not limited to: • Value-adding activities to satisfy the customer • Employee autonomous operations (participating in team to identify nonconformity, propose solutions and implement them autonomously)
Individual leadership capability	May include but not limited to: • Personal and interpersonal skills • Courage • Honour and integrity • Energy and drive • Strategic skills • Operating skills • Organizational positioning skills

Sustainability/continuous improvement	May include but not limited to:
	• Improvements made by following PDCA (Plan, Do, Check and Act) cycle for:
	  ➢ Improvements in one's own work
	  ➢ Saving in energy, material and other resources
	  ➢ Improvements in the working environment
	  ➢ Improvements in machines and processes
	  ➢ Improvements in jigs and tools
	  ➢ Improvement in office work
	  ➢ Improvements in product quality
	  ➢ Ideas for new products
	  ➢ Customers services and customer relations

System audit tool	May include but not limited to: • 5S audit • Patrol system • Kaizen board • 5M check lists • Key Performance Indicators (KPIs)

Standard operating procedure	May include but not limited to:
	• Administrative standards for:
	  ➢ Managing the business
	  ➢ Administration
	  ➢ Personnel Guidelines
	  ➢ Job Descriptions
	  ➢ Guidelines for preparing cost information
	• Operation standards for:
	  ➢ Describing the way a job is done.

	- Help realising Quality, cost, delivery. - Addressing the need to satisfy customers. - Using the process that's the best. - Producing work in the most cost effective manner. - Assuring total quality for the customer.
HR practices	May include but not limited to: • Resources may include: - Recruit and retain high quality people with innovative skills and a good track, record in innovation • HR development is used for: - strategic capability and provide encouragement and facilities for enhancing innovating skills and enhancing the intellectual capital of the organization • Reward will provide financial incentives and rewards and recognition for successful innovation

Evidence Guide	
Critical Aspects of Assessment	Demonstrates skills and knowledge competencies to: • Establish policy and cross-functional goals for kaizen • Deploy and implement goals as directed through policy deployment and cross-functional management. • Realize goals through deployment and audits. • Build systems, procedures, and structures conducive to kaizen. • Use kaizen in functional capabilities. • Introduce Kaizen as a corporate strategy • Provide support and direction between allocating resources • Establish, maintain and upgrade standards. • Make employees conscious through training programs. • Assist employees develop skills and tools for problem solving.
Underpinning Knowledge and Attitude	Demonstrates knowledge of: • Quality management and continuous improvement theories • creativity/innovation theories/concepts • competitive systems and practices tools, including: 5S - JUST IN Time (JIT) - mistake proofing - process mapping - establishing customer pull - setting of KPIs/metrics - SOP - Kaizen elements/targets. - identification and elimination of waste/MUDA - continuous improvement processes including implementation, monitoring and evaluation strategies for a whole organization and its value stream

	> Difference between breakthrough improvement and continuous improvement > organizational goals, processes and structure > approval processes within organization > methods of determining the impact of a change > customer perception of value > Define, Measure, Analyze, Improve and Control (DMAIC) to sustain process
Underpinning Skills	Demonstrates Skills to: • Use leadership skills to foster a commitment to quality and openness to improvement. • Analyze training needs and implementing training programs • Prepare and maintain quality and audit documentation • Undertake self-directed problem solving and decision-making on issues of a broad and/or highly specialized nature and in highly varied and/or highly specialized contexts • Communicate at all levels in the organization and to audiences of different levels of literacy and numeracy • Analyze current state/situation of the organization. • Analyze individually and collectively the implementation of competitive systems and practices tools in the organization and determining strategies for improved implementation • Solve highly varied and highly specialized problems related to competitive systems and practices implementation and continuous improvement to root cause • Negotiate with stakeholders, where required, to obtain information required for implementation and refinement of continuous improvements, including management, unions, employees and members of the community. • Review relevant metrics, including all those measures which might be used to determine the performance of the improvement system, including: > Key Performance Indicators (KPIs) for existing processes > Quality statistics > Delivery timing and quantity statistics > Process/equipment reliability ('uptime')
Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Sector: Economic Infrastructure
Sub-Sector: Documentation Authentication and Registration

Level V	Documents Authentication and Registration Management
Level IV	Documents Authentication and Registration Services
Level III	Documents Verification and Registration Operation
Level II	Clerical Works Support
Level I	Basic Clerical Works

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This occupational standard was developed on August 2012 at Debre Zeyit.

COMMENT TEMPLATE

The Federal TVET Agency values your feedback of the document.
If you would like someone to personally contact you, please provide the following information:
Name:
Region:
Phone number:
Email:
Contact preference: Phone   E-mail
Please, leave a comment.

Thank you for your time and consideration to complete this. For additional comments, please contact us on:

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