



Federal Democratic Republic of Ethiopia  
OCCUPATIONAL STANDARD

## DOCUMENTS AUTHENTICATION AND REGISTRATION SERVICES

### NTQF Level IV



*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

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## UNIT OF COMPETENCE CHART

**Occupational Standard: Documents Authentication and Registration Services**

**Occupational Code: EIS DAR**

**NTQF Level IV**

<p><a href="#">EIS DAR4 01 0812</a> Develop Principles of Document Verification and Registration Service</p>	<p><a href="#">EIS DAR4 02 0812</a> Develop Client Services</p>	<p><a href="#">EIS DAR4 03 0812</a> Document Authentication</p>
<p><a href="#">EIS DAR4 04 0812</a> Support Policy Implementation</p>	<p><a href="#">EIS DAR4 05 0812</a> Work within a Relevant Legal and Ethical Framework</p>	<p><a href="#">EIS DAR4 06 0812</a> Conduct Fraud Control Awareness Sessions</p>
<p><a href="#">EIS DAR4 07 0812</a> Monitor Data for Indicators of Fraud</p>	<p><a href="#">EIS DAR4 08 0812</a> Coordinate Implementation of Customer Service Strategies</p>	<p><a href="#">EIS DAR4 09 0812</a> Provide Information about Records</p>
<p><a href="#">EIS DAR4 10 0812</a> Manage Database</p>	<p><a href="#">EIS DAR4 11 0812</a> Review the Status of a Record</p>	<p><a href="#">EIS DAR4 12 0812</a> Encourage Compliance with Legislation in Public Sector</p>
<p><a href="#">EIS DAR4 13 0812</a> Apply Risk Management Processes</p>	<p><a href="#">EIS DAR4 14 0812</a> Plan and Organize Work</p>	<p><a href="#">EIS DAR4 15 0812</a> Migrate to New Technology</p>
<p><a href="#">EIS DAR4 16 0812</a> Establish Quality Standards</p>	<p><a href="#">EIS DAR4 17 0812</a> Develop Individuals and Team</p>	<p><a href="#">EIS DAR4 18 0812</a> Utilize Specialized Communication Skills</p>
<p><a href="#">EIS DAR4 19 0812</a> Manage and Maintain Small/Medium Business Operations</p>	<p><a href="#">EIS DAR4 20 1012</a> Apply Problem Solving Techniques and Tools</p>	

Occupational Standard: Documents Authentication and Registration Services Level IV	
Unit Title	Develop Principles of Document Verification and Registration Service
Unit Code	<a href="#">EIS DAR4 01 0812</a>
Unit Descriptor	This unit defines the competence required to work in document verification and registration service by designing the principles.

Elements	Performance Criteria
1. Design basic principles of document verification and registration delivery systems	<p>1.1 Current verification and registration delivery system is designed as appropriate facility organizational level.</p> <p>1.2 Formulation of basic principles of <b>delivery system</b> is ensured in relation to <b>document verification and registration</b> information.</p> <p>1.3 Ensure information flow is channeled and designed based on the relationship between <b>federal and regional state organizations</b>.</p> <p>1.4 Information needs are identified and analyzed through assessments.</p>
2. Follow organizations' regulation of verification and registration service	<p>2.1 Make sure that organization structure and <b>operational principles</b> are formulated according to the national regulation.</p> <p>2.2 Regulations applicable to design for verification and registration services are followed.</p> <p>2.3 Ensure <b>service development programs</b> are designed based on the respective strategy document.</p>

Variable	Range
Verification and registration delivery systems	<p>May include but not limited to:</p> <ul style="list-style-type: none"> <li>• Document Authentication and Registration Office delivery systems</li> <li>• Ministry of Foreign Affair delivery systems</li> <li>• Ministry of Defense delivery systems</li> <li>• Federal prison Administration office delivery systems</li> <li>• Regional state Justice Bureau delivery systems</li> <li>• Federal Investment Agency delivery systems</li> <li>• Transport Ministry delivery systems</li> <li>• Revenue and customs authority delivery systems</li> <li>• Marine and logistics authority delivery systems</li> <li>• Aviation authority delivery systems</li> </ul>

	<ul style="list-style-type: none"> <li>• Municipalities delivery systems</li> <li>• Intellectual property and neighboring right authority delivery systems</li> </ul>
Federal and regional state organizations	<p>May include but not limited to:</p> <ul style="list-style-type: none"> <li>• Document authentication and registration office</li> <li>• Ministry of Foreign Affair</li> <li>• Ethiopian Embassies and consular office</li> <li>• Ministry of Defense</li> <li>• Federal prison</li> <li>• Regional state Justice Bureau</li> <li>• Federal Investment Agency</li> <li>• Municipalities</li> <li>• Road transport authority</li> <li>• Revenue and custom authority</li> <li>• Marine and logistics authority</li> <li>• Aviation authority</li> <li>• Citizenship and immigration authority</li> <li>• Intellectual property and neighboring right authority</li> </ul>
Operational principles	<p>May include but not limited to:</p> <ul style="list-style-type: none"> <li>• client reception and handling</li> <li>• verification and registration administration</li> <li>• payment</li> <li>• confidentiality of information</li> <li>• Service delivery</li> <li>• Special treatment for elders and disables. verification and registration services related polices, strategies and guidelines are followed</li> </ul>
Service development programs	<ul style="list-style-type: none"> <li>• Programs which are implemented for improving document verification and registration service.</li> </ul>

<b>Evidence Guide</b>	
Critical Aspects of Competence	<p>Demonstrates skills and knowledge in:</p> <ul style="list-style-type: none"> <li>• designing principles of document verification and registration delivery system</li> <li>• following regulations of document verification and registration service</li> <li>• explaining current issues which impact the development of the document verification and registration policies</li> <li>• using application principles of document verification and registration delivery system</li> </ul>

Underpinning Knowledge and Attitudes	<p>Demonstrates knowledge of:</p> <ul style="list-style-type: none"> <li>• organizations involved in document verification and registration in Ethiopia</li> <li>• basic knowledge of and program strategies, Federal, Regional and local document verification and registration initiatives and priorities</li> <li>• Regulations of document verification and registration service.</li> <li>• principles of document verification and registration delivery system</li> <li>• Equity issues in document verification and registration.</li> <li>• Millennium Development Goals (MDG's)</li> <li>• plan for Accelerated and Sustained Development to End Poverty (PASDEP)</li> <li>• overall structure of Ethiopian document verification and registration system and context</li> <li>• identification of current document verification and registration service models and delivery</li> <li>• current issues which impact the development of the document verification and registration policies</li> <li>• framework of document verification and registration</li> </ul>
Underpinning Skills	<p>Demonstrates skills to:</p> <ul style="list-style-type: none"> <li>• apply principles of document verification and registration delivery system</li> <li>• implement regulations of document verification and registration service</li> <li>• implement planning skill</li> <li>• use communication skill</li> </ul>
Resources Implication	<p>Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.</p>
Methods of Assessment	<p>Competence may be assessed through:</p> <ul style="list-style-type: none"> <li>• Interview / Written Test</li> <li>• Observation / Demonstration with Oral Questioning</li> </ul>
Context of Assessment	<p>Competence may be assessed in the work place or in a simulated work place setting.</p>

Occupational Standard: Documents Authentication and Registration Services Level IV	
<b>Unit Title</b>	<b>Develop Client Services</b>
<b>Unit Code</b>	<a href="#">EIS DAR4 02 0812</a>
<b>Unit Descriptor</b>	This unit describes the knowledge and skills required to meet the specific needs of a broad range of existing and new clients within a defined framework.

Elements	Performance Criteria
1. Target client services	<p>1.1 In identifying and assessing client needs, give due consideration to group and individual rights, relevant community requirements and the organization legislative environment</p> <p>1.2 Clients' profiles are established and maintained in accordance with organization and legislative requirements and used to monitor delivery of appropriate services</p> <p>1.3 Clients' service delivery plan is developed to address client needs and rights, including aims and objectives, resourcing implications, evaluation strategies and contingency plans</p> <p>1.4 Appropriate <b>client service</b> is identified and selected to meet client needs within the scope of area of responsibility</p> <p>1.5 A range of mechanisms are implemented to ensure regular client service feedback to gauge levels of satisfaction</p> <p>1.6 Client service feedback and report are recorded and analyzed to ensure problems are resolved and improvements implemented</p> <p>1.7 Where client data and profiles indicate inability of the organization to meet client needs, redesign services or refer <b>clients</b> to another organization as required</p>
2. Deliver client service	<p>2.1 Ensure dealings with clients are consistent with their needs and rights, with accepted practice and codes of conduct of the organization and duty of care responsibilities</p> <p>2.2 Ensure service delivered to clients upholds relevant legislative requirements, the reputation of the organization and the area of work</p> <p>2.3 Base client service delivery on accurate and up to date information about client, service options and the service being delivered</p>

	<p>2.4 All appropriate documentations related to client service delivery are completed and maintained according to organization standards</p> <p>2.5 Implement strategies to ensure client services are routinely reviewed in the light of client needs and rights and organization policies and capabilities, and implement remedial action as appropriate</p>
3. Develop and promote client services	<p>3.1 The service delivery of the organization is promoted wherever opportunities arise</p> <p>3.2 Services to existing and/or potential clients are promoted to ensure that the details of the full range of services are understood</p> <p>3.3 A range of service options for clients are developed, documented and promoted to facilitate informed client access to services</p> <p>3.4 Assist <b>clients to identify their needs</b> and rights and select the best available service</p>

Variable	Range
Client service	May include but not limited to: <ul style="list-style-type: none"> <li>• specific to the organization</li> </ul>
Clients	May include but not limited to: <ul style="list-style-type: none"> <li>• self referral or referred</li> <li>• individual members of the public</li> <li>• other organizations, community groups and individuals</li> <li>• other work areas of the organization</li> <li>• senior management</li> </ul>
Clients to identify their needs	May include but not limited to: <ul style="list-style-type: none"> <li>• disabilities</li> <li>• language</li> <li>• gender</li> <li>• culture</li> <li>• age</li> <li>• location</li> </ul>

Evidence Guide	
Critical Aspects of Competence	Demonstrates skills and knowledge in: <ul style="list-style-type: none"> <li>• explaining principles of effective client service delivery</li> <li>• describing organization specific client services provided</li> <li>• demonstrating service delivery skills</li> <li>• demonstrating responsiveness to client needs</li> </ul>



Underpinning Knowledge and Attitudes	<p>Demonstrates knowledge of:</p> <ul style="list-style-type: none"> <li>• principles of effective client service delivery</li> <li>• organization specific client services provided</li> <li>• service delivery skills</li> <li>• language used may be Federal/regional working language, foreign language and sign language</li> </ul>
Underpinning Skills	<p>Demonstrates skills to:</p> <ul style="list-style-type: none"> <li>• establish and maintain a network of service providers</li> <li>• incorporate the requirements of all groups in client service delivery</li> <li>• demonstrate responsiveness to client needs</li> <li>• apply oral communication skills required to fulfill the job role in the organization/service: <ul style="list-style-type: none"> <li>➤ oral communication skills may include listening, asking questions, providing encouragement</li> <li>➤ working language, foreign language and sign language</li> </ul> </li> <li>• apply literacy competence required to fulfill the procedures of the organization/service: <ul style="list-style-type: none"> <li>➤ working language, foreign language depending on the service/ organization</li> <li>➤ Utilize relevant information technology effectively in line with occupational health and safety (OHS) guidelines</li> </ul> </li> </ul>
Resources Implication	<p>Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.</p>
Methods of Assessment	<p>Competence may be assessed through:</p> <ul style="list-style-type: none"> <li>• Interview / Written Test</li> <li>• Observation / Demonstration with Oral Questioning</li> </ul>
Context of Assessment	<p>Competence may be assessed in the work place or in a simulated work place setting.</p>

Occupational Standard: Documents Authentication and Registration Services Level IV	
Unit Title	Document Authentication
Unit Code	<a href="#">EIS DAR4 03 0812</a>
Unit Descriptor	This unit describes the knowledge and skills required to check the morality and legality of document.

Elements	Performance Criteria
1. Check the document	<p>1.1 Check the document is prepared based on legislative requirement and <b>organizational procedures</b>.</p> <p>1.2 Ensure the document is <b>morally</b> and legally accepted.</p> <p>1.3 Reassure the documents to be corrected if they are against the rules of law and moral.</p> <p>1.4 Ensure the authorized person capacity and right that has emanated from the rule or <b>contract</b>.</p>
2. Investigate relevant documents	<p>2.1 Examine the documents that have been mentioned on the contract or agreement.</p> <p>2.2 If document is not complete, return to the <b>customers</b> by explaining the issue to bring complete document.</p> <p>2.3 Relevant document to be attached is mentioned in the <b>contract or agreement</b>.</p> <p>2.4 Prepare the agreement or contract using the available verification and registration organizational system.</p>
3. Authenticate document	<p>3.1 <b>Completeness of documents</b> is ensured.</p> <p>3.2 Sign and affix a seal on the document.</p>

Variable	Range
Organizational procedures	<p>May include but not limited to:</p> <ul style="list-style-type: none"> <li>• working manual</li> <li>• code of conduct</li> <li>• code of ethics</li> <li>• administrative manual</li> </ul>
Morally	<p>May include but not limited to:</p> <ul style="list-style-type: none"> <li>• Culture</li> <li>• Belief</li> <li>• Value</li> <li>• Personality</li> </ul>

	<ul style="list-style-type: none"> <li>• Attitude</li> <li>• Religion</li> </ul>
Contract	An agreement between two or more parties creating obligation that are enforceable or otherwise recognizable at law
Customers	<ul style="list-style-type: none"> <li>• Natural Person</li> <li>• Legal Person</li> </ul>
Contract or agreement	<p>May include but not limited to:</p> <ul style="list-style-type: none"> <li>• Contract may include: <ul style="list-style-type: none"> <li>➢ Performance</li> <li>➢ Loan of money</li> <li>➢ Withholding security</li> <li>➢ Publishing</li> <li>➢ Sales</li> <li>➢ Pledge</li> <li>➢ Public works</li> <li>➢ Suppliers</li> </ul> </li> <li>• Agreement may include: <ul style="list-style-type: none"> <li>➢ Marriage</li> <li>➢ Medical/ hospital</li> <li>➢ Letting or hiring</li> <li>➢ Donation</li> <li>➢ Consultancy</li> </ul> </li> </ul>
Completeness of documents	<p>May include but not limited to:</p> <ul style="list-style-type: none"> <li>• the customer signed on the document</li> <li>• relevant documents annexed</li> <li>• stamp duty is attached</li> <li>• put authorized person initial in all pages of document</li> <li>• public seal on the document and sign document as well</li> </ul>

### Evidence Guide

Critical Aspects of Competence	<p>Demonstrates skills and knowledge in:</p> <ul style="list-style-type: none"> <li>• Implement civil code, family law and civil procedure.</li> <li>• proper organizational rules and procedures</li> <li>• communication and negotiation with clients involving complex oral and written exchanges</li> <li>• reading and applying complex documents such as contracts, agreement, legislation and guidelines</li> </ul>
Underpinning Knowledge and Attitudes	<p>Demonstrates knowledge of:</p> <ul style="list-style-type: none"> <li>• Proclamation No 334/2003 and 467/2005</li> <li>• Investment proclamation</li> <li>• Commercial code</li> <li>• Civil code</li> <li>• Family law and Civil procedure</li> </ul>

Underpinning Skills	<p>Demonstrates skills to:</p> <ul style="list-style-type: none"> <li>• communicate and negotiate with clients involving complex oral and written exchanges</li> <li>• network with diverse clients, contractors and end users</li> <li>• respond to diversity, including gender and disability</li> <li>• read and apply complex documents such as contracts, agreement, legislation and guidelines</li> <li>• apply occupational health and safety and environmental requirements in the context of contract management</li> </ul>
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	<p>Competence may be assessed through:</p> <ul style="list-style-type: none"> <li>• Interview / Written Test</li> <li>• Observation / Demonstration with Oral Questioning</li> </ul>
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Documents Authentication and Registration Services Level IV	
<b>Unit Title</b>	<b>Support Policy Implementation</b>
<b>Unit Code</b>	<a href="#">EIS DAR4 04 0812</a>
<b>Unit Descriptor</b>	This unit covers the identification and application of policy in a public sector work environment. It includes identifying relevant policy, implementing policy, and monitoring and reporting on policy implementation.

Elements	Performance Criteria
1. Identify relevant policy	<p>1.1 <b>Work situations</b> that are shaped by government or organization policy are identified in accordance with public sector guidelines</p> <p>1.2 Policy relating to particular work situations is identified and located</p>
2. Implement policy	<p>2.1 <b>Policy</b> to be implemented is interpreted under direction to identify and plan for change in work practices</p> <p>2.2 The implications of policy for individual work practices are identified, and practices are confirmed/adjusted to reflect policy requirements in accordance with organizational procedures</p> <p>2.3 Others affected by policy requirements are supported to accommodate those requirements \</p> <p>2.4 Policy is implemented to support achievement of outcomes intended in specific work areas</p>
3. Monitor and report on policy implementation	<p>3.1 <b>Information</b> that will assist with the evaluation of the effectiveness of policy implementation is gathered, recorded and reported under direction in accordance with organizational procedures</p> <p>3.2 Information that will assist with the evaluation of the impact of policy implementation on organizational outcomes is gathered, recorded and reported under direction in accordance with organizational procedures</p>

Variable	Range
Work situations	May include but not limited to: <ul style="list-style-type: none"> <li>• processes</li> <li>• outcomes</li> </ul>

	<ul style="list-style-type: none"> <li>• priorities</li> <li>• client services</li> <li>• core business</li> <li>• service delivery mode/s</li> <li>• organizational structure</li> </ul>
Policy	<p>May include but not limited to:</p> <ul style="list-style-type: none"> <li>• government policy</li> <li>• organization policy</li> </ul>
Information	<p>May include but not limited to:</p> <ul style="list-style-type: none"> <li>• statistical data</li> <li>• qualitative data</li> <li>• anecdotal feedback</li> <li>• survey data</li> <li>• stakeholder opinions</li> </ul>

### Evidence Guide

Critical Aspects of Competence	<p>Demonstrates skills and knowledge in:</p> <ul style="list-style-type: none"> <li>• current organization policies</li> <li>• organization and government procedures and protocols</li> <li>• practices and procedures for developing policy guidelines</li> <li>• adjusting communication to suit different audiences</li> <li>• public sector code/s of ethics and code/s of conduct</li> </ul>
Underpinning Knowledge and Attitudes	<p>Demonstrates knowledge of:</p> <ul style="list-style-type: none"> <li>• practices and procedures for developing policy guidelines</li> <li>• policy feedback mechanisms</li> <li>• current organization policies</li> <li>• whole of government policies and international policy obligations that impact on organization policy</li> <li>• organization and government procedures and protocols</li> <li>• public sector code/s of ethics and code/s of conduct</li> <li>• equal employment opportunity, equity and diversity principles</li> <li>• environmental and occupational health and safety implications of policy/s being implemented</li> </ul>
Underpinning Skills	<ul style="list-style-type: none"> <li>• working as a member of a team to consult on and prepare policy guidelines</li> <li>• adjusting communication to suit different audiences</li> <li>• responding to diversity, including gender and disability</li> <li>• gathering and analyzing policy feedback</li> <li>• accessing policies and legislation electronically or in hard copy</li> <li>• identifying and addressing the environmental and occupational health and safety implications of policy/s being implemented</li> </ul>

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: <ul style="list-style-type: none"> <li>• Interview / Written Test</li> <li>• Observation / Demonstration with Oral Questioning</li> </ul>
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Documents Authentication and Registration Services Level IV	
Unit Title	Work within a Relevant Legal and Ethical Framework
Unit Code	<a href="#">EIS DAR4 05 0812</a>
Unit Descriptor	This unit describes the knowledge and skills required to work within a legal and ethical framework that supports duty of care requirement.

Elements	Performance Criteria
1. Demonstrate an understanding of legislation relevant to work role	<p>1.1 Understanding of the legal responsibilities and obligations of the work role is demonstrated</p> <p>1.2 <b>Key legislation and regulatory requirements</b> relevant to the work role are demonstrated</p> <p>1.3 Duty of care is fulfilled in the course of practice</p> <p>1.4 Responsibility is accepted for own actions</p> <p>1.5 Confidentiality is maintained</p> <p>1.6 Where possible, seek the agreement of the client prior to providing services</p>
2. Follow identified policies and practices	<p>2.1 Work is performed within <b>identified policies, protocols and procedures</b></p> <p>2.2 The review and development of policies and protocols are done as appropriate</p> <p>2.3 Work is done within position specifications and role responsibilities</p> <p>2.4 Seek clarification when unsure of scope of practice as defined by position description or specific work role requirements</p> <p>2.5 Clarification of unclear instructions is sought</p>
3. Work ethically	<p>3.1 The <b>rights</b> of the client are protected when delivering services</p> <p>3.2 Effective problem solving techniques are used when exposed to competing value systems</p> <p>3.3 Ensure services are available to all clients regardless of personal values, beliefs, attitudes and culture</p> <p>3.4 Potential ethical issues and ethical dilemmas in the workplace are recognized and discussed with an appropriate person</p>



	<p>3.5 Unethical conduct is recognized and <b>reported</b> to an appropriate person</p> <p>3.6 Work is done within boundaries applicable to work role</p> <p>3.7 Effective application of guidelines and legal requirements relating to disclosure and confidentiality is demonstrated</p> <p>3.8 Awareness of own personal values and attitudes is demonstrated and taken into account to ensure non-judgmental practice</p> <p>3.9 Any conflict of interest is recognized, avoided and/or addressed</p>
4. Recognize and respond when client rights and interests are not being protected	<p>4.1 The client and/or their advocate/s are supported to identify and express their concerns</p> <p>4.2 Client and/or their advocate/s are referred to advocacy services if appropriate</p> <p>4.3 Identified policy and protocols are followed when managing a complaint</p> <p>4.4 Witnessed signs consistent with financial, physical, emotional, sexual abuse and neglect of the client are recognized and reported to an <b>appropriate person as required</b></p> <p>4.5 Cultural/linguistic religious diversity, for example providing interpreters is recognized and responded to where necessary</p>

Variable	Range
Key legislation and regulatory requirements may include those related to:	<ul style="list-style-type: none"> <li>• Building standards</li> <li>• Care and education of young children</li> <li>• Child protection and guardianship legislation</li> <li>• Criminal acts</li> <li>• Discrimination and harassment</li> <li>• Equal employment opportunities</li> <li>• Freedom of information</li> <li>• Health records legislation</li> <li>• Mental health legislation</li> <li>• International and national standards</li> <li>• OHS</li> <li>• Pharmaceutical benefits</li> <li>• Poisons and therapeutics</li> <li>• Privacy legislation</li> </ul>

	<ul style="list-style-type: none"> <li>• Public health</li> <li>• Registration and practice of health professionals</li> <li>• Residential and community services</li> <li>• Restrictive practices</li> </ul>
Identified policies, protocols and procedures refer to:	<ul style="list-style-type: none"> <li>• Guidelines and practices developed to address legal, ethical and regulatory requirements, including: <ul style="list-style-type: none"> <li>➢ formal, documented guidelines of an organization</li> <li>➢ informal practices used by a small organization or individual owner/operator</li> </ul> </li> </ul>
Rights	<p>May include but not limited to:</p> <ul style="list-style-type: none"> <li>• access to services</li> <li>• confidentiality</li> <li>• dignity</li> <li>• freedom of association</li> <li>• informed choice</li> <li>• privacy</li> <li>• right to express ideas and opinions</li> <li>• to lodge a complaint</li> </ul>
Report may be transferred through :	<ul style="list-style-type: none"> <li>• Verbal: <ul style="list-style-type: none"> <li>➢ telephone</li> <li>➢ face-to-face</li> </ul> </li> <li>• Non-verbal (written): <ul style="list-style-type: none"> <li>➢ progress reports</li> <li>➢ case notes</li> <li>➢ incident reports</li> </ul> </li> </ul>
Appropriate persons	<p>May include but not limited to:</p> <ul style="list-style-type: none"> <li>• advocates/family members</li> <li>• colleagues</li> <li>• external agencies (complaints and advocacy services. professional registering authorities, child protection authorities)</li> <li>• law enforcement officers</li> <li>• member of senior management</li> </ul>

### Evidence Guide

Critical Aspects of Competence	<p>Demonstrates skills and knowledge in:</p> <ul style="list-style-type: none"> <li>• Demonstrate understanding of and adherence to own work role and responsibilities</li> <li>• Follow organization policies, protocols and procedures</li> <li>• Work within legal and ethical frameworks</li> <li>• Distinguishing between ethical and legal problems</li> <li>• Describing Importance of ethics in practice</li> </ul>
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	<ul style="list-style-type: none"> <li>• Explaining Importance of principles and practices to enhance sustainability in the workplace, including environmental, economic, workforce and social sustainability</li> <li>• Apply reading and writing skills required to fulfill work role in a safe manner and as specified by the organization</li> <li>• Apply oral communication skills required to fulfill work role in a safe manner and as specified by the organization</li> <li>• Apply problem solving skills that require to resolve problems of a difficult nature within organization procedure</li> <li>• Apply relevant standards and codes of practice in the sector</li> <li>• Outline of common legal issues relevant to the workplace</li> </ul>
Underpinning Knowledge and Attitudes	<p>Demonstrates knowledge of:</p> <ul style="list-style-type: none"> <li>• distinction between ethical and legal problems</li> <li>• importance of ethics in practice</li> <li>• importance of principles and practices to enhance sustainability in the workplace, including environmental, economic, workforce and social sustainability</li> <li>• Occupational Health and Safety (OHS) requirements</li> <li>• outline of common legal issues relevant to the workplace</li> <li>• overview of relevant legislation in the sector and jurisdictions</li> <li>• principles and practices for upholding the rights of the client</li> <li>• principles and practices of confidentiality</li> <li>• relevant standards and codes of practice in the sector</li> <li>• rights and responsibilities of clients</li> <li>• rights and responsibilities of workers</li> <li>• specific principles underpinning duty of care and associated legal requirements</li> <li>• strategies for addressing common ethical issues</li> <li>• strategies for contributing to the review and development of policies and protocols</li> <li>• strategies for managing complaints</li> <li>• demonstrating how to do the task such as: <ul style="list-style-type: none"> <li>➤ overview of the legal system</li> <li>➤ principles and practices for upholding the rights of the children and young people</li> <li>➤ principles of ethical decision-making</li> <li>➤ reporting mechanisms for suspected abuse of a client</li> <li>➤ strategies for managing abuse of a client</li> <li>➤ types of abuse experienced by client (including systems abuse)</li> <li>➤ types of law</li> </ul> </li> </ul>

Underpinning Skills	<p>Demonstrates skills to:</p> <ul style="list-style-type: none"> <li>• demonstrate understanding of and adherence to own work role and responsibilities</li> <li>• follow organization policies, protocols and procedures</li> <li>• work within legal and ethical frameworks</li> <li>• demonstrate the ability to: <ul style="list-style-type: none"> <li>➤ Apply reading and writing skills required to fulfill work role in a safe manner and as specified by the organization</li> <li>➤ Apply oral communication skills required to fulfill work role in a safe manner and as specified by the organization</li> <li>➤ Apply problem solving skills that require negotiation to resolve problems of a difficult nature within organization protocols</li> <li>➤ Consult with a variety of stakeholders in order to achieve service objectives</li> </ul> </li> </ul>
Resources Implication	<p>Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.</p>
Methods of Assessment	<p>Competence may be assessed through:</p> <ul style="list-style-type: none"> <li>• Interview / Written Test</li> <li>• Observation / Demonstration with Oral Questioning</li> </ul>
Context of Assessment	<p>Competence may be assessed in the work place or in a simulated work place setting.</p>

<b>Occupational Standard: Documents Authentication and Registration Services Level IV</b>	
<b>Unit Title</b>	<b>Conduct Fraud Control Awareness Sessions</b>
<b>Unit Code</b>	<a href="#"><u>EIS DAR4 06 0812</u></a>
<b>Unit Descriptor</b>	This unit covers the presentation of information/awareness sessions focused on fraud and corruption control activities. It includes preparing for, and delivering fraud and corruption control awareness presentations and reviewing the outcomes.

<b>Elements</b>	<b>Performance Criteria</b>
1. Prepare for fraud and corruption control awareness presentation	<p>1.1 Objectives are developed for the <b>presentation</b> that reflect the identified needs of the participants, are achievable and stated in terms of outcomes.</p> <p>1.2 Presentation methods are selected to suit identified outcomes, participants' needs and availability of equipment and resources.</p> <p>1.3 Provision is made for participants to contribute to the session based on their experience.</p> <p>1.4 Content of materials to be used is validated by experience before use, where possible.</p> <p>1.5 Examples of incidents and results of non-compliance are included in presentation materials.</p> <p>1.6 Examples of successful cooperative arrangements are included in presentation materials.</p> <p>1.7 Presentation methods and information are structured to suit the specified objectives of the session, the needs of the participants and the size and location of the group.</p>
2. Deliver session on fraud and corruption awareness	<p>2.1 Session is structured to facilitate the creation of opportunities for discussion of broad conceptual, ethical and legal issues surrounding fraud and corruption control.</p> <p>2.2 Objectives of the session, structure of the activities and other details are explained to participants to suit their level of understanding and experience, and feedback elicited.</p> <p>2.3 Materials and presentation techniques used are adapted to the particular audience and are effective and interesting.</p> <p>2.4 Materials are presented in such a way as to establish a positive response in the organization and its clients regarding fraud and corruption control.</p>

	<p>2.5 Case studies are used for illustrative purposes, where possible.</p> <p>2.6 Models of excellence of fraud and corruption control in the public and private sectors are highlighted.</p>
3. Review fraud and corruption control awareness session outcomes	<p>3.1 Participants are encouraged to provide feedback on all aspects of the awareness sessions.</p> <p>3.2 Suitability of the approach, the content and outcomes are reviewed as a guide for further activities.</p> <p>3.3 Own performance is reviewed against objectives and in response to participants' responses and comments.</p> <p>3.4 Advice is provided to appropriate people regarding possible future activities or amendments to organizational awareness strategy and programs, including identification of high risk areas for fraud and corruption activities.</p>

Variable	Range
Presentation may include:	<p>May include but not limited to:</p> <ul style="list-style-type: none"> <li>• in formal situations</li> <li>• addressing special interest groups or community groups</li> <li>• part of a broader induction program for agency staff</li> <li>• explaining procedures and guidelines</li> <li>• on-the-job coaching</li> </ul>

Evidence Guide	
Critical Aspects of Competence	<p>Demonstrates skills and knowledge in:</p> <ul style="list-style-type: none"> <li>• legislation, policies, guidelines and processes relating to fraud and corruption control and investigation</li> <li>• public sector values and codes of conduct</li> <li>• tailoring sessions to the needs of adult learners</li> <li>• making presentations to provide fraud and corruption awareness sessions aimed at improving investigative skills of less experienced members of staff</li> </ul>
Underpinning Knowledge and Attitudes	<p>Demonstrates knowledge of:</p> <ul style="list-style-type: none"> <li>• legislation, policies, guidelines and processes relating to fraud and corruption control and investigation</li> <li>• legislation and procedures relating to public interest disclosures, protected disclosures or whistle blowing</li> <li>• agency structure and core business</li> <li>• the link between ongoing information/awareness sessions and effective fraud and corruption control</li> <li>• adult learning principles</li> </ul>

	<ul style="list-style-type: none"> <li>• public sector values and codes of conduct</li> <li>• anti-discrimination and diversity legislation</li> <li>• legislation, policies and procedures relating to presentations including occupational health and safety and environment</li> </ul>
Underpinning Skills	<p>Demonstrates skills to:</p> <ul style="list-style-type: none"> <li>• make presentations to provide fraud and corruption awareness sessions aimed at improving investigative skills of less experienced members of staff</li> <li>• tailor sessions to the needs of adult learners</li> <li>• explain complex concepts and formal documents such as legislation, standards and codes of conduct</li> <li>• use a range of communication styles to suit different audiences and purposes</li> <li>• respond to diversity, including gender and disability</li> <li>• mentor culturally and linguistically diverse staff to maximize fraud and corruption control awareness</li> <li>• design/have input into awareness sessions delivered by specialists</li> <li>• incorporate feedback from attendees into future session design and delivery</li> <li>• apply occupational health and safety and environmental procedures in the context of delivering fraud and corruption control awareness sessions</li> </ul>
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	<p>Competence may be assessed through:</p> <ul style="list-style-type: none"> <li>• Interview / Written Test</li> <li>• Observation / Demonstration with Oral Questioning</li> </ul>
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Documents Authentication and Registration Services Level IV	
Unit Title	Monitor Data for Indicators of Fraud
Unit Code	<a href="#">EIS DAR4 07 0812</a>
Unit Descriptor	This unit covers the collection of data from a wide variety of sources and its input into appropriate data management systems for interrogation to identify indicators of fraud and corruption. It includes collating and interrogating data and monitoring for indicators of fraud and corruption.

Elements	Performance Criteria
1. Collate data	<p>1.1 Relevant data sources are identified and data is collected that is compatible, useful, relevant, reliable, valid and timely.</p> <p>1.2 Data is organized in prescribed form in accordance with the identified information needs and uses.</p> <p>1.3 Data is checked for accuracy, suitability and compliance with legal and privacy responsibilities and security.</p> <p>1.4 The need to liaise with specialists is determined and acted on in accordance with organizational policy and procedures.</p> <p>1.5 Ways to improve fraud and corruption control <b>data</b> content, interfaces and usefulness are monitored, and recommendations are made to supervisors and other <b>stakeholders</b>.</p>
2. Interrogate data	<p>2.1 Quantitative and/or qualitative analyses are performed to obtain required outcomes in accordance with the <b>purpose</b> of each analysis.</p> <p>2.2 Analysis and description tools and techniques are selected appropriate to the nature of the information and the required outcome.</p> <p>2.3 Priority of data to be interrogated is determined in consultation with appropriate people, and work is organized accordingly.</p> <p>2.4 An understanding of the nature of the program or activity from which the data is obtained, the way in which the information is structured in the system and the likely indications of fraud and corruption activities are reflected in the analysis of material.</p> <p>2.5 Preliminary recommendations are expressed in the detail, format and timeframe required.</p>



<p>3. Monitor for indicators of fraud and corruption</p>	<p>3.1 Fraud and corruption or possible fraud and corruption situations are identified, staff and systems alerted and <b>actions</b> initiated.</p> <p>3.2 Where indicators arise for which there are no precedents, information is referred to the appropriate people for further analysis.</p> <p>3.3 Trends indicating activities outside control limits are reported for further analysis and investigation.</p> <p>3.4 Checks are made for internal consistency and compliance with established structure, rules and authorities for accessing information.</p> <p>3.5 Variations from standards and <b>guidelines</b> are reported in accordance with organizational policy and procedures.</p>
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Variable	Range
Data	May include but not limited to: <ul style="list-style-type: none"> <li>• electronic systems</li> <li>• paper-based systems</li> <li>• client data</li> <li>• other individuals and organizations</li> </ul>
Stakeholders	May include but not limited to: <ul style="list-style-type: none"> <li>• staff and senior management</li> <li>• clients</li> <li>• law enforcement agencies</li> <li>• organizations providing data</li> <li>• standards-setting organizations</li> </ul>
Purposes of data analysis	May include but not limited to: <ul style="list-style-type: none"> <li>• response to ongoing or individual requests for information from specified people to check for particular information</li> <li>• matching data as part of a random check</li> <li>• conducting a needs assessment for fraud and corruption prevention and awareness activities</li> <li>• generating and initiating fraud and corruption control activities</li> </ul>
Actions resulting from data interrogation	May include but not limited to: <ul style="list-style-type: none"> <li>• investigation or inquiry</li> <li>• legislative change</li> <li>• administrative change</li> <li>• policy change</li> <li>• improved referral to another organization for investigation</li> </ul>
Guidelines may include:	<ul style="list-style-type: none"> <li>• legislation and guidelines prepared by relevant standards-setting organizations</li> </ul>

<b>Evidence Guide</b>	
Critical Aspects of Competence	<p>Demonstrates skills and knowledge in:</p> <ul style="list-style-type: none"> <li>• legislation and procedures relating to public interest disclosures, protected disclosures or whistle blowing</li> <li>• privacy, confidentiality or other specific legislation and guidelines relating to fraud and corruption control</li> <li>• applying effective management of data, abiding by all agency guidelines, formats and systems</li> <li>• collating and organizing of data to assist in an investigation</li> <li>• using a range of communication styles to suit different audiences and purposes</li> </ul>
Underpinning Knowledge and Attitudes	<p>Demonstrates knowledge of:</p> <ul style="list-style-type: none"> <li>• legislation and procedures relating to public interest disclosures, protected disclosures or whistle blowing</li> <li>• privacy, confidentiality or other specific legislation and guidelines relating to fraud and corruption control</li> <li>• freedom of information legislation</li> <li>• guidelines issued by standards-setting organizations</li> <li>• organization's programs and client base</li> <li>• legislation and corresponding links with the organization's programs</li> <li>• how data is managed within the organization</li> <li>• legislation, policies and procedures relating to fraud and corruption control including occupational health and safety and environment</li> </ul>
Underpinning Skills	<p>Demonstrates skills to:</p> <ul style="list-style-type: none"> <li>• undertake research and analysis</li> <li>• interrogate data to detect patterns indicating fraud and corruption</li> <li>• apply effective management of data, abiding by all agency guidelines, formats and systems</li> <li>• record data correctly into information systems</li> <li>• use data matching to identify factors required for an investigation</li> <li>• collate and organize data to assist in an investigation</li> <li>• use a range of communication styles to suit different audiences and purposes</li> <li>• respond to diversity, including gender and disability</li> <li>• use computer software for data analysis and matching</li> <li>• apply occupational health and safety and environmental procedures in the context of fraud and corruption control data monitoring</li> </ul>

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: <ul style="list-style-type: none"> <li>• Interview / Written Test</li> <li>• Observation / Demonstration with Oral Questioning</li> </ul>
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Documents Authentication and Registration Services Level IV	
Unit Title	Coordinate Implementation of Customer Service Strategies
Unit Code	<a href="#">EIS DAR4 08 0812</a>
Unit Descriptor	This unit describes the performance outcomes, skills and knowledge required to advise on, carry out and evaluate customer service strategies, including the design of improvement strategies based on feedback. Operators may have responsibility to provide guidance or to delegate aspects of these tasks to others.

Elements	Performance Criteria
1. Advise on customer service needs	<p>1.1 <b>Customer needs</b> are clarified and accurately assessed using appropriate <b>communication techniques</b></p> <p>1.2 Problems matching service delivery to <b>customers</b> are diagnosed and options for improved service are developed within <b>organizational requirements</b></p> <p>1.3 Relevant and constructive advice is provided to promote the improvement of customer service delivery</p> <p>1.4 <b>Business technology</b> and/or <b>online services</b> is/are used to structure and present information on customer service needs</p>
2. Support implementation of customer service strategies	<p>2.1 Ensure customer service strategies and opportunities are promoted to <b>designated individuals and groups</b></p> <p>2.2 Available budget resources are identified and allocated to fulfil customer service objectives</p> <p>2.3 <b>Procedures to resolve customer difficulties</b> and <b>complaints</b> are implemented within organizational requirements</p> <p>2.4 Ensure that decisions are taken to implement <b>strategies</b> in consultation with designated individuals and groups</p>
3. Evaluate and report on customer service	<p>3.1 Client satisfaction is reviewed with service delivery using verifiable data in accordance with organizational requirements</p> <p>3.2 Changes necessary to maintain service standards are identified and reported to designated individuals and groups</p> <p>3.3 Conclusions and recommendations are prepared from verifiable evidence and constructive advice on future directions of client service strategies is provided</p>

	3.4 Systems, records and reporting procedures are maintained to compare changes in customer satisfaction
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Variable	Range
Customer needs may relate to:	<ul style="list-style-type: none"> <li>• accuracy of information</li> <li>• advice or general information</li> <li>• complaints</li> <li>• fairness/politeness</li> <li>• further information</li> <li>• making an appointment</li> <li>• prices/value</li> <li>• purchasing organization's products and services</li> <li>• returning organization's products and services</li> <li>• specific information</li> </ul>
Communication techniques	<p>May include but not limited to:</p> <ul style="list-style-type: none"> <li>• analyzing customer satisfaction surveys</li> <li>• analyzing quality assurance data</li> <li>• conducting interviews</li> <li>• consultation methods, techniques and protocols</li> <li>• making recommendations</li> <li>• obtaining management decisions</li> <li>• questioning</li> <li>• seeking feedback to confirm understanding</li> <li>• summarizing and paraphrasing</li> </ul>
Customers	<p>May include but not limited to:</p> <ul style="list-style-type: none"> <li>• corporate customers</li> <li>• individual members of the organization</li> <li>• individual members of the public</li> <li>• internal or external and other agencies</li> </ul>
Organizational requirements	<p>May include but not limited to:</p> <ul style="list-style-type: none"> <li>• access and equity principles and practice</li> <li>• antidiscrimination and related policy</li> <li>• confidentiality and security requirements</li> <li>• defined resource parameters</li> <li>• ethical standards</li> <li>• goals, objectives, plans, systems and processes</li> <li>• legal and organizational policies, guidelines and requirements</li> <li>• OHS policies, procedures and programs</li> <li>• payment and delivery options</li> <li>• quality and continuous improvement processes and standards</li> </ul>

	<ul style="list-style-type: none"> <li>• quality assurance and/or procedures manuals</li> <li>• replacement and refund policy and procedures</li> <li>• who is responsible for products or services</li> </ul>
Business technology	<p>May include but not limited to:</p> <ul style="list-style-type: none"> <li>• answering machine</li> <li>• binder</li> <li>• computer</li> <li>• fax machine</li> <li>• photocopier</li> <li>• printer</li> <li>• shredder</li> <li>• telephone</li> </ul>
Online services	<p>May include but not limited to:</p> <ul style="list-style-type: none"> <li>• access to product database by customers online</li> <li>• access to purchase, delivery and account records</li> <li>• contact centre</li> <li>• online ordering</li> <li>• online payments</li> <li>• online registration</li> <li>• quick/reasonable response</li> <li>• two-way communication online</li> </ul>
Designated individuals and groups may include:	<p>May include but not limited to:</p> <ul style="list-style-type: none"> <li>• colleagues</li> <li>• committee</li> <li>• customers</li> <li>• external organization</li> <li>• line management</li> <li>• supervisor</li> </ul>
Procedures to resolve customer difficulties	<p>May include but not limited to:</p> <ul style="list-style-type: none"> <li>• external agencies (e.g. Ombudsman)</li> <li>• item replacement</li> <li>• referrals to supervisor</li> <li>• refund of monies</li> <li>• review of products or services</li> <li>• using conflict management techniques</li> </ul>
Customer complaints	<p>May include but not limited to:</p> <ul style="list-style-type: none"> <li>• administrative errors such as incorrect invoices or prices</li> <li>• customer satisfaction with service quality</li> <li>• damaged goods or goods not delivered</li> <li>• delivery errors</li> <li>• products not delivered on time</li> <li>• service errors</li> </ul>

	<ul style="list-style-type: none"> <li>• specific business problems and issues:</li> <li>• difficulty accessing services</li> <li>• inactive links</li> <li>• not appreciating differing hardware and software</li> <li>• services not available</li> <li>• supply errors such as incorrect product delivered</li> <li>• time taken to access services</li> <li>• unfriendly website design</li> <li>• website faults</li> <li>• warehouse or store room errors such as incorrect product delivered</li> </ul>
Customer service strategies	<p>May include but not limited to:</p> <ul style="list-style-type: none"> <li>• courtesy/politeness</li> <li>• delivery times</li> <li>• merchandise characteristics</li> <li>• price offers</li> <li>• product/refund guarantees</li> <li>• product/service availability</li> </ul>

### Evidence Guide

Critical Aspects of Competence	<p>Demonstrates skills and knowledge in:</p> <ul style="list-style-type: none"> <li>• identifying needs and priorities of the organization in delivering services to customers</li> <li>• designing strategies to improve delivery of products and services</li> <li>• the principles of customer service</li> </ul>
Underpinning Knowledge and Attitudes	<p>Demonstrates knowledge of:</p> <ul style="list-style-type: none"> <li>• antidiscrimination legislation</li> <li>• ethical principles</li> <li>• codes of practice</li> <li>• environmental issues</li> <li>• occupational health and safety (OHS)</li> <li>• principles of customer service</li> <li>• organizational business structure, products and services</li> <li>• product and service standards and best practice models</li> </ul>
Underpinning Skills	<p>Demonstrates skills to:</p> <ul style="list-style-type: none"> <li>• communicate effectively with personnel and clients at all levels</li> <li>• articulate customer service strategies</li> <li>• use interpersonal skills to: <ul style="list-style-type: none"> <li>➤ build relationships with customers</li> <li>➤ establish rapport</li> </ul> </li> <li>• use literacy skills to:</li> </ul>

	<ul style="list-style-type: none"> <li>➤ prepare general information and papers</li> <li>➤ read a variety of texts</li> <li>➤ write formal and informal letters according to target audience</li> <li>➤ develop implementation schedules</li> <li>➤ solve problem by diagnosing organizational problems relating to customer services</li> <li>• self management skills to: <ul style="list-style-type: none"> <li>➤ comply with policies and procedures</li> <li>➤ evaluate and monitor own performance consistently</li> <li>➤ seek learning opportunities</li> </ul> </li> </ul>
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: <ul style="list-style-type: none"> <li>• Interview / Written Test</li> <li>• Observation / Demonstration with Oral Questioning</li> </ul>
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.



Occupational Standard: Documents Authentication and Registration Services Level IV	
Unit Title	Provide Information about Records
Unit Code	<a href="#">EIS DAR4 09 0812</a>
Unit Descriptor	This unit describes the performance outcomes, skills and knowledge required to respond as effectively as possible to enquiries from potential users of records, including using appropriate processes to access and provides information about records.

Elements	Performance Criteria
1. Identify and gather records required	<p>1.1. Specific information or search criteria required by user is <b>identified</b></p> <p>1.2. <b>Range of records</b> likely to contain information required and ascertain their availability are identified using appropriate <b>finding aids</b> and <b>records systems</b></p> <p>1.3. A range of records likely to contain information required by user are obtained, and content is analyzed</p> <p>1.4. Records are tracked to record any change in location and use, in accordance with business or records system rules and organizational procedures</p> <p>1.5. Explain to user any <b>obstacles</b> to obtaining specific records within specified time and agree a timeframe for provision of records</p>
2. Interpret and administer access rules and procedures	<p>2.1. Person requesting record/s is identified ,and <b>access</b> and category are confirmed in accordance with organizational procedures</p> <p>2.2. Access restriction rules and guidelines are applied to record/s requested to match access category of requester</p> <p>2.3. Inform requester of their rights to review the decision where access restriction rules and guidelines prevent access</p>
3. Provide the required information and/or records	<p>3.1. Requested information/records is/are prepared in appropriate formats, and in accordance with organizational procedures and specified time lines</p> <p>3.2. Specific records or portions thereof are masked in accordance with access rules and organizational procedures</p> <p>3.3. Document records retrieved and used to provide information, in accordance with business or records system operation and organizational procedures</p>

	<p>3.4. Record new locations are provided to user in accordance with system rules and organizational procedures</p> <p>3.5. Record or record information are delivered within specified timeframes</p>
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<b>Variable</b>	<b>Range</b>
Identifying information or search criteria	<p>May include but not limited to:</p> <ul style="list-style-type: none"> <li>• keywords</li> <li>• control information</li> </ul>
Range of records	<p>May include but not limited to:</p> <ul style="list-style-type: none"> <li>• different stages of use: <ul style="list-style-type: none"> <li>➤ active</li> <li>➤ archival</li> </ul> </li> <li>• digital: <ul style="list-style-type: none"> <li>➤ remote drives</li> <li>➤ servers</li> <li>➤ CDs</li> <li>➤ DVDs</li> <li>➤ imaging systems</li> <li>➤ PC-based applications</li> <li>➤ Mainframe</li> </ul> </li> <li>• physical: <ul style="list-style-type: none"> <li>➤ audio-visual or multimedia</li> <li>➤ graphic</li> <li>➤ microform</li> <li>➤ paper-based</li> <li>➤ variety of sources: <ul style="list-style-type: none"> <li>➤ already in the custody of the organization</li> <li>➤ in the process of being transferred between organizations</li> </ul> </li> </ul> </li> </ul>
Finding aids to ascertain the availability of records	<p>May include but not limited to:</p> <ul style="list-style-type: none"> <li>• databases</li> <li>• indexes</li> <li>• microforms</li> </ul>
Records systems	<p>May include but not limited to:</p> <ul style="list-style-type: none"> <li>• archival control systems</li> <li>• business systems</li> <li>• cash register-based systems</li> <li>• characteristics relating to: <ul style="list-style-type: none"> <li>➤ aggregations</li> <li>➤ context</li> <li>➤ entities</li> <li>➤ metadata</li> <li>➤ current business or records systems</li> </ul> </li> </ul>

	<ul style="list-style-type: none"> <li>➤ electronic records and document management system (ERDMS)</li> <li>➤ informal</li> <li>➤ paper-based accumulation and card systems</li> <li>➤ PC-based accounting systems, employee and tax records systems</li> <li>➤ proprietary recordkeeping package</li> <li>➤ storage facilities systems</li> </ul>
Obstacles	<p>May include but not limited to:</p> <ul style="list-style-type: none"> <li>• cost</li> <li>• inaccurate finding aids</li> <li>• reluctance of individuals or organizations to provide records</li> <li>• remoteness of location</li> <li>• transaction of standard recordkeeping practices, such as disposal</li> </ul>
Access	<p>May include but not limited to:</p> <ul style="list-style-type: none"> <li>• interpretation of clearances and privacy restrictions</li> <li>• checking level of access and associated security releases</li> </ul>

### Evidence Guide

Critical Aspects of Competence	<p>Demonstrates skills and knowledge in:</p> <ul style="list-style-type: none"> <li>• identifying records which accurately fulfill requests of users</li> <li>• applying access and security rules in the provision of records and information</li> <li>• relevant legislation, regulations and standards</li> <li>• explaining and clarifying procedures, and to interview users to identify their records/information needs</li> </ul>
Underpinning Knowledge and Attitudes	<p>Demonstrates knowledge of:</p> <ul style="list-style-type: none"> <li>• construction and use of language in the organization in relation to recordkeeping (past and present)</li> <li>• key provisions of relevant legislation from all forms of government, regulations, standards and documentation that may affect aspects of business operations, such as: <ul style="list-style-type: none"> <li>➤ ISO 15489:2004 Records management</li> <li>➤ ISO 23081.1:2006 Information and documentation - Records management processes - Metadata for records - Principles</li> </ul> </li> <li>• ethical principles</li> <li>• codes of practice</li> <li>• privacy and freedom of information</li> <li>• archives and records legislation</li> <li>• occupational health and safety</li> </ul>

	<ul style="list-style-type: none"> <li>• general principles and processes of records management and records management systems, such as: <ul style="list-style-type: none"> <li>➤ systems of control</li> <li>➤ records continuum theory</li> <li>➤ mandate and ownership of business process</li> <li>➤ environmental context</li> <li>➤ records characteristics</li> <li>➤ organizational business functions, structure and culture</li> <li>➤ organizational policies, strategies and procedures, particularly those relating to records access and security</li> </ul> </li> </ul>
Underpinning Skills	<p>Demonstrates skills to:</p> <ul style="list-style-type: none"> <li>• explain and clarify procedures, and to interview users to identify their records/information needs</li> <li>• read and interpret nature of record content, functions and problems</li> <li>• solve problem by analyzing records and information requested</li> <li>• manage self to record metadata accurately</li> <li>• identify, retrieve and organize information for users</li> </ul>
Resources Implication	<p>Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.</p>
Methods of Assessment	<p>Competence may be assessed through:</p> <ul style="list-style-type: none"> <li>• Interview / Written Test</li> <li>• Observation / Demonstration with Oral Questioning</li> </ul>
Context of Assessment	<p>Competency may be assessed in the work place or in a simulated work place setting.</p>

Occupational Standard: Documents Authentication and Registration Services Level IV	
Unit Title	Manage Database
Unit Code	<a href="#">EIS DAR4 10 0812</a>
Unit Descriptor	This unit defines the skills and knowledge required to manage the principles of database, design field characteristics in a simple database system, understands how to maintain data integrity and why it is important.

Elements	Performance Criteria
1. Analyze, design and produce a relational database	1.1 Ensure <b>database system</b> is designed on the basis of client requirement. 1.2 <b>Data characteristics</b> are identified on the basis of user requirement. 1.3 User friendly form is designed. 1.4 <b>Queries</b> are written to generate reports to database. 1.5 Report layout is designed on the basis of client's requirement. 1.6 Orientation is given to the client about the developed database.
2. Determine and implement database backup and recovery methods	2.1 Ensure back-up methods are identified and implemented on the basis of organizational and database backup standards. 2.2 Identify possible failure scenarios and recovery plans.
3. Ensure entry, security and confidentiality of data.	3.1 Application of <b>data entry</b> procedure is <b>checked</b> based on institutional guideline/manual. 3.2 Data are checked for completeness and accuracy. 3.3 <b>Data</b> are cleaned. 3.4 Ensure data security, confidentiality and integrity mechanisms are identified and implemented on the basis of organizational and database security and confidentiality standards.

Variable	Range
Database systems	May include but not limited to: <ul style="list-style-type: none"> <li>• surveillance system</li> <li>• registries created for different issue</li> <li>• data warehouse</li> </ul>

	<ul style="list-style-type: none"> <li>• client record database</li> <li>• management information system database</li> </ul>
Data characteristics	<ul style="list-style-type: none"> <li>• data types, field name, field size and field format</li> </ul>
Database queries	<ul style="list-style-type: none"> <li>• types of queries and ways to carry them out</li> <li>• using simple queries to query data, such as single criteria and 'sort'</li> <li>• saving data retrieved from the database appropriately</li> <li>• creating and using multiple queries to extract data</li> </ul>
Data entry	<ul style="list-style-type: none"> <li>• techniques for entering data into databases</li> <li>• accessing database files</li> <li>• inputting data appropriately, such as to update fields or create new records</li> <li>• dealing appropriately with data that does not fit within pre-set parameters, such as the set number of lines, additional personal details or details of service required</li> <li>• saving database files</li> <li>• creating fields for entering data with the required field characteristics, such as name, type, size and format</li> </ul>
Checking	<p>May include but not limited to:</p> <ul style="list-style-type: none"> <li>• proofreading</li> <li>• accuracy of data</li> <li>• outcome of sorting/filtering</li> <li>• ensuring instructions with regard to content and format have been followed</li> <li>• timeliness of data entry</li> <li>• checking data for completeness, accuracy and security using automated facilities and on-line help</li> <li>• using automated facilities for checking data and reports, such as spell checking and sorting data</li> </ul>
Data	<p>May include but not limited to:</p> <ul style="list-style-type: none"> <li>• numbers or text</li> <li>• raw, intermediate or processed</li> <li>• storage in electronic folders/sub-folders</li> </ul>

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Critical Aspects of Competence	<p>Demonstrates skills and knowledge in:</p> <ul style="list-style-type: none"> <li>• explaining function and features of data types and data structures</li> <li>• analyzing, designing and producing relational database</li> <li>• determining and implementing database backup and recovery methods</li> <li>• ensuring entry, security and confidentiality of data</li> </ul>
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Underpinning Knowledge and Attitudes	<p>Demonstrates knowledge of:</p> <ul style="list-style-type: none"> <li>• function and features of data types and data structures</li> <li>• encryption and authentication as they apply to database security features</li> <li>• a working knowledge of : <ul style="list-style-type: none"> <li>➤ current legislation, policies, procedures, codes of practice and guidelines in relation to information management</li> <li>➤ the accepted standards regarding data and information (e.g. sources, validity, reliability, completeness, terminology, acronyms, purpose and conventions)</li> <li>➤ information processing</li> <li>➤ the professional codes of ethics in your area of practice</li> <li>➤ the audience requirements for data and information</li> <li>➤ the characteristics of data and information</li> <li>➤ the structure of data and information</li> <li>➤ the standards, conventions and templates for analysis</li> <li>➤ the importance of checking the sources of data and information</li> <li>➤ the different types of data and information sources</li> <li>➤ appropriate methods of data and information collection</li> <li>➤ the various tools and techniques for data and information collection in your area of practice</li> <li>➤ the nature and sources of the data and information to be collected</li> <li>➤ the validation principles for the data and information in question</li> <li>➤ the importance of the quality of data and information (including timeliness, accuracy, completeness, appropriate for purpose and accessibility)</li> </ul> </li> <li>• a factual knowledge of the importance of backing up data and good recordkeeping of data</li> <li>• an understanding of the purpose for which the data and information is intended</li> </ul>
Underpinning Skills	<p>Demonstrates skills to:</p> <ul style="list-style-type: none"> <li>• use input of data efficiently with minimal duplication of datasets</li> <li>• apply numeric skills in relating to creating simple queries and using simple formula</li> <li>• use information processing skill</li> <li>• gather different types of data and information sources</li> <li>• use data collection skill</li> <li>• use record keeping skill</li> <li>• apply numeric skills</li> </ul>

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: <ul style="list-style-type: none"> <li>• Interview / Written Test</li> <li>• Observation / Demonstration with Oral Questioning</li> </ul>
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.



Occupational Standard: Documents Authentication and Registration Services Level IV	
Unit Title	Review the Status of a Record
Unit Code	<a href="#">EIS DAR4 11 0812</a>
Unit Descriptor	This unit describes the performance outcomes, skills and knowledge required to review and document the changing context and status of records which have been appraised as having temporary or ongoing value, and which have been identified as requiring conditions for access.

Elements	Performance Criteria
1. Identify classes of records justifying review	<p>1.1. <b>Compile and review</b> a list of the <b>criteria for review</b> to be met by <b>records and formats</b></p> <p>1.2. The records are applied in the subject jurisdiction criteria</p> <p>1.3. The records that meet the criteria are identified and documented</p>
2. Review disposal authority and access conditions	<p>2.1. Disposal authority, disposal class references and any <b>access and security conditions</b> are identified for records in accordance with industry practice</p> <p>2.2. Records for which neither a disposal authority nor an access restriction exist are identified and documented in accordance with industry practice</p> <p>2.3. Copies of related appraisal reports and access conditions are assembled for analysis</p> <p>2.4. Comparisons are made and notes of any <b>anomalies</b> arising from the comparison, and recommend changes are taken to existing disposal authorities and access conditions</p>
3. Prepare new appraisal reports	<p>3.1. New appraisal reports including reference to criteria justifying the review are prepared</p> <p>3.2. Make new interpretations of existing access criteria in light of criteria justifying the review</p> <p>3.3. New appraisals and access interpretations are exposed to appropriate stakeholders for comment, and submitted for approval</p>
4. Implement recommendations and re interpretations	<p>4.1. Methodology is prepared for implementation and necessary resources are assembled</p> <p>4.2. Revised disposal authorities and access conditions are produced and promulgated</p>

	<p>4.3. Document progress throughout implementation and record any issues or implications arising from revised disposal authorities and access conditions</p> <p>4.4. Implementation process and outcomes in organization's business or <b>recordkeeping systems</b> are documented</p>
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Variable	Range
Compiling and reviewing criteria	<p>May include but not limited to:</p> <ul style="list-style-type: none"> <li>• considering requirements for vital records including: <ul style="list-style-type: none"> <li>➤ legal liabilities</li> <li>➤ ownership rights or entitlements</li> <li>➤ policy records, precedents and decisions</li> <li>➤ rights or entitlements of individuals</li> </ul> </li> <li>• consulting identifying documentation found in: <ul style="list-style-type: none"> <li>➤ databases</li> <li>➤ lists</li> <li>➤ notes in relation to the records</li> </ul> </li> <li>• consulting retention and disposal schedules, which may be: <ul style="list-style-type: none"> <li>➤ continuing</li> <li>➤ functional</li> <li>➤ general</li> <li>➤ multiple</li> <li>➤ one-time</li> <li>➤ single</li> </ul> </li> <li>• identifying: <ul style="list-style-type: none"> <li>➤ access restrictions</li> <li>➤ any extenuating impediments to the destruction of records</li> <li>➤ how information is likely to be presented and manipulated</li> <li>➤ how information is likely to be retrieved</li> <li>➤ how many people will need to retrieve the information</li> <li>➤ what information is needed</li> </ul> </li> </ul>
Criteria for review	<p>May include but not limited to:</p> <ul style="list-style-type: none"> <li>• sustainability - voluminous record that is not used sufficiently frequently might not justify the resources its preservation consumes</li> <li>• sensitivity - some records may be deemed so sensitive that they may never be used for research</li> <li>• data extraction - previously unused means of extracting data from a particular record may increase its value</li> <li>• environmental context - business environments, community expectations, governance frameworks, legislative and regulatory mandates or relevant recordkeeping principles and standards</li> </ul>

Records and formats	<p>May include but not limited to:</p> <ul style="list-style-type: none"> <li>• different stages of use: <ul style="list-style-type: none"> <li>➤ active</li> <li>➤ archival</li> </ul> </li> <li>• digital: <ul style="list-style-type: none"> <li>➤ remote drives</li> <li>➤ servers</li> <li>➤ CDs</li> <li>➤ DVDs</li> <li>➤ imaging systems</li> <li>➤ PC-based applications</li> <li>➤ mainframe</li> </ul> </li> <li>• documentation relating to: <ul style="list-style-type: none"> <li>➤ authenticity</li> <li>➤ integrity</li> <li>➤ reliability</li> <li>➤ social or business activities</li> <li>➤ usability</li> <li>➤ physical: <ul style="list-style-type: none"> <li>➤ audio-visual or multimedia</li> <li>➤ graphic</li> <li>➤ microform</li> <li>➤ paper-based (acid free or multiple copies)</li> <li>➤ variety of sources: <ul style="list-style-type: none"> <li>➤ already in the custody of the organization</li> <li>➤ in the process of being transferred between organizations</li> </ul> </li> </ul> </li> </ul> </li> </ul>
Access and security conditions	<p>May include but not limited to:</p> <ul style="list-style-type: none"> <li>• confidential</li> <li>• high-security (restricted)</li> </ul>
Anomalies	<p>May include but not limited to:</p> <ul style="list-style-type: none"> <li>• changes to legislation such as census records becoming publicly accessible</li> <li>• citizenship status of people may change granting them different rights from what existed previously</li> <li>• government policy may see the value of records officially changed by decree</li> <li>• new technology may be developed to enable more information to be extracted from x-ray film</li> </ul>
Recordkeeping systems	<p>May include but not limited to:</p> <ul style="list-style-type: none"> <li>• archival control systems</li> <li>• business systems</li> <li>• cash register-based systems</li> <li>• characteristics relating to:</li> </ul>

	<ul style="list-style-type: none"> <li>➤ aggregations</li> <li>➤ context</li> <li>➤ entities</li> <li>➤ metadata</li> <li>➤ current business or records systems</li> <li>➤ electronic records and document management system (ERDMS )</li> <li>➤ informal</li> <li>➤ paper-based accumulation and card systems</li> <li>➤ PC-based accounting systems records systems</li> <li>➤ proprietary recordkeeping package</li> <li>➤ storage facilities systems</li> </ul>
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**Evidence Guide**

Critical Aspects of Competence	<p>Demonstrates skills and knowledge in:</p> <ul style="list-style-type: none"> <li>• defining issues in relation to a review of records</li> <li>• Identifying potential recordkeeping implications of a change in the disposal status of records.</li> </ul>
Underpinning Knowledge and Attitudes	<p>Demonstrates knowledge of:</p> <ul style="list-style-type: none"> <li>• key provisions of relevant legislation from all forms of government, regulations, standards and documentation that may affect aspects of business operations, such as: <ul style="list-style-type: none"> <li>➤ ISO 15489:2004 Records management</li> <li>➤ ISO 23081.1:2006 Information and documentation - Records management processes - Metadata for records - Principles</li> </ul> </li> <li>• ethical principles</li> <li>• codes of practice</li> <li>• privacy and freedom of information</li> <li>• archives and records legislation</li> <li>• occupational health and safety</li> <li>• general principles and processes of records management and records management systems, such as: <ul style="list-style-type: none"> <li>➤ systems of control</li> <li>➤ records continuum theory</li> <li>➤ mandate and ownership of business process</li> <li>➤ organizational business functions, structure and culture</li> <li>➤ organizational policies, strategies and procedures, particularly those relating to records access and security</li> </ul> </li> </ul>
Underpinning Skills	<p>Demonstrates skills to:</p> <ul style="list-style-type: none"> <li>• communication skills to explain and clarify procedures, and to consult with users of a records or business system</li> <li>• literacy skills to read and interpret record content, functions and problems</li> </ul>

	<ul style="list-style-type: none"> <li>• problem-solving and analysis skills to interpret and apply access and security rules, retention and disposal skills</li> <li>• self management skills to accurately record metadata</li> </ul>
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: <ul style="list-style-type: none"> <li>• Interview / Written Test</li> <li>• Observation / Demonstration with Oral Questioning</li> </ul>
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Documents Authentication and Registration Services Level IV	
Unit Title	Encourage Compliance with Legislation in the Public Sector
Unit Code	<a href="#">EIS DAR4 12 0812</a>
Unit Descriptor	This unit covers the competency to encourage others (colleagues or those supervised) in the workplace to comply with legislation. It includes assisting others to comply with legislative requirements, and taking action on non-compliance.

Elements	Performance Criteria
1. Assist others to comply with legislative requirements	<p>1.1 Knowledge of the range of <b>legislation and guidelines</b> relating to the public sector workplace is regularly updated to ensure currency</p> <p>1.2 The way various pieces of legislation are integrated to provide a legislative framework for public sector work and the key requirements of each piece of legislation are confirmed and conveyed to <b>others</b> using language and examples suited to their individual needs</p> <p>1.3 Own work practices and procedures are used to provide a consistent model of compliance with legislative requirements relating to the public sector work environment</p> <p>1.4 The <b>consequences of non-compliance</b> with public sector legislation are identified and conveyed to others using language and examples suited to individual needs</p> <p>1.5 Others are assisted to locate and access current information on legislation and guidelines</p> <p>1.6 Others are encouraged to identify and obtain advice on apparently <b>conflicting legislative requirements</b> in accordance with organizational policy and procedures</p>
2. Act on non-compliance	<p>2.1 Actions that might constitute breaches of legislation are identified and discussed with others in accordance with organizational requirements</p> <p>2.2 Possible breaches of legislation are acted upon or referred promptly to an authorized person/body in accordance with organizational procedures</p> <p>2.3 <b>Inadequacies in workplace procedures</b> which may contribute to non-compliance are reported and addressed in accordance with organizational procedures</p>

Variable	Range
Legislation and guidelines may relate to:	<p>May include but not limited to:</p> <ul style="list-style-type: none"> <li>• public sector standards: <ul style="list-style-type: none"> <li>➤ codes of conduct/ethics</li> <li>➤ legislated standards</li> <li>➤ technical/industrial standards</li> <li>➤ professional standards</li> <li>➤ industry competency standards</li> <li>➤ anti-corruption legislation</li> <li>➤ whistleblowers' protection</li> </ul> </li> <li>• public sector employment: <ul style="list-style-type: none"> <li>➤ employee relations</li> <li>➤ chief executive officer's instructions</li> <li>➤ public sector notices</li> </ul> </li> <li>• workplace environment: <ul style="list-style-type: none"> <li>➤ equal employment opportunity</li> <li>➤ affirmative action</li> <li>➤ workplace diversity</li> <li>➤ anti-discrimination</li> <li>➤ workplace harassment</li> <li>➤ occupational health and safety</li> <li>➤ duty of care</li> <li>➤ security, storage, handling and classification of documents</li> <li>➤ contractual obligations</li> </ul> </li> <li>• transparency: <ul style="list-style-type: none"> <li>➤ freedom of information</li> <li>➤ professional reporting</li> <li>➤ accountability</li> <li>➤ competition</li> <li>➤ road transport legislation</li> <li>➤ information and records management standards and legislation</li> <li>➤ the organization's enabling legislation, regulations</li> <li>➤ international legislation/codes of behavior</li> </ul> </li> </ul>
Others may include	<ul style="list-style-type: none"> <li>• colleagues</li> <li>• supervised staff and contractors</li> </ul>
Consequences of non-compliance may include	<p>May include but not limited to:</p> <ul style="list-style-type: none"> <li>• individuals: <ul style="list-style-type: none"> <li>➤ counseling</li> <li>➤ disciplinary action</li> <li>➤ transfer, demotion, dismissal</li> <li>➤ legal liability</li> <li>➤ fine</li> <li>➤ external consequences, for example:</li> </ul> </li> </ul>

	<ul style="list-style-type: none"> <li>• clients</li> <li>• the organization's reputation</li> </ul>
Conflicting legislative requirements	<p>May include but not limited to:</p> <ul style="list-style-type: none"> <li>• apparent contradiction between legislation</li> <li>• apparent conflict between legislation and policy requirements</li> <li>• contradictions between different policy requirements</li> <li>• contradictions within a single piece of legislation</li> </ul>
Inadequacies in workplace procedures	<p>May include but not limited to:</p> <ul style="list-style-type: none"> <li>• insufficient financial/other controls</li> <li>• insecure Internet/fax access</li> <li>• non-auditable records processes</li> <li>• ambiguous guidelines</li> <li>• no guidelines</li> <li>• unnecessary complexity and use of non-current legislation</li> </ul>

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Critical Aspects of Competence	<p>Demonstrates skills and knowledge in:</p> <ul style="list-style-type: none"> <li>• the procedures for acting on and reporting possible breaches of legislation</li> <li>• public sector codes of ethics/conduct</li> <li>• the consequences of non-compliance</li> <li>• communicating with others involving exchanges of complex oral/written information</li> <li>• using technology to access legislative requirements</li> </ul>
Underpinning Knowledge and Attitudes	<p>Demonstrates knowledge of:</p> <ul style="list-style-type: none"> <li>• the range of legislation relating to the public sector (including occupational health and safety, and specific enabling legislation relating to the business) and the key requirements of each</li> <li>• public sector codes of ethics/conduct</li> <li>• consequences of non-compliance</li> <li>• procedures for acting on and reporting possible breaches of legislation</li> <li>• equal employment opportunity, equity and diversity principles</li> </ul>
Underpinning Skills	<p>Demonstrates skills to:</p> <ul style="list-style-type: none"> <li>• access and read complex and formal documents such as legislation and related materials</li> <li>• assist others to apply legislation to work practices and to identify inappropriate conduct</li> <li>• use guidelines to effectively administer legislative requirements</li> <li>• exercise discretion in accordance with legislation and guidelines</li> </ul>



	<ul style="list-style-type: none"> <li>• communicate with others involving exchanges of complex oral/written information</li> <li>• use technology to access legislative requirements</li> <li>• respond to diversity, including gender and disability</li> <li>• apply environmental and occupational health and safety procedures and encouraging others in their application</li> </ul>
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: <ul style="list-style-type: none"> <li>• Interview / Written Test</li> <li>• Observation / Demonstration with Oral Questioning</li> </ul>
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Documents Authentication and Registration Services Level IV	
Unit Title	Apply Risk Management Processes
Unit Code	<a href="#">EIS DAR4 13 0812</a>
Unit Descriptor	This unit describes the performance outcomes, skills and knowledge required to identify risks and to apply established risk management processes to a subset of an organization or project's operations that are within the person's own work responsibilities and area of operation.

Elements	Performance Criteria
1. Identify risks	<p>1.1. The <b>context</b> for risk management is identified</p> <p>1.2. Risks are identified using <b>tools</b>, ensuring all reasonable steps have been taken to identify all risks</p> <p>1.3. Identified risks are documented in accordance with relevant policies, procedures and legislation</p>
2. Analyze and evaluate risks	<p>2.1. Risks are analyzed and documented in consultation with relevant <b>stakeholders</b></p> <p>2.2. <b>Risk categorization</b> is undertaken and <b>level of risk</b> determined</p> <p>2.3. Risk analysis processes and outcomes are documented</p>
3. Treat risks	<p>3.1. Appropriate <b>control measures</b> for risks are determined and strengths and weaknesses assessed</p> <p>3.2. Control measures are identified for all risks</p> <p>3.3. Risks relevant to whole of organization or having an impact beyond own work responsibilities and area of operation are referred to others as per established policies and procedures</p> <p>3.4. Control measures are chosen and implemented for own area of operation and/or responsibilities</p> <p>3.5. Treatment plans are prepared and implemented</p>
4. Monitor and review effectiveness of risk treatment/s	<p>4.1. Implemented treatment/s are regularly reviewed against <b>measures of success</b></p> <p>4.2. Review results are used to improve the treatment of risks</p> <p>4.3. Assistance is provided to audit risk in own area of operation</p> <p>4.4. Management of risk is monitored and reviewed in own area of operation</p>

Variable	Range
Context	May include but not limited to: <ul style="list-style-type: none"> <li>• any related projects or organizations</li> <li>• any resources, including physical assets, which are vital to operations</li> <li>• key operational elements and service of the organization</li> <li>• organization or project, how it is organized and its capabilities</li> <li>• own role and responsibilities in relation to overall project or organization design</li> </ul>
Tools	May include but not limited to: <ul style="list-style-type: none"> <li>• documentation to assist in process of identifying risk, and assessing impact and likelihood of occurrence</li> <li>• standard instruments developed for the organization and contextualized for sections of the workplace's operations, such as checklists and testing procedures</li> <li>• tools to prioritize risks, including where relevant, numerical scoring systems for risks</li> </ul>
Stakeholders	May include but not limited to: <ul style="list-style-type: none"> <li>• contractors</li> <li>• employees</li> <li>• financial managers</li> <li>• insurance agents</li> <li>• managers</li> <li>• public</li> <li>• service providers</li> <li>• suppliers</li> <li>• unions</li> <li>• volunteers</li> </ul>
Risk categorisation	May include but not limited to: <ul style="list-style-type: none"> <li>• likelihood of risks:               <ul style="list-style-type: none"> <li>➤ almost certain</li> <li>➤ likely</li> <li>➤ possible</li> <li>➤ unlikely</li> <li>➤ rare</li> </ul> </li> <li>• consequences of risks:               <ul style="list-style-type: none"> <li>➤ insignificant</li> <li>➤ minor</li> <li>➤ moderate</li> <li>➤ major</li> <li>➤ catastrophic</li> <li>➤ current control measures</li> </ul> </li> </ul>

Level of risk	<p>May include but not limited to:</p> <ul style="list-style-type: none"> <li>• low, treated with routine procedures</li> <li>• moderate, with specific responsibility allocated for the risk, and monitoring and response procedures implemented</li> <li>• high, requiring action, as it has potential to be damaging to the organization or project</li> <li>• extreme, requiring immediate action, as it has potential to be devastating to the organization or project</li> </ul>
Control measures:	<p>May include but not limited to:</p> <ul style="list-style-type: none"> <li>• hierarchy of controls: <ul style="list-style-type: none"> <li>➢ reduction in likelihood of risks</li> <li>➢ reduction of consequences of risks</li> <li>➢ retention of risks</li> <li>➢ risk aversion</li> <li>➢ transfer of responsibility of risks</li> </ul> </li> </ul>
Measures of success	<p>May include but not limited to:</p> <ul style="list-style-type: none"> <li>• costs</li> <li>• reductions in impact</li> <li>• reductions in likelihood</li> <li>• reductions in occurrence</li> </ul>

<b>Evidence Guide</b>	
Critical Aspects of Competence	<p>Demonstrates skills and knowledge in:</p> <ul style="list-style-type: none"> <li>• the Identification, analysis and evaluation of risks</li> <li>• demonstrating understanding of personal role in relation to wider organizational or project context</li> <li>• understanding of risk management processes and procedures</li> <li>• solving problem to address identified risks</li> </ul>
Underpinning Knowledge and Attitudes	<p>Demonstrates knowledge of:</p> <ul style="list-style-type: none"> <li>• national standards for risk management</li> <li>• key provisions of relevant legislation from all levels of government that may affect aspects of business operations, such as: <ul style="list-style-type: none"> <li>➢ anti-discrimination legislation</li> <li>➢ ethical principles</li> <li>➢ codes of practice</li> <li>➢ environmental issues</li> <li>➢ occupational health and safety</li> <li>➢ organizational policies and procedures relating to risk management processes and strategies</li> <li>➢ auditing requirements relating to risk management</li> </ul> </li> </ul>
Underpinning Skills	<p>Demonstrates skills to:</p> <ul style="list-style-type: none"> <li>• read and understand a variety of texts; and to write, edit and</li> </ul>

	<p>proofread documents to ensure clarity of meaning, accuracy and consistency of information</p> <ul style="list-style-type: none"> <li>• monitor and evaluate risks</li> </ul>
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	<p>Competence may be assessed through:</p> <ul style="list-style-type: none"> <li>• Interview / Written Test</li> <li>• Observation / Demonstration with Oral Questioning</li> </ul>
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Documents Authentication and Registration Services Level IV	
Unit Title	Plan and Organize Work
Unit Code	<a href="#">EIS DAR4 14 0812</a>
Unit Descriptor	This unit covers the knowledge, skills and attitude required in planning and organizing work activities in a production application. It may be applied to a small independent operation or to a section of a large organization.

Elements	Performance Criteria
1. Set objectives	1.1 <b>Objectives</b> are consistent with and linked to work activities in accordance with organizational aims 1.2 Objectives are stated as measurable targets with clear time frames 1.3 Support and commitment of team members are reflected in the objectives 1.4 Realistic and attainable objectives are identified
2. Plan and schedule work activities	2.1 Tasks/work activities to be completed are identified and prioritized as directed 2.2 Tasks/work activities are broken down into steps in accordance with set time frames and achievable components 2.3 Task/work activities are assigned to appropriate team or individuals in accordance with agreed functions 2.4 <b>Resources</b> are allocated as per requirements of the activity 2.5 <b>Schedule of work activities</b> is coordinated with personnel concerned
3. Implement work plans	3.1 <b>Work methods and practices</b> are identified in consultation with personnel concerned 3.2 <b>Work plans</b> are implemented in accordance with set time frames, resources and <b>standards</b>
4. Monitor work activities	4.1 Work activities are monitored and compared with set objectives 4.2 Work performance is monitored 4.3 Deviations from work activities are reported and recommendations are coordinated with appropriate personnel and in accordance with set standards 4.4 Reporting requirements are complied with in accordance with recommended format

	<p>4.5 Observe timeliness of report</p> <p>4.6 Files are established and maintained in accordance with standard operating procedures</p>
5. Review and evaluate work plans and activities	<p>5.1 Work plans, strategies and implementation are reviewed based on accurate, relevant and current information</p> <p>5.2 Review is based on comprehensive consultation with appropriate personnel on outcomes of work plans and reliable feedback</p> <p>5.3 Results of review are provided to concerned parties and formed as the basis for adjustments/simplifications to be made to policies, processes and activities</p> <p>5.4 Performance appraisal is conducted in accordance with organization rules and regulations</p> <p>5.5 Performance appraisal report is prepared and documented regularly as per organization requirements.</p> <p>5.6 Recommendations are prepared and presented to <b>appropriate personnel/authorities</b></p> <p>5.7 <b>Feedback mechanisms</b> are implemented in line with organization policies</p>

Variable	Range
Objectives	<ul style="list-style-type: none"> <li>• Specific</li> <li>• General</li> </ul>
Resources	<ul style="list-style-type: none"> <li>• Personnel</li> <li>• Equipment and technology</li> <li>• Services</li> <li>• Supplies and materials</li> <li>• Sources for accessing specialist advice</li> <li>• Budget</li> </ul>
Schedule of work activities	<ul style="list-style-type: none"> <li>• Daily</li> <li>• Work-based</li> <li>• Contractual</li> <li>• Regular</li> </ul>
Work methods and practices	<ul style="list-style-type: none"> <li>• Legislated regulations and codes of practice</li> <li>• Industry regulations and codes of practice</li> <li>• Occupational health and safety practices</li> </ul>
Work plans	<ul style="list-style-type: none"> <li>• Daily work plans</li> <li>• Project plans</li> <li>• Program plans</li> <li>• Resource plans</li> <li>• Skills development plans</li> <li>• Management strategies and objectives</li> </ul>

Standards	<ul style="list-style-type: none"> <li>• Performance targets</li> <li>• Performance management and evaluation systems</li> <li>• Occupational standards</li> <li>• Employment contracts</li> <li>• Client contracts</li> <li>• Discipline procedures</li> <li>• Workplace assessment guidelines</li> <li>• Internal quality assurance</li> <li>• Internal and external accountability and auditing requirements</li> <li>• Training Regulation Standards</li> <li>• Safety Standards</li> </ul>
Appropriate personnel/ authorities	<p>Appropriate personnel include:</p> <ul style="list-style-type: none"> <li>• Management</li> <li>• Line Staff</li> </ul>
Feedback mechanisms	<p>Feedback mechanisms include:</p> <ul style="list-style-type: none"> <li>• Verbal feedback</li> <li>• Informal feedback</li> <li>• Formal feedback</li> <li>• Questionnaire</li> <li>• Survey and Group discussion</li> </ul>

<b>Evidence Guide</b>	
Critical Aspects of Competence	<p>Assessment requires evidence that the candidate:</p> <ul style="list-style-type: none"> <li>• set objectives</li> <li>• plan and schedule work activities</li> <li>• implement work plans</li> <li>• monitor work activities</li> <li>• review and evaluate work plans and activities</li> </ul>
Underpinning Knowledge and Attitudes	<p>Demonstrates knowledge of:</p> <ul style="list-style-type: none"> <li>• Organization's strategic plan, policies rules and regulations, laws and objectives for work unit activities and priorities</li> <li>• Organizations policies, strategic plans, guidelines related to the role of the work unit</li> <li>• Team work and consultation strategies</li> </ul>
Underpinning Skills	<p>Demonstrates skill of:</p> <ul style="list-style-type: none"> <li>• Planning</li> <li>• Leading</li> <li>• Organizing</li> <li>• Coordinating</li> <li>• Communication Skills</li> <li>• Inter-and intra-person/motivation skills</li> <li>• Presentation skills</li> </ul>



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: <ul style="list-style-type: none"> <li>• Interview / Written Test</li> <li>• Observation / Demonstration with Oral Questioning</li> </ul>
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Documents Authentication and Registration Services Level IV	
<b>Unit Title</b>	<b>Migrate to New Technology</b>
<b>Unit Code</b>	<a href="#">EIS DAR4 15 0812</a>
<b>Unit Descriptor</b>	This unit defines the competence required to apply skills and knowledge in using new or upgraded technology. The rationale behind this unit emphasizes the importance of constantly reviewing work processes, skills and techniques in order to ensure that the quality of the entire business process is maintained at the highest level possible through the appropriate application of new technology. To this end, the person is typically engaged in on-going review and research in order to discover and apply new technology or techniques to improve aspects of the organization's activities.

Elements	Performance Criteria
1. Apply existing knowledge and techniques to technology and transfer	<p>1.1 Situations are identified where existing knowledge can be used as the basis for developing new skills.</p> <p>1.2 New or upgraded technology skills are acquired and used to enhance learning.</p> <p>1.3 New or upgraded equipment are identified, classified and used where appropriate, for the benefit of the organization.</p>
2. Apply functions of technology to assist in solving organizational problems	<p>2.1 Testing of new or upgraded equipment is conducted according to the specification manual.</p> <p>2.2 Features of new or upgraded equipment are applied within the organization</p> <p>2.3 Features and functions of new or upgraded equipment is used for solving organizational problems</p> <p>2.4 Sources of information is accessed and used relating to new or upgraded equipment</p>
3. Evaluate new or upgraded technology performance	<p>3.1 New or upgraded equipment is evaluated for performance, usability and against OHS standards.</p> <p>3.2 <b>Environmental considerations</b> are determined from new or upgraded equipment.</p> <p>3.3 <b>Feedback</b> is sought from users where appropriate.</p>

<b>Variables</b>	<b>Range</b>
Environmental Considerations	May include but is not limited to recycling, safe disposal of packaging (e.g. cardboard, polystyrene, paper, plastic) and correct disposal of waste materials by an authorized body
Feedback	May include surveys, questionnaires, interviews and meetings.

<b>Evidence Guide</b>	
Critical Aspects of Competence	Competence must confirm the ability to transfer the application of existing skills and knowledge to new technology
Underpinning Knowledge and Attitudes	<ul style="list-style-type: none"> <li>• Broad awareness of current technology trends and directions in the industry (e.g. systems/procedures, services, new developments, new protocols)</li> <li>• Knowledge of vendor product directions</li> <li>• Ability to locate appropriate sources of information regarding metal manufacturing and new technologies</li> <li>• Current industry products/services, procedures and techniques with knowledge of general features</li> <li>• Information gathering techniques</li> </ul>
Underpinning Skills	<ul style="list-style-type: none"> <li>• Research skills for identifying broad features of new technologies</li> <li>• Ability to assist in the decision making process</li> <li>• Literacy skills in regard to interpretation of technical manuals</li> <li>• Ability to solve known problems in a variety of situations and locations</li> <li>• Evaluate and apply new technology to assist in solving organizational problems</li> <li>• General analytical skills in relation to known problems</li> </ul>
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: <ul style="list-style-type: none"> <li>• Interview / Written Test</li> <li>• Observation / Demonstration with Oral Questioning</li> </ul>
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Documents Authentication and Registration Services Level IV	
<b>Unit Title</b>	<b>Establish Quality Standards</b>
<b>Unit Code</b>	<a href="#">EIS DAR4 16 0812</a>
<b>Unit Descriptor</b>	This unit covers the knowledge, skills and attitudes required to establish quality specifications for work outcomes and work performance. It includes monitoring and participation in maintaining and improving quality, identifying critical control points in the production of quality output and assisting in planning and implementing of quality assurance procedures.

Elements	Performance Criteria
1. Establish quality specifications for product	1.1 Market specifications are <b>sourced</b> and <b>legislated requirements</b> identified. 1.2 Quality specifications developed and agreed upon 1.3 Quality specifications are documented and introduced to organization staff / personnel in accordance with the organization policy 1.4 Quality specifications are updated when necessary
2. Identify hazards and critical control points	2.1. Critical control points impacting on quality are identified. 2.2. Degree of risk for each hazard is determined. 2.3. Necessary documentation is accomplished in accordance with organization quality procedures
3. Assist in planning of quality assurance procedures	3.1 Procedures for each identified control point are developed to ensure optimum quality. 3.2 Hazards and risks are minimized through application of appropriate controls. 3.3 Processes to monitor the effectiveness of quality assurance procedures are developed.
4. Implement quality assurance procedures	4.1 Responsibilities for carrying out procedures are allocated to staff and contractors. 4.2 Instructions are prepared in accordance with the enterprise's quality assurance program. 4.3 Staff and contractors are given induction training on the quality assurance policy. 4.4 Staff and contractors are given in-service training relevant to their allocated procedures.

5. Monitor quality of work outcome	<p>5.1 Quality requirements are identified.</p> <p>5.2 Inputs are inspected to confirm capability to meet quality requirements.</p> <p>5.3 Work is conducted to produce required outcomes.</p> <p>5.4 Work processes are monitored to confirm quality of output and/or service.</p> <p>5.5 Processes are adjusted to maintain outputs within specification.</p>
6. Participate in maintaining and improving quality at work	<p>6.1 Work area, materials, processes and product are routinely monitored to ensure compliance with quality requirements.</p> <p>6.2 Non-conformance in inputs, process, product and/or service is identified and reported according to workplace reporting requirements.</p> <p>6.3 Corrective action is taken within level of responsibility, to maintain quality standards.</p> <p>6.4 Quality issues are raised with designated personnel.</p>
7. Report problems that affect quality	<p>7.1 Recognize potential or existing quality problems.</p> <p>7.2 Identify instances of variation in quality from specifications or work instructions.</p> <p>7.3 Report variation and potential problems to supervisor/manager according to enterprise guidelines.</p>

Variable	Range
Sourced	<ul style="list-style-type: none"> <li>• End-users</li> <li>• Customers or</li> <li>• stakeholders</li> </ul>
Legislated requirements	<ul style="list-style-type: none"> <li>• Verification of product quality as part of consumer legislation or specific legislation related to product content or composition.</li> </ul>
Safety procedures.	<ul style="list-style-type: none"> <li>• Use of tools and equipment for fabrication/production/manufacturing works</li> <li>• Workplace environment and handling of material safety,</li> <li>• Following occupational health and safety procedures designated for the task</li> <li>• Respect the policies, regulations, legislations, rule and procedures for manufacturing/production/fabrication works</li> </ul>

<b>Evidence Guide</b>	
Critical Aspect of Competence	<p>Assessment requires evidence that the candidate to:</p> <ul style="list-style-type: none"> <li>• Monitor quality of work</li> <li>• Establish quality specifications for product</li> <li>• Participate in maintaining and improving quality at work</li> <li>• Identify hazards and critical control points in the production of quality product</li> <li>• Assist in planning of quality assurance procedures</li> <li>• Report problems that affect quality</li> <li>• Implement quality assurance procedures</li> </ul>
Underpinning Knowledge	<p>Demonstrates knowledge of:</p> <ul style="list-style-type: none"> <li>• work and product quality specifications</li> <li>• quality policies and procedures</li> <li>• improving quality at work</li> <li>• hazards and critical points of operation</li> <li>• obtaining and using information</li> <li>• applying federal and regional legislation within day-today work activities</li> <li>• accessing and using management systems to keep and maintain accurate records</li> <li>• requirements for correct preparation and operation</li> <li>• technical writing</li> </ul>
Underpinning Skills	<p>Demonstrates skills in:</p> <ul style="list-style-type: none"> <li>• monitoring quality of work</li> <li>• establishing quality specifications for product</li> <li>• participating in maintaining and improving quality at work</li> <li>• identifying hazards and critical control points in the production of quality product</li> <li>• assisting in planning of quality assurance procedures</li> <li>• reporting problems that affect quality</li> <li>• implementing quality assurance procedures</li> </ul>
Resources Implication	<p>Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.</p>
Methods of Assessment	<p>Competence may be assessed through:</p> <ul style="list-style-type: none"> <li>• Interview / Written Test</li> <li>• Observation / Demonstration with Oral Questioning</li> </ul>
Context of Assessment	<p>Competence may be assessed in the work place or in a simulated work place setting.</p>

Occupational Standard: Documents Authentication and Registration Services Level IV	
Unit Title	Develop Individuals and Team
Unit Code	<a href="#">EIS DAR4 17 0812</a>
Unit Descriptor	This unit covers the knowledge, skills and attitudes required to determine individual and team development needs and facilitate the development of the workgroup.

Elements	Performance Criteria
1. Provide team leadership	<p>1.1 <b>Learning and development needs</b> are systematically identified and implemented in line with <b>organizational requirements</b>.</p> <p>1.2 Learning plan to meet individual and group training and developmental needs is collaboratively developed and implemented.</p> <p>1.3 Individuals are encouraged to self-evaluate performance and identify areas for improvement.</p> <p>1.4 <b>Feedback on performance</b> of team members is collected from relevant sources and compared with established team learning process.</p>
2. Foster individual and organizational growth	<p>2.1 Learning and development program goals and objectives are identified to match the specific knowledge and skills requirements of Competence standards.</p> <p>2.2 <b>Learning delivery methods</b> are appropriate to the learning goals, the learning style of participants and availability of equipment and resources.</p> <p>2.3 Workplace learning opportunities and coaching/ mentoring assistance are provided to facilitate individual and team achievement of competencies.</p> <p>2.4 Resources and timelines required for learning activities are identified and approved in accordance with organizational requirements.</p>
3. Monitor and evaluate workplace learning	<p>3.1 Feedback from individuals or teams is used to identify and implement improvements in future learning arrangements.</p> <p>3.2 Outcomes and performance of individuals/teams are assessed and recorded to determine the effectiveness of development programs and the extent of additional support.</p> <p>3.3 Modifications to learning plans are negotiated to improve the efficiency and effectiveness of learning.</p> <p>3.4 Records and reports of Competence are maintained within organizational requirement.</p>

4. Develop team commitment and cooperation	<p>4.1 Open communication processes to obtain and share information is used by team.</p> <p>4.2 Decisions are reached by the team in accordance with its agreed roles and responsibilities.</p> <p>4.3 Mutual concern and camaraderie are developed in the team.</p>
5. Facilitate accomplishment of organizational goals	<p>5.1 Team members actively participated in team activities and communication processes.</p> <p>5.2 Teams' members developed individual and joint responsibility for their actions.</p> <p>5.3 Collaborative efforts are sustained to attain organizational goals.</p>

Variable	Range
Learning and development needs	<ul style="list-style-type: none"> <li>• Coaching, monitoring and/or supervision</li> <li>• Formal/informal learning program</li> <li>• Internal/external training provision</li> <li>• Work experience/exchange/opportunities</li> <li>• Personal study</li> <li>• Career planning/development</li> <li>• Performance evaluation</li> <li>• Workplace skills assessment &amp; Recognition of prior learning</li> </ul>
Organizational requirements	<ul style="list-style-type: none"> <li>• Quality assurance and/or procedures manuals</li> <li>• Goals, objectives, plans, systems and processes</li> <li>• Legal and organizational policy/guidelines and requirements</li> <li>• Safety policies, procedures and programs</li> <li>• Confidentiality and security requirements</li> <li>• Business and performance plans</li> <li>• Ethical standards</li> <li>• Quality and continuous improvement processes and standards</li> </ul>
Feedback on performance	<ul style="list-style-type: none"> <li>• Formal/informal performance evaluation</li> <li>• Obtaining feedback from supervisors and colleagues</li> <li>• Obtaining feedback from clients</li> <li>• Personal and reflective behavior strategies</li> <li>• Routine and organizational methods for monitoring service delivery</li> </ul>
Learning delivery methods	<ul style="list-style-type: none"> <li>• On the job coaching or monitoring</li> <li>• Problem solving</li> <li>• Presentation/demonstration</li> <li>• Formal course participation</li> <li>• Work experience and involvement in professional networks</li> <li>• Conference and seminar attendance</li> </ul>



<b>Evidence Guide</b>	
Critical Aspects of Competence	<p>Assessment requires evidence that the candidate:</p> <ul style="list-style-type: none"> <li>• identify and implement learning opportunities for others</li> <li>• give and receive feedback constructively</li> <li>• facilitate participation of individuals in the work of the team</li> <li>• negotiate plans to improve the effectiveness of learning</li> <li>• prepare learning plans to match skill needs</li> <li>• access and designate learning opportunities</li> </ul>
Underpinning Knowledge and Attitude	<p>Demonstrates knowledge of:</p> <ul style="list-style-type: none"> <li>• coaching and monitoring principles</li> <li>• how to work effectively with team members who have diverse work styles, aspirations, cultures and perspective</li> <li>• how to facilitate team development and improvement</li> <li>• methods and techniques to obtain and interpreting feedback</li> <li>• methods for identifying and prioritizing personal development opportunities and options</li> <li>• career paths and competence standards in the industry</li> </ul>
Underpinning Skills	<p>Demonstrates skills in:</p> <ul style="list-style-type: none"> <li>• reading and understanding a variety of texts, preparing general information and documents according to target audience; spell with accuracy; use grammar and punctuation effective relationships and conflict management</li> <li>• communication including receiving feedback and reporting, maintaining effective relationships and conflict management</li> <li>• planning skills to organize required resources and equipment to meet learning needs</li> <li>• coaching and mentoring skills to provide support to colleagues</li> <li>• reporting to organize information; assess information for relevance and accuracy; identify and elaborate on learning outcomes</li> <li>• facilitation to conduct small group training sessions</li> <li>• relating to people from a range of social, cultural, physical and mental backgrounds</li> </ul>
Resources Implication	<p>Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.</p>
Methods of Assessment	<p>Competence may be assessed through:</p> <ul style="list-style-type: none"> <li>• Interview / Written Test</li> <li>• Observation / Demonstration with Oral Questioning</li> </ul>
Context of Assessment	<p>Competence may be assessed in the work place or in a simulated work place setting.</p>

Occupational Standard: Documents Authentication and Registration Services Level IV	
Unit Title	Utilize Specialized Communication Skills
Unit Code	<a href="#">EIS DAR4 18 0812</a>
Unit Descriptor	This unit covers the knowledge, skills and attitudes required to use specialized communication skills to meet specific needs of internal and external clients, conduct interviews, facilitate group discussions, and contribute to the development of communication strategies.

Elements	Performance Criteria
1. Meet common and specific communication needs of clients and colleagues	1.1 Specific communication needs of clients and colleagues are identified and met. 1.2 Different approaches are used to meet communication needs of clients and colleagues. 1.3 Conflict is addressed promptly and in a timely way and in a manner which does not compromise the standing of the organization.
2. Contribute to the development of communication strategies	2.1 <b>Strategies</b> for internal and external dissemination of information are developed, promoted, implemented and reviewed as required. 2.2 Channels of communication are established and reviewed regularly. 2.3 Coaching in effective communication is provided. 2.4 Work related network and relationship are maintained as necessary. 2.5 Negotiation and conflict resolution strategies are used where required. 2.6 Communication with clients and colleagues is appropriate to individual needs and organizational objectives.
3. Represent the organization	3.1 When participating in internal or external fora, presentation is relevant, appropriately researched and presented in a manner to promote the organization. 3.2 Presentation is clear and sequential and delivered within a predetermined time. 3.3 Appropriate media is utilized to enhance presentation. 3.4 Differences in views are respected. 3.5 Written communication is consistent with organizational standards. 3.6 Inquiries are responded in a manner consistent with organizational standard.

4. Facilitate group discussion	<p>4.1 Mechanisms which enhance <b>effective group interaction</b> are defined and implemented.</p> <p>4.2 Strategies which encourage all group members to participate are used routinely.</p> <p>4.3 Objectives and agenda for meetings and discussions are routinely set and followed.</p> <p>4.4 Relevant information are provided to group to facilitate outcomes.</p> <p>4.5 Evaluation of group communication strategies is undertaken to promote participation of all parties.</p> <p>4.6 Specific communication needs of individuals are identified and addressed.</p>
5. Conduct interview	<p>5.1 A range of appropriate communication strategies are employed in <b>interview situations</b>.</p> <p>5.2 Records of interviews are made and maintained in accordance with organizational procedures.</p> <p>5.3 Effective questioning, listening and nonverbal communication techniques are used to ensure that required message is communicated.</p>

Variable	Range
Strategies	<ul style="list-style-type: none"> <li>• Recognizing own limitations</li> <li>• Utilizing techniques and aids</li> <li>• Providing written drafts</li> <li>• Verbal and non verbal communication</li> </ul>
Effective group interaction	<ul style="list-style-type: none"> <li>• Identifying and evaluating what is occurring within an interaction in a non-judgmental way</li> <li>• Using active listening</li> <li>• Making decision about appropriate words, behavior</li> <li>• Putting together response which is culturally appropriate</li> <li>• Expressing an individual perspective</li> <li>• Expressing own philosophy, ideology and background and exploring impact with relevance to communication</li> </ul>
Types of Interview	<ul style="list-style-type: none"> <li>• Related to staff issues</li> <li>• Routine</li> <li>• Confidential</li> <li>• Evidential</li> <li>• Non-disclosure</li> <li>• Disclosure</li> </ul>

Interview situations	<ul style="list-style-type: none"> <li>• Establish rapport</li> <li>• obtain facts and information</li> <li>• Facilitate resolution of issues</li> <li>• Develop action plans</li> <li>• Diffuse potentially difficult situation</li> </ul>
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<b>Evidence Guide</b>	
Critical Aspects of Competence	<p>Assessment requires evidence that the candidate:</p> <ul style="list-style-type: none"> <li>• Demonstrated effective communication skills with clients and work colleagues accessing service</li> <li>• Adopted relevant communication techniques and strategies to meet client particular needs and difficulties</li> </ul>
Underpinning Knowledge and Values	<p>Demonstrates knowledge of:</p> <ul style="list-style-type: none"> <li>• communication process</li> <li>• dynamics of groups and different styles of group leadership</li> <li>• communication skills relevant to client groups</li> </ul>
Underpinning Skills	<p>Demonstrates skills to:</p> <ul style="list-style-type: none"> <li>• full range of communication techniques including: <ul style="list-style-type: none"> <li>➤ active listening</li> <li>➤ feedback</li> <li>➤ interpretation</li> <li>➤ role boundaries setting</li> <li>➤ negotiation</li> <li>➤ establishing empathy</li> <li>➤ communication strategies</li> </ul> </li> <li>• communication required to fulfill job roles as specified by the organization</li> </ul>
Resources Implication	<p>Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.</p>
Methods of Assessment	<p>Competence may be assessed through:</p> <ul style="list-style-type: none"> <li>• Interview / Written Test</li> <li>• Observation / Demonstration with Oral Questioning</li> </ul>
Context of Assessment	<p>Competence may be assessed in the work place or in a simulated work place setting.</p>

Occupational Standard: Documents Authentication and Registration Services Level IV	
Unit Title	Manage and Maintain Small/Medium Business Operations
Unit Code	<a href="#">EIS DAR4 19 0812</a>
Unit Descriptor	This unit covers the operation of day-to-day business activities in a micro or small business. The strategies involve developing, monitoring and managing work activities and financial information, developing effective work habits, and adjusting work schedules as needed.

Elements	Performance Criteria
1. Identify daily work requirements	1.1 Work requirements for a given time period are identified taking into consideration <b>resources</b> and constraints 1.2 Work activities are prioritized based on business needs, requirements and deadlines 1.3 If appropriate, work is allocated to relevant staff or contractors to optimize efficiency
2. Monitor and manage work	2.1 People, resources and/or equipment are coordinated to provide optimum results 2.2 Staff, clients and/or contractors are communicated within a clear and regular manner, to monitor work in relation to <b>business goals</b> or timelines 2.3 <b>Problem solving techniques</b> are applied to work situations to overcome difficulties and achieve positive outcomes
3. Develop effective work habits	3.1 Work and personal priorities are identified and a balance is achieved between competing priorities using appropriate <b>time management strategies</b> 3.2 Input from <b>internal and external sources</b> is sought and used to develop and refine new ideas and approaches 3.3 Business or inquiries are responded to promptly and effectively 3.4 Information is presented in a format appropriate to the industry and audience
4. Interpret financial information	4.1 Relevant documents and reports are identified 4.2 Documents and reports are read and understood and any implications discussed with appropriate persons 4.3 Data and numerical calculations are analyzed, checked, evaluated, organized and reconciled

	<p>4.4 Daily financial records and cash flow are maintained correctly and in accordance with legal and accounting requirements</p> <p>4.5 Invoices and payments are prepared and distributed in a timely manner and in accordance with legal requirements</p> <p>4.6 Outstanding accounts are collected or followed-up on</p>
5. Evaluate work performance	<p>5.1 Opportunities for improvements are monitored according to business demands</p> <p>5.2 Work schedules are adjusted to incorporate necessary modifications to existing work and routines or changing needs and requirements</p> <p>5.3 Proposed changes are clearly communicated and recorded to aid in future planning and evaluation</p> <p>5.4 Relevant codes of practice are used to guide an ethical approach to workplace practices and decisions</p>

Variable	Range
Resources may include:	<ul style="list-style-type: none"> <li>• staff</li> <li>• money</li> <li>• time</li> <li>• equipment</li> <li>• space</li> </ul>
Business goals may include:	<ul style="list-style-type: none"> <li>• sales targets</li> <li>• budgetary targets</li> <li>• team and individual goals</li> <li>• production targets</li> <li>• reporting deadlines</li> </ul>
Problem solving techniques may include:	<ul style="list-style-type: none"> <li>• gaining additional research and information to make better informed decisions</li> <li>• looking for patterns</li> <li>• considering related problems or those from the past and how they were handled</li> <li>• eliminating possibilities</li> <li>• identifying and attempting sub-tasks</li> <li>• collaborating and asking for advice or help from additional sources</li> </ul>
Time management strategies may include:	<ul style="list-style-type: none"> <li>• prioritizing and anticipating</li> <li>• short term and long term planning and scheduling</li> <li>• creating a positive and organized work environment</li> <li>• clear timelines and goal setting that is regularly reviewed and adjusted as necessary</li> <li>• breaking large tasks into smaller tasks</li> <li>• getting additional support if identified and necessary</li> </ul>

Internal and external sources may include:	<ul style="list-style-type: none"> <li>• staff and colleagues</li> <li>• management, supervisors, advisors or head office</li> <li>• relevant professionals such as lawyers, accountants, management consultants and professional associations</li> </ul>
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<b>Evidence Guide</b>	
Critical Aspects of Competence	<p>A person must be able to demonstrate:</p> <ul style="list-style-type: none"> <li>• ability to identify daily work requirements and allocate work appropriately</li> <li>• ability to interpret financial documents in accordance with legal requirements</li> </ul>
Underpinning Knowledge and Attitudes	<p>Demonstrates knowledge of:</p> <ul style="list-style-type: none"> <li>• Federal and Local Government legislative requirements affecting business operations, especially in regard to occupational health and safety (OHS), equal employment opportunity, industrial relations and anti-discrimination</li> <li>• technical or specialist skills relevant to the business operation</li> <li>• relevant industry code of practice</li> <li>• planning techniques to establish realistic timelines and priorities</li> <li>• identification of relevant performance measures</li> <li>• quality assurance principles and methods</li> <li>• relevant marketing, management, sales and financial concepts</li> <li>• methods for monitoring performance and implementing improvements</li> <li>• structured approaches to problem solving, idea management and time management</li> </ul>
Underpinning Skills	<p>Demonstrates skills of:</p> <ul style="list-style-type: none"> <li>• interpret legal requirements, company policies and procedures and immediate, day-to-day demands</li> <li>• communication skills including questioning, clarifying, reporting, and giving and receiving constructive feedback</li> <li>• numeracy skills for performance information, setting targets and interpreting financial documents and reports</li> <li>• technical and analytical skills to interpret business document, reports and financial statements and projections</li> <li>• ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities</li> <li>• problem solving skills to develop contingency plans</li> <li>• using computers and software packages to record and manage data and to produce reports</li> <li>• evaluation skills for assessing work and outcomes</li> <li>• observation skills for identifying appropriate people, resources and to monitor work</li> </ul>

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: <ul style="list-style-type: none"> <li>• Interview / Written Test</li> <li>• Observation / Demonstration with Oral Questioning</li> </ul>
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.



Occupational Standard: Documents Authentication and Registration Services Level IV	
Unit Title	Apply Problem Solving Techniques and Tools
Unit Code	<a href="#">EIS DAR4 20 1012</a>
Unit Descriptor	This unit of competency covers the knowledge, skills and attitude required to apply scientific problem solving techniques and tools to enhance quality, productivity and other kaizen elements on continual basis.

Elements	Performance criteria
1. Identify and select theme/problem.	<p>1.1 <b>Safety requirements</b> are followed in accordance with safety plans and procedures.</p> <p>1.2 All possible problems related to the process /Kaizen elements are listed using <b>statistical tools and techniques</b>.</p> <p>1.3 All possible problems related to kaizen elements are identified and listed on Visual Management Board/Kaizen Board.</p> <p>1.4 Problems are classified based on obviousness of cause and action.</p> <p>1.5 Critical factors like the number of customers affected, Potentials for bottlenecks, and number of complaints etc... is selected.</p> <p>1.6 Problems related to priorities of <b>Kaizen Elements</b> are given due emphasis and selected.</p>
2. Grasp current status and set goal.	<p>2.1 The extent of the problem is defined.</p> <p>2.2 Appropriate and achievable goal is set.</p>
3. Establish activity plan.	<p>3.1 The problem is confirmed.</p> <p>3.2 High priority problem is selected.</p> <p>3.3 The extent of the problem is defined.</p> <p>3.4 Activity plan is established as per <b>5W1H</b>.</p>
4. Analyze causes of a problem.	<p>4.1 All possible causes of a problem are listed.</p> <p>4.2 Cause relationships are analyzed using <b>4M1E</b>.</p> <p>4.3 Causes of the problems are identified.</p>

	<p>4.4 Root causes are selected.</p> <p>4.5 The root cause which is most directly related to the problem is selected.</p> <p>4.6 All possible ways are listed using <b>creative idea generation</b> to eliminate the most critical root cause.</p> <p>4.7 The suggested solutions are carefully tested and evaluated for potential complications.</p> <p>4.8 Detailed summaries of the action plan are prepared to implement the suggested solution.</p>
5. Examine countermeasures and their implementation.	<p>5.1 Action plan is implemented by <b>medium KPT</b> members.</p> <p>5.2 Implementation is monitored according to the agreed procedure and activities are checked with preset plan.</p>
6. Assess effectiveness of the solution.	<p>6.1 <b>Tangible and intangible results</b> are identified.</p> <p>6.2 The results are verified over time.</p> <p>6.3 Tangible results are compared with targets using <b>various types of diagram</b>.</p>
7. Standardize and sustain operation.	<p>7.1 If the goal is achieved, the new procedures are standardized and made part of daily activities.</p> <p>7.2 All employees are trained on the new <b>Standard Operating Procedures (SOPs)</b>.</p> <p>7.3 SOP is verified and followed by all employees.</p> <p>7.4 The next problem is selected to be tackled by the team.</p>

Variables	Range
Safety requirements	<p>may include but not limited to:</p> <ul style="list-style-type: none"> <li>• OHS requirements include legislation, material safety, managements system, hazardous substances and dangerous goods code and local safe operating procedures</li> <li>• Work is carried out in accordance with legislative obligations, environmental legislations, relevant health regulation, manual handling procedure and organization insurance requirements</li> </ul>
Statistical tools and techniques	<p>may include but not limited to:</p> <ul style="list-style-type: none"> <li>• 7 QC tools may include: <ul style="list-style-type: none"> <li>➢ Stratification</li> <li>➢ Pareto Diagram</li> <li>➢ Cause and Effect Diagram</li> </ul> </li> </ul>

	<ul style="list-style-type: none"> <li>➤ Check Sheet</li> <li>➤ Control Chart/Graph</li> <li>➤ Histogram</li> <li>➤ Scatter Diagram</li> <li>• QC techniques may include: <ul style="list-style-type: none"> <li>➤ Brain storming</li> <li>➤ Why analysis</li> <li>➤ What if analysis</li> <li>➤ 5W1H</li> </ul> </li> </ul>
Kaizen Elements	<p>may include but not limited to:</p> <ul style="list-style-type: none"> <li>• Quality</li> <li>• Cost</li> <li>• Productivity</li> <li>• Delivery</li> <li>• Safety</li> <li>• Moral</li> <li>• Environment</li> <li>• Gender equality</li> </ul>
5W1H	<p>may include but not limited to:</p> <ul style="list-style-type: none"> <li>• Who: person in charge</li> <li>• Why: objective</li> <li>• What: item to be implemented</li> <li>• Where: location</li> <li>• When: time frame</li> <li>• How: method</li> </ul>
4M1E	<p>may include but not limited to:</p> <ul style="list-style-type: none"> <li>• Man</li> <li>• Machine</li> <li>• Method</li> <li>• Material and</li> <li>• Environment</li> </ul>
Creative idea generation	<p>may include but not limited to:</p> <ul style="list-style-type: none"> <li>• Brainstorming</li> <li>• Exploring and examining ideas in varied ways</li> <li>• Elaborating and extrapolating</li> <li>• Conceptualizing</li> </ul>
Medium KPT	<p>may include but not limited to:</p> <ul style="list-style-type: none"> <li>• 5S</li> <li>• 4M (machine, method, material and man)</li> <li>• 4P (Policy, procedures, People and Plant)</li> <li>• PDCA cycle</li> <li>• Basics of IE tools and techniques</li> </ul>

Tangible and intangible results	<p>may include but not limited to:</p> <ul style="list-style-type: none"> <li>• Tangible result may include: <ul style="list-style-type: none"> <li>➤ Quantifiable data</li> </ul> </li> <li>• Intangible result may include: <ul style="list-style-type: none"> <li>➤ Qualitative data</li> </ul> </li> </ul>
Various types of diagram	<p>may include but not limited to:</p> <ul style="list-style-type: none"> <li>• Line graph</li> <li>• Bar graph</li> <li>• Pie-chart</li> <li>• Scatter and Affinity diagrams</li> </ul>
Standard Operating Procedures (SOPs)	<p>may include but not limited to:</p> <ul style="list-style-type: none"> <li>• The customer demand</li> <li>• The most efficient work routine (steps)</li> <li>• The cycle times required to complete work elements</li> <li>• All process quality checks required to minimize defects/errors</li> <li>• The exact amount of work in process required</li> </ul>

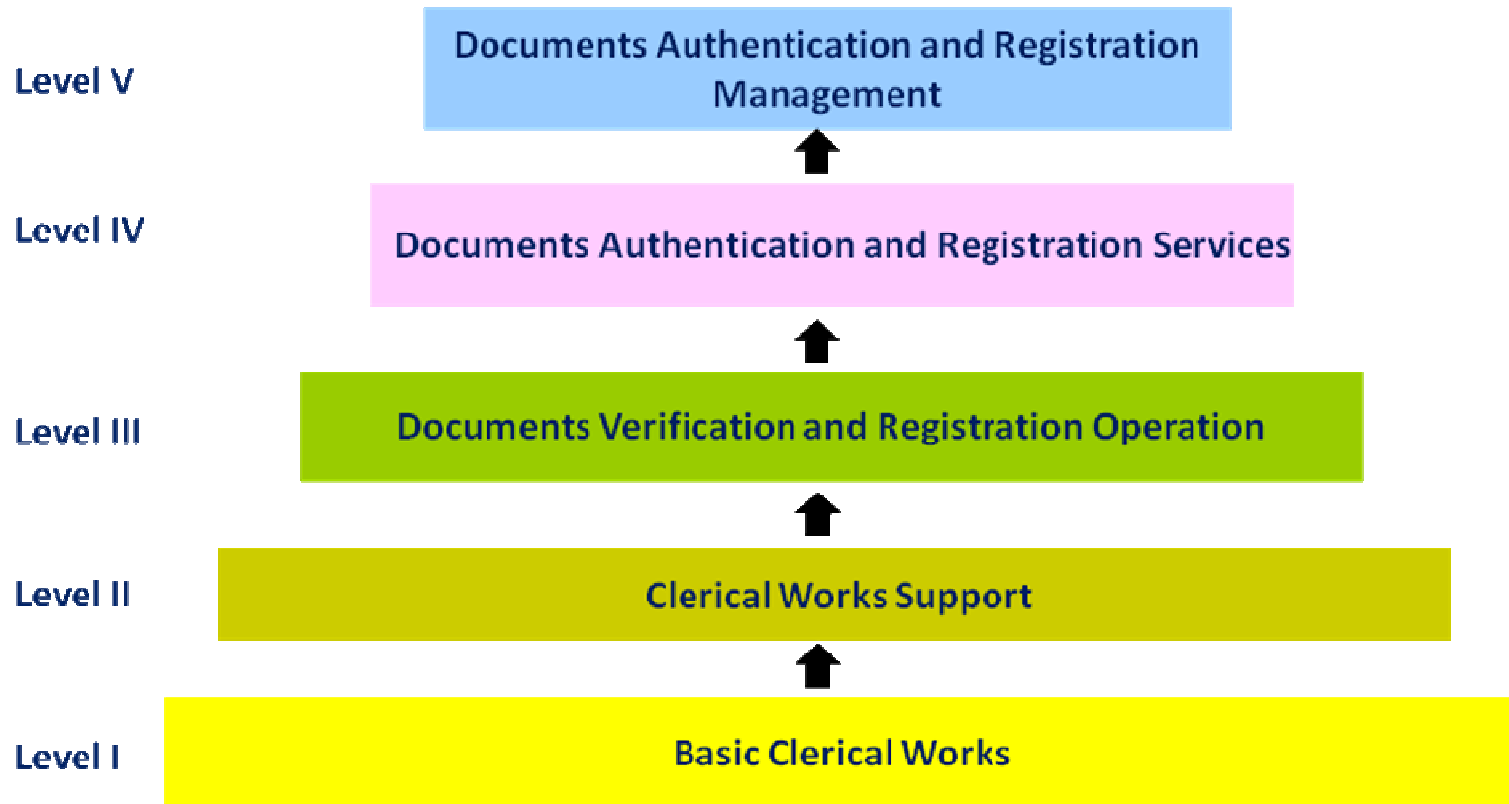
### Evidence Guide

Critical Aspects of Assessment	<p>Demonstrates skills and knowledge competencies to:</p> <ul style="list-style-type: none"> <li>• Apply all relevant procedures and regulatory requirements to ensure quality and productivity of an organization.</li> <li>• Detect non-conforming products/services in the work area</li> <li>• Apply effective problem solving approaches/strategies.</li> <li>• Implement and monitor improved practices and procedures</li> <li>• Apply statistical quality control tools and techniques.</li> </ul>
Underpinning Knowledge and Attitude	<p>Demonstrates knowledge of:</p> <ul style="list-style-type: none"> <li>• QC story/PDCA cycle/</li> <li>• QC story/ Problem solving steps</li> <li>• QCC techniques</li> <li>• 7 QC tools</li> <li>• Basic IE tools and techniques.</li> <li>• SOP</li> <li>• Quality requirements associated with the individual's job function and/or work area</li> <li>• Workplace procedures associated with the candidate's regular technical duties</li> <li>• Relevant health, safety and environment requirements</li> <li>• organizational structure of the enterprise</li> <li>• Lines of communication</li> <li>• Methods of making/recommending improvements.</li> <li>• Reporting procedures</li> </ul>

Underpinning Skills	<p>Demonstrates skills to:</p> <ul style="list-style-type: none"> <li>• Apply problem solving techniques and tools</li> <li>• Apply statistical analysis tools</li> <li>• Apply Visual Management Board/Kaizen Board.</li> <li>• Detect non-conforming products or services in the work area</li> <li>• Document and report information about quality, productivity and other kaizen elements.</li> <li>• Contribute effectively within a team to recognize and recommend improvements in quality, productivity and other kaizen elements.</li> <li>• Implement and monitor improved practices and procedures.</li> <li>• Organize and prioritize activities and items.</li> <li>• Read and interpret documents describing procedures</li> <li>• Record activities and results against templates and other prescribed formats.</li> </ul>
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	<p>Competence may be assessed through:</p> <ul style="list-style-type: none"> <li>• Interview / Written Test</li> <li>• Observation / Demonstration with Oral Questioning</li> </ul>
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**



## Acknowledgement

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

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