Federal Democratic Republic of Ethiopia
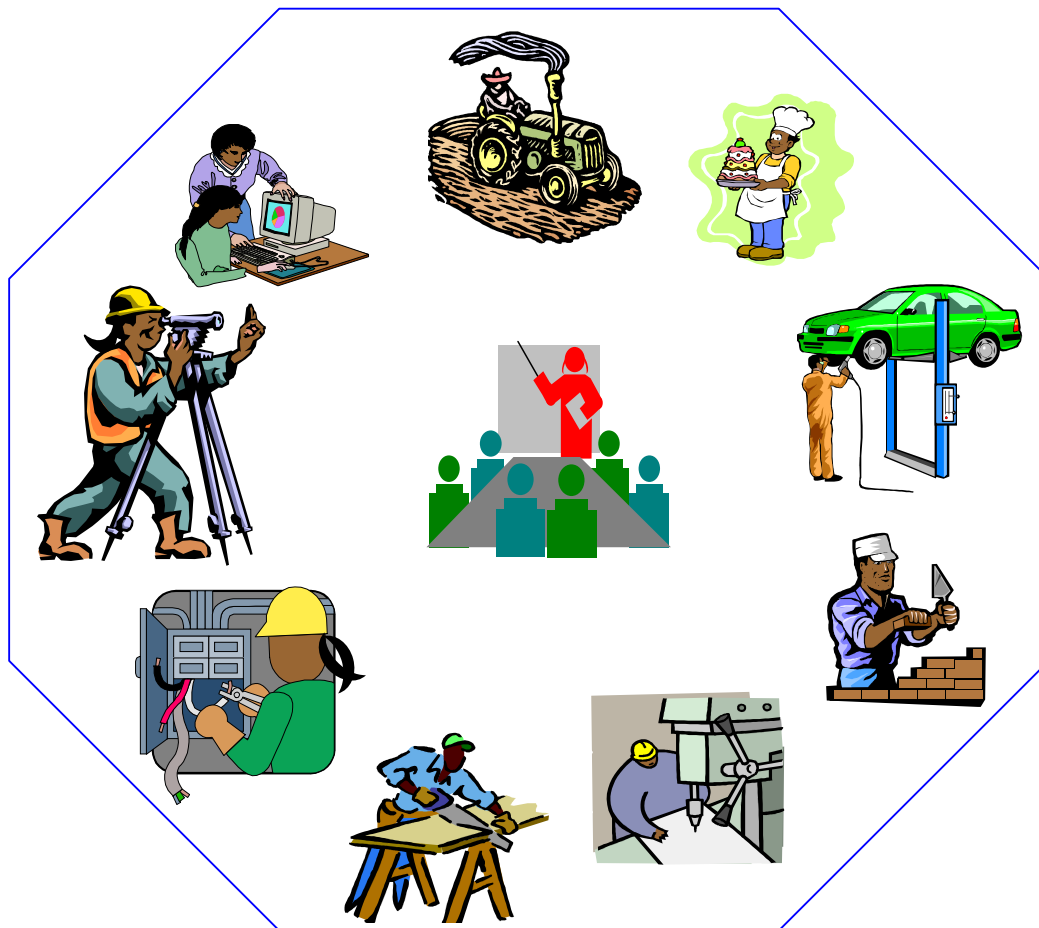
OCCUPATIONAL STANDARD

BUSINESS GOVERNANCE SERVICE

NTQF Level III, IV and V

Ministry of Education
July 2014

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 labour market.

The Ethiopian Occupational Standards (EOS) are - a 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 Ethiopian 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 Ethiopian Occupational Standard 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 the Unit Titles
- contents of each Unit of Competence (competence standard)
- occupational map providing the Technical and Vocational Education and Training (TVET) providers with information and important requirements to consider when designing training programs for this standards and for the individual, a career path

UNIT OF COMPETENCE CHART

Occupational Standard: Business Governance Service	
Occupational Code: TRD BGS	

NTQF Level III

TRD BGS3 01 0714 Uphold the Values and Principles of Public Service	**TRD BGS3 02 0714** Develop Product and Service Knowledge for Customer Contact Operation	**TRD BGS3 03 0714** Apply Knowledge of the Legal System to Complete Tasks
TRD BGS3 04 0714 Comply with Legislation in the Public Sector	**TRD BGS3 05 0714** Work Effectively with Diversity	**TRD BGS3 06 0714** Work Effectively in Customer Contact
TRD BGS3 07 0714 Organise Schedules	**TRD BGS3 08 0714** Contribute to Conflict Management	**TRD BGS3 09 0714** Design and Produce Text Documents
TRD BGS3 10 0714 Organise Workplace Information	**TRD BGS3 11 0714** Provide Workplace Information and Resourcing Plans	**TRD BGS3 12 0714** Prioritising and Planning Activities in a Legal Practice
TRD BGS3 13 0714 Monitor Implementation of Work Plan/Activities	**TRD BGS3 14 0714** Apply Quality Control	**TRD BGS3 15 0714** Lead Workplace Communication
TRD BGS3 16 0714 Lead Small Teams	**TRD BGS3 17 0714** Improve Business Practice	**TRD BGS3 18 0714** Prevent and Eliminate MUDA

NTQF Level IV

TRD BGS4 01 0714 Contribute to the Development and Implementation of Organisational Policies	**TRD BGS4 02 0714** Maintain and Protect Cultural Values in the Organisation	**TRD BGS4 03 0714** Uphold and Support the Values and Principles of Public Service
TRD BGS4 04 0714 Conduct Work within a Compliance Framework	**TRD BGS4 05 0714** Schedule Customer Contact Activity	**TRD BGS4 06 0714** Implement Customer Service Standards
TRD BGS4 07 0714 Address Customer Needs	**TRD BGS4 08 0714** Collect, Analyse and Present Workplace Data and Information	**TRD BGS4 09 0714** Survey Stakeholders to Gather and Record Information
TRD BGS4 10 0714 Produce Complex Desktop Published Documents	**TRD BGS4 11 0714** Plan and Organize Work	**TRD BGS4 12 0714** Migrate to New Technology
TRD BGS4 13 0714 Establish Quality Standards	**TRD BGS4 14 0714** Develop Individuals and Team	**TRD BGS4 15 0714** Utilize Specialized Communication Skills
TRD BGS4 16 0714 Manage Micro, Small and Medium Enterprises (MSMEs)	**TRD BGS4 17 0714** Apply Problem Solving Techniques and Tools	

NTQF Level V

TRD BGS5 01 0714 Develop Business Continuity Strategy	**TRD BGS5 02 0714** Meet Statutory and Organisation Information Requirements	**TRD BGS5 03 0714** Manage Quality Customer Service
TRD BGS5 04 0714 Apply Legal Principles in Wills and Probate Matters	**TRD BGS5 05 0714** Integrate Customer Contact Operations in the Organisation	**TRD BGS5 06 0714** Apply Legal Principles in Corporation Law Matters
TRD BGS5 07 0714 Document or Reconstruct a Business or Records System	**TRD BGS5 08 0714** Lead the Organisation's Strategic Planning Cycle	**TRD BGS5 09 0714** Undertake Organisational Training Needs Analysis
TRD BGS5 10 0714 Manage Compliance within the Marketing Legislative Framework	**TRD BGS5 11 0714** Identify and Interpret Compliance Requirements	**TRD BGS5 12 0714** Evaluate and Review Compliance
TRD BGS5 13 0714 Manage Conflict	**TRD BGS5 14 0714** Plan or Review Administrative Systems	**TRD BGS5 15 0714** Manage and Monitor Business or Records Systems
TRD BGS5 16 0714 Manage Intellectual Property to Protect and Grow Business	**TRD BGS5 17 0714** Develop Processes for the Management of Breaches in Compliance	**TRD BGS5 18 0714** Develop Workplace Policy and Procedures for Sustainability
TRD BGS5 19 0714 Manage Business Document Design and Development	**TRD BGS5 20 0714** Manage Project Quality	**TRD BGS5 21 0714** Facilitate and Capitalize on Change and Innovation
TRD BGS5 22 0714 Manage Continuous Improvement Process (Kaizen)		

NQTF Level III

Occupational Standard: Business Governance Service Level III	
Unit Title	**Uphold the Values and Principles of Public Service**
Unit Code	**TRD BGS3 01 0714**
Unit Descriptor	This unit of competency describes the outcomes required to demonstrate ethical conduct required of those in public service. It includes applying ethical standards and dealing with ethical problems. This unit supports the attainment of skills and knowledge required for applying ethical conduct and accountability required in those working in government employment. In practice, ethical conduct is demonstrated in the context of other generalist or specialist work activities such as building and maintaining networks, delivering client services, using financial resources, procuring goods or services, etc.

Elements	Performance Criteria
1. Apply ethical standards	1.1 Interpretation of **ethical values and principles** is reviewed with senior staff to ensure accuracy.
	1.2 Personal **work practices** are undertaken in compliance with public sector ethics standards, **legislation and guidelines**.
	1.3 Verbal and written advice and reports are prepared to contain information which is impartial, substantiated, accurate and complete.
	1.4 **Public resources** are **used** in accordance with public sector ethics standards, organisational policy and guidelines.
	1.5 **Conflicts of interest** are identified, declared, addressed and documented in accordance with policy and procedures.
	1.6 Personal behaviour and relationships with the public, suppliers and business contacts are conducted in accordance with ethics standards, policy and guidelines.
2. Deal with ethical problems	2.1 Situations which pose ethical problems are resolved or **referred** in accordance with organisational guidelines.
	2.2 Decision-making **processes used to resolve ethical problems** are recorded in accordance with organisational policy and procedures.
	2.3 Organisational policies/codes on the prevention and reporting of **unethical conduct** are accessed and applied.

Variable	Range
Ethical values and principles	May include: • respect for the law

	• integrity
	• objectivity
	• accountability
	• honesty
	• openness
	• responsibility
	• impartiality
	• diligence
	• trustworthiness
	• confidentiality
	• respect for persons
	• responsible care
	• probity
	• economy and efficiency
	• natural justice/procedural fairness, that is:
	  ➢ the right to be heard/put your case
	  ➢ the right to be informed of a complaint or case against you
	  ➢ the right to know the outcomes/recommendations of an investigation involving you
	  ➢ the right to know reasons for decisions affecting you
	  ➢ the right to privacy
	  ➢ the right to representation
	  ➢ the right to silence
	• the decision maker should not be a judge in his/her own cause

Work practices	May include: • behaviours • conduct • relationships with work colleagues, external individuals and organisations • the manner in which work activities are carried out
Legislation and guidelines	May include: • legislation for public sector management • freedom of information • privacy legislation • equal employment opportunity and anti-discrimination law • public sector standards • Ministerial directions • organisational codes of conduct • sets of values • organisational mission and values statements • organisational policy, procedures/guidelines • government policy • professional codes of ethics and conduct • equity guidelines, workplace diversity guidelines
Public resources	May include: • time

	• stationery • equipment • telephones • Internet • Email
Use	Includes: • effective use • efficient use - avoiding/minimising waste • not for private use
Conflicts of interest	May include: • potential, perceived and actual conflicts • bribery • improper use of official information • improper use of resources, including plant and equipment • acceptance of gifts • favours for friends and/or relatives • political activity • pecuniary and non-pecuniary conflicts
Referred	May include: • conflict between public sector standards and personal values • conflict between public sector standards and other standards such as professional standards • conflict between public sector standards and directions of a senior officer or Minister • tension between two 'rights', for example, the right to privacy versus the right to freedom of information • conflict regarding issues of personal and organisational intellectual property May be made to: • line management • chief executive officer • public service commissioner • public sector standards body • organisational ethics committee • internal grievance mechanisms, including identified officers • confidant programs (whistleblower protection programs) • organisational professional reporting procedures • unions and professional bodies • ombudsman • police
Processes for resolving ethical problems	May include: • accessing relevant standards and other information • withdrawing from a situation • using models of ethical decision making/problem solving • Reflection, discussion, seeking clarification from others.

Unethical conduct	May include:
	• fraud, corruption, maladministration and waste
	• unauthorised access to and/or use of information, money/finances, vehicles, equipment, resources, time
	• improper actions during contractual processes, such as release of intellectual property, infringing copyright, release of tender information, inappropriate disclosure during tender process
	• improper public comment on matters relating to the government and/or the organisation
	• falsifying records
	• giving false testimonials
	• dishonesty
	• improper use of plant and equipment, credit cards, frequent flyer points, telephones, email and Internet
	• extravagant or wasteful practices
	• personal favours
	• preferential treatment
	• putting barriers in place, hindering, blocking action
	• compromising behaviour including sexual harassment
	• lack of confidentiality
	• directing others to act unethically
	• oppressive/coercive management decisions
	• resorting to illegality to obtain evidence

Evidence Guide	
Critical Aspects of Competence	Must demonstrate knowledge and skills competence to:
	• the knowledge requirements of this unit
	• the skill requirements of this unit
	• ethical conduct in a range of (3 or more) contexts (or occasions, over time) where contexts may be generalist or specialist work activities such as building and maintaining networks, delivering client services, using financial resources, procuring goods or services etc
Underpinning Knowledge and Attitudes	Demonstrate knowledge of:
	• the nature of ethics and ethical values
	• fundamental ethical principles such as justice, respect for persons, procedural fairness, confidentiality, responsible care
	• values of public sector office
	• natural justice/procedural fairness
	• equal employment opportunity, equity and diversity principles
	• where to access ethical decision making/problem solving models, organisational codes and procedures
	• procedures for declaring conflicts of interest
	• protocols for reporting fraud, corruption and maladministration

	• occupational health and safety procedures relating to ethical work practices
Underpinning Skills	Demonstrate skills of: • applying objective and impartial evaluation of conflicting requirements • using ethical decision making • preparing written advice and reports requiring accuracy of expression • accessing legislation and codes of ethics electronically or in hard copy • tailoring communication to suit different audiences • responding to diversity, including gender and disability • applying occupational health and safety procedures relating to ethical work practices
Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Business Governance Service Level III	
Unit Title	**Develop Product and Service Knowledge for Customer Contact Operation**
Unit Code	**TRD BGS3 02 0714**
Unit Descriptor	This unit describes the performance outcomes, skills and knowledge required to develop knowledge of products and services in preparation for customer contact in an inbound or outbound customer contact activity. Knowledge of products and services may be used for customer liaison, presenting information or for the sales process. This unit applies to individuals in a small, medium or large enterprise across a wide variety of industries and contexts that develop their product and service knowledge prior to undertaking customer contact activities. This work is undertaken with some supervision and guidance.

Elements	Performance Criteria	
1. Acquire knowledge of products and services in a specified area	1.1	***Information sources*** about ***products and services*** are identified in a specified area and evaluated for reliability and validity
	1.2	Purpose is identified; and product and service are used.
	1.3	Key ***features*** of the products and services are identified and evaluated.
	1.4	Strengths and weaknesses (swot analysis) of the products and services are identified and evaluated.
	1.5	Relevant product and service support details are listed.
2. Evaluate the full range of products and services in a designated area of business	2.1	A range of information sources is used to identify the range of products and services in a designated area of business.
	2.2	Features, benefits, strengths and weaknesses of the range of products and services available are compared.
	2.3	Relative standing of the organisation's products and services is established with the alternatives to communicate differences to the buyer or user.
3. Convert product and service knowledge into benefits	3.1	Features of the products and services that have potential buyer or user appeal are identified.
	3.2	Relevant features of the products and services are presented as benefits to the stakeholder.
	3.3	Benefits of the products and services are presented within the context of ***organisational requirements*** and legislation.

Variable	Range
Information sources	May include: • associations • catalogues • claims of competitive sales people • competitor websites • competitor sales literature • external sales data sources, such as warehouse withdrawals • internal sales data records • other company personnel • sales conventions • team members • trade association magazines • trade shows • internet • e mail • Telephone.
Products and services	May include: • goods • ideas • infrastructure • Private and public sets of benefits.
Features	May include: • brand • colour • country of origin • covenant • manufacturer • product care details • safety aspects • shelf life • production and expiry date • size • style • Warnings.
Organisational requirements	May include: • level of client service required • Policies, rules, regulations, proclamations and procedures, which are formally documented and available for reference in the workplace.

Evidence Guide	
Critical Aspects of Competence	Must demonstrate knowledge and skills competence to: • identify key features and benefits of products and services

	within area of business • Demonstrate knowledge of organisational products and services.

Underpinning Knowledge and Attitudes	Demonstrate knowledge of:
	• features, benefits, strengths and weaknesses of the range of products and services available within a designated business
	• industry alternatives, trends and developments as they apply to products and services
	• organisational structure, roles and responsibilities, policies, procedures, product labelling and descriptions
	• potential user or buyer markets
	• processes used when describing products and services
	• key provisions of relevant legislation that affect business operations, such as:
	  ➢ anti- discrimination
	  ➢ consumer protection
	  ➢ contract law legislation
	• ethical principles relating to:
	  ➢ privacy laws
	  ➢ Trade Practices Act/Competition and Consumer Act.

Underpinning Skills	Demonstrate skills of:
	• information management skills to summarise information verbally and in writing
	• literacy and numeracy skills to:
	  ➢ interpret product and service features and sales data
	  ➢ summarise information obtained from a variety of sources, including verbal, written and visual
	• self management skills to:
	  ➢ comply with policies and procedures
	  ➢ seek learning and development opportunities
	  ➢ Work in a team environment.

Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Business Governance Service Level III	
Unit Title	**Apply Knowledge of the Legal System to Complete Tasks**
Unit Code	**TRD BGS3 03 0714**
Unit Descriptor	This unit describes the performance outcomes, skills and knowledge required to complete a range of common legal administrative duties and the legal system that is required to carry them out. All aspects of legal practice may be subject to a range of legislation, rules, regulations and/or codes of practice relevant to different job roles and jurisdictions. This unit applies to individuals who provide services to support legal practitioners, while under supervision. This unit underpins all units of competency in the Legal Services stream. All aspects of legal practice may be subject to a range of legislation, rules, regulations and/or codes of practice relevant to different job roles and jurisdictions.

Elements	Performance Criteria
1. Identify the main roles and responsibilities of key bodies in the legal system	1.1 The functions of the **courts**, **regulatory bodies and other legal service providers** are identified.
	1.2 The roles of **key personnel in the legal industry** are identified.
	1.3 Practical implications of **relevant legal practice legislation** are explained and applied in regard to own activities.
	1.4 Research gaps in knowledge are identified.
2. Identify key personnel/sections within a legal firm and their functions, to complete routine administrative tasks	2.1 The **key legal functions of a firm** are identified and explained.
	2.2 The **key functions of all personnel/sections** are identified within a firm.
	2.3 **Personnel responsible for authorisation of specific matters** (e.g. partner for authorising movement of funds in trust accounts) are identified.
	2.4 The correct names of personnel/sections in administrative tasks are used according to **a firm's policies and procedures**.
3. Produce and despatch legal documentation	3.1 Purpose of **document/form**, and the stage of the legal process which it relates, can be explained are ensured.
	3.2 Relevant information is accessed from the client file.
	3.3 **Precedent** is accessed from firm's **bank** of forms/routine documentation or draft document according to firm's

		procedures.
	3.4	File/matter number is attached to all relevant documentation.
	3.5	**Document**/**form** is self-checked for accuracy and presented to the legal practitioner within agreed timelines.
	3.6	Self or other is organized to despatch document in the appropriate manner.
	3.7	All activities, actions and outcomes are documented and time is recorded as required.
	3.8	Documentation is filed correctly.
4. Organise self or other to apply for certificates	4.1	Timelines are arranged, documented and recorded with designated person.
	4.2	**Supplier of certificate** is identified and located.
	4.3	Applicable fees, taxes and rebates are identified and advised to client, if appropriate.
	4.4	Self or other is organized to apply for **certificate** using appropriate **application** forms and processes.
	4.5	Record of application is obtained as appropriate.
	4.6	Legal practitioner's review of self or other's work is facilitated.
	4.7	Self or other is organized to pursue appropriate follow-up action if certificates are not received on time or further information is required.
5. Use court etiquette appropriate to the various courts	5.1	The appropriate manner of entering into and departing from the courts/tribunals is used.
	5.2	The appropriate manner of addressing the courts/tribunals is used.
	5.3	Relevant legal language is used where appropriate.
	5.4	Gaps in knowledge of **court etiquette** are identified and researched.

Variable	Range
Courts, regulatory bodies and other legal service providers	May include: • Federal Court • Industrial Relations Court • Family Court • Supreme Court • Magistrates Court • Civil Registry Courts • State and Administrative Appeals Tribunal • Registrar of Probates • Liquor Licensing Commission

	• others not included in this listing
Key personnel in the legal industry	May include: • Barristers • Coroners • Crown Prosecutor • Crown Solicitor • Director of Public Prosecutions • Judges • Judges' associates • Magistrates • public defenders • public solicitors • solicitors • solicitor for public prosecutions • paralegals • legal secretaries • partner • managing partner • legal practice manager • law clerk • Queen's counsel • process server • authorised signing parties • Other key personal in the legal industry not included in this listing.
Relevant legal practice legislation requirements	May relate to: • Relevant legislation (e.g. Legal Practice Act, The Judiciary Act) • schedules of fees and duties payable • the area of law • The client and a firm (e.g. Consumer Credit Code, Privacy Act, secrecy laws, Codes of Practice) • trust accounting • Other Federal and/or state legislations, rules, regulations and/or codes of practice not included in this listing.

Key legal functions of a firm	May include:
	 • commercial law
	 • corporate law
	 • criminal law
	 • family law
	 • industrial relations/employment law
	 • litigation
	 • property law
	 • services in a specific area of law such as:
	   ➢ tax law
	   ➢ wills and probate
	 • a range of legal services in specific settings such as:

	➢ Community Legal Centres ➢ Government Solicitor's offices ➢ Legal Aid Commissions ➢ legal departments in large businesses ➢ paralegal agencies (debt recovery, conveyance) ➢ private law firms (large, medium and small) ➢ other areas of law not included in this listing
Key functions of personnel/ sections	May include: • accounts • catering • financial management • human resources • Procurements • Archive • store • information technology • library/information services • mail room • marketing • reception • Specialised areas of law
Personnel responsible for authorisation of specific matters	May include: • business manager • lawyer • legal practice manager • partner • supervisor • teacher/trainer • work colleague • economists • Accountant • Other personnel not included in this listing
A firm's policies and procedures	May include: • accessing files • checklists • contingencies • core values • emergency procedures • firm charter • information sources • information specific to the firm • initiation of files • on-line information manuals • privacy • procedure manual • professional conduct code • recording information • security/confidentiality procedures

	• telephone protocol • training guides • updating files • ordering and coding files • Verifying and authorising information.
Documents/forms	May include: • agreements • briefs • emails • internal correspondence • letters • memorandums of law • opinion letters • pleadings • precedents • registered legal instruments • transcripts from supervisor's notes • appropriate use of letterhead • correct line spacing • correct margins • correct use of reference • dual column system • list of enclosures • paragraph numbering • placing of headings • presence/absence of a back sheet • presence/absence of a cover sheet • specific sign off clauses • usage of keycaps and font features • Use of document footers. May be despatched via: • courier • email • fax • hand delivery • pick up by client
Precedents	May include: • a firm's templates • agreements • contracts • court documents • leases • letter confirming client's instructions and rights • mortgages • standard letters • transfer of shares • wills

	• Other precedents not included in this listing.
The precedent bank	May be: • external • in-house • on-line • Stored pre-printed forms.
Supplier of certificates	May include: • clients • contracted supplier • local government agencies • other law firms • State and Federal government agencies.
Certificates	May include: • birth • business names • citizenship • death • incorporation • marriage • rate and planning certificates • registration of business • title • Trademark registration. May be requested: • by letter • in person • on-line • via fax • Via telephone. • via e-mail
Application	May include: • application for reservation of a name • articles of association • Memorandum of association. • addresses
Court etiquette	May include: • acknowledging the Judge as he/she enters the court/tribunal at commencement of proceedings • acknowledging the Judge as he/she leaves the court/tribunal +at the conclusion/adjournment of proceedings • behaving appropriately when entering or leaving the court/tribunal during proceedings • not speaking in the court/tribunal unless required to do so • remaining standing until the Judge is seated • Using the appropriate form of address for a Judge or a Magistrate.

Evidence Guide	
Critical Aspects of Competence	Must demonstrate knowledge and skills competence of: • accurately explaining relevant legal terminology in simple terms and using it correctly where appropriate • applying knowledge of the purpose of different types of documents/forms to read and interpret client's file and select appropriate information for inclusion • correctly preparing a range of relevant documents/ forms for lodgement or delivery in accordance with firm's procedures, relevant timelines and legislative requirements • accurately referring to key personnel/sections of a firm according to their functions in all administrative tasks, written information and when responding to enquiries • Applying correct processes, as designated by supplier, for the lodgement and receipt of certificates.

Underpinning Knowledge and Attitudes	Demonstrate knowledge of:
	• scope of legal practitioner/support role and own responsibilities and obligations to provide legal advice, complete or sign off on legal work and/or appear in court as described by relevant jurisdiction(s)
	• firm's policies and procedures
	• accepted codes of conduct including those relating to:
	  ➢ privacy and confidentiality
	  ➢ use of company property
	  ➢ duty of care
	  ➢ ethical behaviour
	  ➢ non-discriminatory practice
	  ➢ conflict of interest
	  ➢ compliance with reasonable direction
	  ➢ legal terminology in relation to the area of law and the relevant legal process
	  ➢ purpose of a range of certificates, documents and forms in relation to the area of law
	  ➢ Authorised 'signing parties'.

Underpinning Skills	Demonstrate skills of: • literacy skills to read and interpret documents/forms; follow sequenced written instructions; use appropriate legal terminology and sentence structures; display awareness of purpose and context of documents • Organisational skills to select and apply the procedures and strategies needed to perform a range of tasks, e.g. legal forms and enclosures; and to undertake tasks concurrently • proofreading skills • research skills to identify gaps in knowledge and search and assemble relevant information • communication skills to listen and question to clarify information; explain legal terminology to others; modify language to meet audience requirements; and consult

	where necessary with team members and clients • numeracy skills to use a combination of oral and written mathematical and general language for record keeping purposes • Technology skills to use a range of software applications, electronic mail and internet.
Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Business Governance Service Level III	
Unit Title	**Comply with Legislation in the Public Sector**
Unit Code	**TRD BGS3 04 0714**
Unit Descriptor	This unit covers compliance with legislation and related public sector policy guidelines and procedures. It includes identifying and complying with legislative requirements and reporting incidents of non-compliance. In practice, complying with legislation is demonstrated in the context of other generalist or specialist work activities such as delivering client services, using financial resources, procuring goods or services

Elements	Performance Criteria
1. Identify legislative requirements	1.1 Information that covers the range of **legislation and guidelines** relating to the workplace are accessed and made current and comprehensive.
	1.2 Key requirements of relevant pieces of legislation are identified and confirmed with senior staff.
	1.3 Requirements of legislation are clarified to confirm understanding and ensure consistency of interpretation and application.
	1.4 Clarification is obtained of the way various pieces of legislation are integrated to provide a legislative framework for public sector work.
	1.5 Advice is obtained when apparently **conflicting legislative directives** are found.
2. Comply with legislative requirements	2.1 Work practices are carried out in accordance with the requirements of legislation relating to the work environment.
	2.2 Own conduct is reviewed and feedback from others is used to confirm continuing compliance with legislative requirements.
3. Report incidents of non-compliance	3.1 Possible breaches of legislation are raised promptly with an authorised person/body in accordance with organisational procedures.
	3.2 **Inadequacies in workplace procedures** which may contribute to non-compliance are raised in accordance with organisational procedures.

Variable	Range
Legislation and	May relate to:

guidelines	• public sector standards:
	➤ codes of conduct/ethics
	➤ guarantee of service
	➤ legislated standards
	➤ technical/industrial standards
	➤ professional standards
	➤ industry competency standards
	➤ anti-corruption legislation
	➤ whistleblowers' protection
	➤ public sector employment:
	➤ employee relations
	➤ chief executive officer's instructions
	➤ Commissioner's instructions
	➤ public sector notices
	• workplace environment:
	➤ equal employment opportunity
	➤ affirmative action
	➤ workplace diversity
	➤ anti-discrimination
	➤ workplace harassment
	➤ occupational health and safety
	➤ duty of care
	➤ security, storage, handling and classification of documents
	• financial management and accountability:
	➤ Treasurer's instructions
	➤ contractual obligations
	➤ transparency:
	➤ freedom of information
	➤ professional reporting
	➤ accountability
	➤ fair trading
	• business and community:
	➤ privacy
	➤ trade practices
	➤ competition
	➤ road transport legislation
	• information and records management standards and legislation
	• the organisation's enabling legislation, regulations
	• aspects of common law, criminal law, contract law, employment law and administrative law, including judges' rules
	• international legislation/codes of behaviour
Conflicting legislative directives	May include:
	• apparent contradiction between statutes
	• apparent conflict between statutes and policy requirements
Inadequacies in workplace	may include:
	• insufficient financial/other controls

procedures	• insecure Internet/fax access • non-auditable records processes • ambiguous guidelines • no guidelines • unnecessary complexity • use of non-current legislation

Evidence Guide	
Critical Aspects of Competence	Must demonstrate knowledge and skills competence to: • the knowledge requirements of this unit • the skill requirements of this unit • compliance with legislation in a range of (3 or more) contexts (or occasions, over time)
Underpinning Knowledge and Attitudes	Demonstrate knowledge of: • the range of legislation relating to the public sector (including occupational health and safety and environment) and the key requirements of each • public sector codes of ethics/conduct • equal employment opportunity, equity and diversity principles • organisational processes/procedures for responding to legislative issues
Underpinning Skills	Demonstrate skills of: • undertaking research and evaluation • undertaking self-assessment • reading complex and formal documents such as legislation and related materials to apply them to work practices and to identify inappropriate conduct • communicating with others involving exchanges of complex oral and written information • using technology to access legislative requirements • responding to diversity, including gender and disability • applying environmental and occupational health and safety procedures
Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Business Governance Service Level III	
Unit Title	**Work Effectively with Diversity**
Unit Code	**TRD BGS3 05 0714**
Unit Descriptor	This unit describes the performance outcomes, skills and knowledge required to recognise and interact productively with diversity in the workplace. It covers sensitive responses to, and interactions with, all manner of diversity that might be encountered during the course of work. This unit applies to individuals who work in a variety of contexts, where they will be expected to interact with a diverse client and/or co worker population.

Elements	Performance Criteria
1. Recognise individual differences and respond appropriately	1.1 **Individual differences** in **colleagues**, clients and customers are recognized and respected.
	1.2 Differences are sensitively responded.
	1.3 Behaviour is ensured to be consistent with **legislative requirements** and **enterprise guidelines**.
	1.4 Diversity is accommodated using appropriate verbal and non-verbal communication.
2. Work effectively with individual differences	2.1 Knowledge, skills and experience of others are recognized and documented in relation to team objectives.
	2.2 Colleagues are encouraged to utilise and share their specific qualities, skills or backgrounds with other team members and clients in order to enhance work outcomes.
	2.3 Relations to diversity valued by the business are ensured with customers and clients.

Variable	Range
Individual differences	May include: • ability • age • belief systems/values • culture • expertise/experience/working styles • gender • interests • wants • believes and attitudes • interpersonal style • language • mental ability

	• past experiences • physical characteristics • politics • race • religion • sexual orientation • Thinking and learning styles.
Colleagues	May include: • internal customers • junior staff • managers and supervisors • personnel's • peers • Stakeholders.
Legislative requirements	May include: • disability discrimination legislation • human rights and equal opportunity legislation • Racial and sex discrimination legislation.
Enterprise guidelines	May include: • codes of conduct or ethics • diversity policies • Human resources policies and procedures.

Evidence Guide	
Critical Aspects of Competence	Must demonstrate knowledge and skills competence to: • adjusting language and behaviour as required by interactions with diversity • awareness of diversity issues • Knowledge of relevant legislation.

Underpinning Knowledge and Attitudes	Demonstrate knowledge of:
	• key provisions of relevant legislation from all forms of government that may affect aspects of business operations, such as:
	   ➢ anti- discrimination legislation
	   ➢ ethical principles
	   ➢ codes of practice
	   ➢ privacy laws
	   ➢ occupational health and safety
	• major groups in the community and work environment, as defined by cultural, religious and other traditions and practices
	• reasonable adjustments that facilitate participation by people with a disability
	• Value of diversity to the economy and society in terms of workforce development, Ethiopia's place in the global economy, innovation and social justice.

Underpinning Skills	Demonstrate skills of:
	• culturally appropriate communication skills to relate to people from diverse backgrounds and people with diverse abilities
	• Problem solving and initiative skills to recognise and address own responses to difference.
Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through:
	• Interview / Written Test
	• Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Business Governance Service Level III	
Unit Title	**Work Effectively in Customer Contact**
Unit Code	**TRD BGS3 06 0714**
Unit Descriptor	This unit describes the performance outcomes, skills and knowledge required to conduct customer contact operations. It requires an understanding of organisational requirements, expectations, policies and procedures. This unit applies to activity in a customer contact environment. This work is undertaken with some supervision and guidance.

Elements	**Performance Criteria**
1. Identify requirements of the customer contact role	1.1 **Specific customer contact operations** related to the industry-wide context are identified.
	1.2 The role of customer contact is identified in relation to the organisation.
	1.3 Personal customer contact role and operations are identified.
	1.4 Personal operations are related to organisation's customer contact objectives.
	1.5 The major components of the **customer contact infrastructure** are identified.
	1.6 Personal operations are related to customer contact infrastructure.
2. Manage personal performance	2.1 Available resources and **systems** are used and supported effectively.
	2.2 **Key Performance Indicators (KPIs)** are identified and **organisational processes** and reporting protocols, policies and procedures are complied.
	2.3 **Organisational**, **regulatory and legislative requirements** are complied.
	2.4 Personal **performance requirements** and expectations are identified and strategies adopted.
	2.5 Performance management and development processes are identified and made participatory.
3. Maintain a professional approach to employment	3.1 Ethical approach and role are displayed to employment
	3.2 Realistic short- and long-term career objectives are identified.
	3.3 Personal capabilities are related to current role and career

	objectives.
	3.4 Strategies are identified for projecting a **professional image** in current role.
	3.5 The promotion of the organisation and its staff is contributed to customers.
4. Participate in a workplace team	4.1 Team member roles and team structure are identified and interacted cooperatively with team members.
	4.2 The formation and achievement of team objectives are recognized acknowledged.
	4.3 Conflict within team is recognised and positively responded.
	4.4 Feedback is provided to enhance team performance.

Variable	Range
Specific customer contact operations	May include: • customer support • data collection • information services • marketing • sales • service provision • Combinations of the above.
Customer contact infrastructure	May include: • automatic call distribution system • contact management systems • information technology networks and software systems • interactive voice recognition systems • internet and intranet services • other centre-specific systems • service level and call data reporting systems • security systems • Telephony equipment.
Systems	May include: • Automated Call Distribution (ACD) • Customer Relationship Management (CRM) • complaint management database • information database • knowledge management applications • schedules • Voice over IP applications.
Key Performance Indicators (KPIs)	May include: • those on customer satisfaction • those on customer effort • monitoring time taken to answer calls • operating within reporting protocols

	• score tools, such as net promoter • Understanding metrics.
Organisational processes	May include: • attending to forecasted calls • Working in a team.
Organisational, regulatory and legislative requirements	May include: • code of conduct • Do Not Call Register • industry-specific regulatory codes and guidelines • OHS • quality management and assurance • Privacy Act • Trade Practices Act/Competition and Consumer Act.
Performance requirements	May include: • adherence to schedule • call rates • conversion rates • customer satisfaction • data entry quality requirements • first contact resolution • quality targets • Sales targets.
Professional image	May include: • appearance and dress standards • commitment to customer service • commitment to team and centre goals • manner of communications • Positive attitude.

Evidence Guide	
Critical aspects of Competence	Must demonstrate knowledge and skills competence to: • demonstrate professional performance, compliance and adherence to KPIs in contact centre role • demonstrate effective teamwork • Demonstrate knowledge of industry-specific regulatory and legislative requirements and how they apply to work performance.

Underpinning Knowledge and Attitudes	Demonstrate knowledge of:
	• customer base, company products and services
	• discipline required in a customer contact environment, including:
	  ➢ adherence to schedule and rostering requirements
	  ➢ performance management
	• industry-specific regulatory and legislative requirements in relation to customer service
	• Occupational Health and Safety (OHS) policies and guidelines

	• operational systems used within scope of role • organisational mission, business goals and standards • organisational policies, procedures and guidelines in relation to customer service requirements • scope of customer contact operations • Specific work role and key relationships.

Underpinning Skills	Demonstrate skills of:
	• communication skills to articulate effectively in the work environment
	• goal setting and planning skills to achieve performance targets
	• interpersonal skills to establish rapport and build relationships with clients, team members and stakeholders
	• planning and organising skills to manage own tasks within required timeframes
	• problem solving skills to show independence and initiative in identifying and effectively solving conflict and problems
	• self management skills to:
	   ➢ comply with policies and procedures
	   ➢ proactively strive and self-evaluate for high standards of performance and behaviour
	   ➢ seek learning and development opportunities
	• Teamwork skills to contribute positively to the team.

Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Business Governance Service Level III	
Unit Title	**Organise Schedules**
Unit Code	**TRD BGS3 07 0714**
Unit Descriptor	This unit describes the performance outcomes, skills and knowledge required to manage appointments and diaries for personnel within an organisation, using manual and electronic diaries, schedules and other appointment systems. This unit applies to individuals employed in a range of work environments who provide administrative support to teams and individuals in the management of diaries, schedules and other appointment mechanisms.

Elements	Performance Criteria
1. Establish schedule requirements	1.1 **Organisational requirements** and protocols for diaries and staff **planning tools** are identified. 1.2 Organisational procedures are identified for different types of appointments. 1.3 Personal requirements for **diary and schedule items** are determined for individual personnel. 1.4 Appointment priorities are established and clarified in discussion with individual personnel.
2. Manage schedules	2.1 **Recurring appointments**, deadlines, and schedule are identified in accordance with individual and organisational requirements. 2.2 Availability of attendees is established, and new appointments are scheduled in accordance with required time lines and diary commitments. 2.3 **Alternative arrangements** are negotiated and confirmed when established appointments changed. 2.4 **Appointments** are recorded and schedules managed in accordance with **organisational policy and procedures**.

Variable	Range
Organisational requirements	May include: • availability of information • electronic linked diaries and schedules • linking personal and executive diaries • priority clients and personnel • protocols in contacting other personnel within and outside organisation • recording systems

Planning tools	May include:
	• appointment book
	• appointment view and planner view in electronic scheduling systems
	• calendar
	• desk diary
	• electronic calendar or diary
	• in/out boards and whiteboards
	• manual planners
	• planning wall chart
Diary and schedule items	May include:
	• conferences
	• deadlines
	• leave (for both immediate person and others whose absence affects the person)
	• meetings
	• recurring appointments
	• teleconferences
	• travel
Recurring appointments	May include:
	• board meetings
	• committee meetings
	• staff meetings
Alternative arrangements	May include:
	• cancelling pre-arranged appointments
	• inserting additional appointments after a schedule has been prepared
	• re-scheduling existing appointments
Appointments	May be recorded in:
	• calendar
	• diary
	• electronic system
	• filing system
	• paper system
Organisational policy and procedures	May include:
	• adequate time between appointments
	• leave
	• limit on total appointments in any one day
	• lunch breaks
	• OHS issues
	• stress minimisation
	• sufficient time to complete projects and to meet deadlines
	• time off in lieu

Evidence Guide	
Critical aspects of Competence	Must demonstrate knowledge and skills competence to:
	• maintaining schedules which meet individual and

	organisational needs
	• Prioritising and negotiating competing demands.
Underpinning Knowledge and Attitudes	Demonstrate knowledge of:
	• key provisions of relevant legislation from all forms of government, standards and codes that may affect aspects of business operations, such as:
	➢ anti-discrimination legislation
	➢ ethical principles
	➢ codes of practice
	➢ privacy laws
	➢ Occupational Health and Safety (OHS)
	• relationship between satisfactorily organising another person's schedule and achieving team goals
	• Responsibility that is involved in making arrangements for others.
Underpinning Skills	Demonstrate skills of:
	• communication skills to discuss and confirm requirements and priorities of others and to question others to clarify information
	• literacy skills to read a range of procedural texts and to write simple instructions
	• negotiation skills to schedule appointments where there are competing demands
	• numeracy skills to estimate time, plan accurately and keep records
	• problem-solving skills to negotiate task distribution and timing for appointments with other members of the group
	• Time management skills to allow realistic time lines to schedule appointments.
Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through:
	• Interview / Written Test
	• Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Business Governance Service Level III	
Unit Title	**Contribute to Conflict Management**
Unit Code	**TRD BGS3 08 0714**
Unit Descriptor	This unit covers the requirement to contribute to conflict management in the workplace between self and others, such as staff or clients. It includes recognising the presence of conflict, dealing with emotions, overcoming barriers to communication, gathering the facts, agreeing on and implementing action. It does not include managing conflict between two other parties, formal negotiation, counselling or conducting mediation. In practice, contributing to conflict management may overlap with other generalist or specialist public sector work activities such as acting ethically, complying with legislation, working effectively, working with diversity, using workplace communication strategies, etc.

Elements	Performance Criteria
1. Recognise the presence of conflict	1.1 **Conflict situations** and/or the potential for conflict are/is recognised and confirmed. 1.2 The signs, stages and **causes of conflict** are identified. 1.3 **Conflict solutions** are avoided where appropriate, and assistance sought when necessary. 1.4 Records of actual/potential conflict are completed in accordance with organisational policy and procedures.
2. Deal with emotions	2.1 Own behaviour and feelings about the situation are reflected. 2.2 Own emotions are recognised and managed. 2.3 The other party's emotions are acknowledged and dealt in a manner that prevents escalation.
3. Overcome barriers to communication	3.1 Barriers to effective communication are identified. 3.2 Factors and issues relevant to the situation are identified, clarified and confirmed using appropriate **communication techniques**. 3.3 Third party support is sought if necessary in accordance with **legislation**, **policy and procedures**. 3.4 **Social and cultural differences** are taken into account in the communication style and approach.
4. Gather the facts	4.1 The other party is encouraged to relate the facts as they see them. 4.2 Information, as well as emotions or behaviour is assessed

	4.3 Facts from own point of view are shared with the other party objectively.
	4.4 Additional information is gathered and included where possible to ensure all perspectives are considered.
5. Agree on and implement action	5.1 **Strategies** are determined to solve the problem/issue in consultation with the other party.
	5.2 Where necessary, approval on agreed strategies is obtained in accordance with organisational policy and procedures, and strategies implemented.
	5.3 Progress is monitored with other party to confirm the effectiveness of the agreed action.
	5.4 Records and reports are completed in accordance with legislation, organisational policy and procedures.
	5.5 Where agreement cannot be reached on strategies for resolution, the problem/issue is referred in accordance with organisational policy and procedures.

Variable	Range
Conflict situations	May relate to: • conflicts with work colleagues • refusals to follow directions/guidance • customer complaints/dissatisfaction • disagreements with members of the public • bystander behaviour • drug or alcohol affected persons • persons suffering emotional distress
Causes of conflict	May include: • personality clashes • poor communication • competing needs • cross-cultural issues • abuse of power • workplace bullying • customer dissatisfaction • gender issues • inter-generational issues
Conflict solutions	May include: • unsafe situations • escalating situations • situations presenting physical danger • situations beyond one's level of expertise or comfort zone
Communication techniques	May include: • verbal and non-verbal language • questioning and listening

	• cooperative language • control of emotions, voice and body language • constructive feedback • reflection • summarising • re-phrasing • paraphrasing • presenting options • using language and concepts suited to the occasion and the other party • showing a willingness to compromise
Legislation, policies and procedures	May include: • legislation, regulations, organisational policies, procedures and guidelines relating to the conflict management in the public sector, including equal employment opportunity, diversity, anti-discrimination, harassment, occupational health and safety, privacy, confidentiality, freedom of information • public sector standards • codes of practice • codes of ethics • security standards
Social and cultural differences	May include: • beliefs and values • social conventions • family relationships • codes of conduct • cultural observances • verbal and non-verbal language
Strategies	May include: • a partnership approach • working cooperatively on solving the problem • third party assistance • mediation

Evidence Guide	
Critical aspects of Competence	Must demonstrate knowledge and skills competence to: • the knowledge requirements of this unit • the skill requirements of this unit • contribution to conflict management in a range of (3 or more) contexts (or occasions, over time)
Underpinning Knowledge and Attitudes	Demonstrate knowledge of: • legislation, regulations, organisational policies, procedures and guidelines relating to managing conflict in the public sector workplace, including equal employment opportunity, diversity, anti-discrimination, harassment, occupational

	health and safety, privacy, confidentiality, freedom of information
	• types of conflict in the workplace and typical causes
	• conflict theory including signs, stages, levels, factors involved, results
	• group processes and roles people play
	• organisational structures and workplace culture
	• different social and cultural practices
	• conflict resolution skills and strategies
	• personal power and positional power
	• grievance procedures in the public sector
	• equal employment opportunity, equity and diversity principles
	• public sector legislation such as occupational health and safety and environment in the context of conflict resolution
Underpinning Skills	Demonstrate skills of:
	• using a range of communication techniques with a diverse workforce and client base including assertiveness, listening, non-verbal communication, language style, problem solving
	• using problem solving to deal with unexpected issues or attitudes
	• dealing with difficult situations and people
	• responding to diversity, including gender and disability
	• applying procedures relating to occupational health and safety and environment in the context of conflict resolution
Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through:
	• Interview / Written Test
	• Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Business Governance Service Level III	
Unit Title	**Design and Produce Text Documents**
Unit Code	**TRD BGS3 09 0714**
Unit Descriptor	This unit describes the performance outcomes, skills and knowledge required to design and develops predominantly text based documents using advanced features of word processing software. This unit applies to individuals who possess fundamental skills in computer operations and keyboarding, and basic skills in the operation of word processing software. They may work as individuals who provide administrative support within an enterprise, or may be technical/knowledge experts responsible for production of their own word processed documents.

Elements	Performance Criteria
1. Prepare to produce word processed documents	1.1 Safe work practices are used to address **ergonomic**, **work organisation**, **energy and resource conservation requirements**.
	1.2 **Document** purpose, audience and presentation requirements are identified and clarified with relevant personnel as required.
	1.3 **Organisational** and task **requirements** for text-based business documents are identified to ensure consistency of style and image.
2. Design word processed documents	2.1 Document **structure and layout are designed** to suit purpose, audience and information requirements of the task.
	2.2 Document is designed to enhance readability and appearance to meet organisational and task requirements for style and layout.
	2.3 Style sheets and **automatic functions** are used to ensure **consistency of design and layout**.
3. Add tables and other data	3.1 A standard table is inserted into a document by changing cells to meet information requirements.
	3.2 Columns and rows are inserted and deleted as necessary.
	3.3 Images and other **data** are inserted to meet required specifications.
4. Produce text documents	4.1 **Advanced software functions** are used to enable efficient production of documents.
	4.2 Text and other data are entered or imported and edited to meet required specifications.

	4.3 Documents are previewed, adjusted and **printed** in accordance with organisational and task requirements.
	4.4 Text documents are **named and stored** in accordance with organisational requirements and the application is exited without information loss/damage.
	4.5 Text documents are prepared within **designated time lines** and organisational requirements.
	4.6 Manuals, user documentation and online help are used to overcome problems with document design and production.

Variable	Range
Ergonomic requirements	May Include: • avoiding radiation from computer screens • chair height, seat and back adjustment • document holder • footrest • keyboard and mouse position • lighting • noise minimisation • posture • screen position • workstation height and layout
Work organisation requirements	May Include: • exercise breaks • mix of repetitive and other activities • rest periods
Energy and resource conservation requirements	May Include: • double-sided paper use • recycling used and shredded paper • re-using paper for rough drafts (observing confidentiality requirements) • using power-save options for equipment
Documents	May Include: • brochures • calendars • faxes • flyers • forms • mail merge documents, including labels • memos • multi-page letters • promotional material • reports • schedules • tables

Organisational requirements	May Include: • company colour scheme • company logo • consistent corporate image • content restrictions • established guidelines and procedures for document production • house styles • observing copyright legislation • organisation name, time, date, document title, filename, etc. in header/footer • templates
Structure and layout	May Include: • boxes • colour • columns • drawing • graphics • headings • letter and memo conventions • page layout • photographs • typeface • white space
Design	May Include: • balance • diversity • relative positioning of graphics and headings • simplicity • text flow • typography
Automatic functions	May Include: • auto correct • auto date • auto format • auto text • default settings • headers and footers • page numbering • styles • table headings
Consistency of design and layout	May Include: • borders • bullet/number lists • captions • consistency with other business documents • footnotes/endnotes

	• indentations • page numbers • spacing • typeface styles and point size
Data	May Include: • clip art • data from other software applications • digital photographs • files • graphics • quotes • references • scanned photographs and logos • tables, graphs and charts
Advanced software functions	May Include: • alternate headers and footers • drawing tools • graphics tools • importing data/objects/pictures • mail merge • newspaper columns • sections • sort • styles • tables • templates
Printing	May Include: • print merge • print to file • with comments • with drawing objects • with field codes • with hidden text
Naming and storing	May Include: • authorised access • file names according to organisational procedure e.g. numbers rather than names • file names which are easily identifiable in relation to the content • file/directory names which identify the operator, author, section, date • filing locations • organisational policy for backing up files, storage in folders/sub-folders • organisational policy for filing hard copies of documents • security/password protection • storage on hard/floppy disk drives, CD-ROM, tape back-up

Designated time lines	May Include: • organisational time line e.g. deadline requirements • time line agreed with internal/external client • time line agreed with supervisor/person requiring document

Evidence Guide	
Critical aspects of Competence	Must demonstrate knowledge and skills competence to: • applying document design principles • knowledge of organisation's style guide • Production of a minimum of three text documents using advanced software functions.
Underpinning Knowledge and Attitudes	Demonstrate knowledge of: • formatting styles and their impact on formatting, readability and appearance of documents • organisational requirements for ergonomics, work periods and breaks, and conservation techniques • organisational style guide • Purposes, uses and functions of word processing software.
Underpinning Skills	Demonstrate skills of: • communication skills to clarify requirements of documents • editing and proofreading skills to check own work for accuracy against original • keyboarding skills to enter text and numerical data • literacy skills to read and understand the organisation's procedures, and to use models to produce a range of documents • Problem-solving skills to use processes flexibly and interchangeably.
Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Business Governance Service Level III	
Unit Title	**Organise Workplace Information**
Unit Code	**TRD BGS3 10 0714**
Unit Descriptor	This unit describes the performance outcomes, skills and knowledge required to gather, organise and apply workplace information in the context of an organisation's work processes and knowledge management systems. This unit applies to individuals who are skilled operators and apply a broad range of competencies in various work contexts. They may exercise discretion and judgement using appropriate theoretical knowledge of information management to provide technical advice and support to a team.

Elements	Performance Criteria
1. Collect and assess information	1.1 Product and service **information** are accessed in accordance with **organisational requirements**
	1.2 **Methods of collecting information** are made reliable and efficient.
	1.3 Information is assessed for clarity, accuracy, currency and relevance to intended tasks.
	1.4 **Interpersonal skills** are used to access relevant information from teams and individuals.
2. Organise information	2.1 Information is organized in a **format** suitable for analysis, interpretation and dissemination in accordance with organisational requirements.
	2.2 Appropriate **technology**/**systems** is/are used to maintain information in accordance with organisational requirements
	2.3 Information and materials are collated and communicated to relevant **designated persons**.
	2.4 Difficulties in organising and accessing information are identified and collaboratively solved with individuals and team members.
	2.5 Information is updated and stored in accordance with organisational requirements and systems.
3. Review information needs	3.1 **Feedback** on clarity, accuracy and sufficiency of information is actively sought to ensure relevance of information and system.
	3.2 The contribution of information is reviewed to decision making and appropriate modifications are implemented to

	collection processes.
	3.3 Future information needs are identified and modifications incorporated in to collection processes.
	3.4 Future information needs are documented and modifications incorporated in to reporting processes.

Variable	Range
Information	May include: • computer databases (e.g. library catalogue, customer records) • computer files (e.g. letters, memos and other documents) • correspondence (e.g. faxes, memos, letters, email) • financial figures • forms (e.g. insurance forms, membership forms) • invoices (e.g. from suppliers, to debtors) • personnel records (e.g. personal details, salary rates) • production targets • sales records (e.g. monthly forecasts, targets achieved)
Organisational requirements	May include: • code of conduct/code of ethics • information protocols • legal and organisational policies, guidelines and requirement • management and accountability channels • OHS policies, procedures and programs • procedures for updating records • quality assurance and/or procedures manuals • security and confidentiality requirements
Methods of collecting information	May include: • checking research provided by others • checking written material including referrals and client files • classification tools • individual research • information from other organisations • interviews with colleagues/customers • observation and listening • previous file records • questioning (in person or indirect) • recruitment applications and other forms
Interpersonal skills	May include: • consultation methods, techniques and protocols • networking • seeking feedback from group members to confirm understanding • summarising and paraphrasing • using appropriate body language

Format	May include:
	• adding headers and footers
	• incorporating graphics and pictures
	• inserting symbols
	• using legends
	• using a particular software application
	• using tables and charts
Technology	May include:
	• answering machine
	• computer
	• email
	• fax machine
	• internet/extranet/intranet
	• photocopier
	• shredder
	• telephone
Systems	May include:
	• information management systems
	• knowledge management systems
	• record management systems
Designated persons	May include:
	• clients
	• colleagues
	• committee
	• external agencies
	• line management
	• statutory bodies
	• supervisor
Feedback	May include:
	• audit documentation and reports
	• comments from clients and colleagues
	• customer satisfaction questionnaires
	• quality assurance data
	• returned goods

Evidence Guide	
Critical Aspects of Competence	Must demonstrate knowledge and skills competence to:
	• providing accurate information for defined purposes
	• systematic maintenance and handling of data and documents
	• using business technology to manage information
	• Knowledge of relevant legislation.
Underpinning Knowledge and Attitudes	Demonstrate knowledge of:
	• key provisions of relevant legislation from all forms of government that may affect aspects of business operations, such as:
	➢ anti-discrimination legislation

	> ethical principles
	> codes of practice
	> privacy laws
	> Occupational Health and Safety (OHS)
	• methods for checking validity of information and its sources
	• organisational recordkeeping/filing systems, security procedures and safe recording practices
	• Policies and procedures relating to distribution of workplace information, and legal and ethical obligations.
Underpinning Skills	Demonstrate skills of:
	• analytical skills to classify and report information
	• literacy skills to read and understand a variety of texts; and to write, edit and proofread documents to ensure clarity of meaning, accuracy and consistency of information
	• problem-solving skills to deal with information which is contradictory, ambiguous, inconsistent or inadequate
	• Technology skills to display information in a format suitable to the target audience.
Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through:
	• Interview / Written Test
	• Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Business Governance Service Level III	
Unit Title	**Provide Workplace Information and Resourcing Plans**
Unit Code	**TRD BGS3 11 0714**
Unit Descriptor	This unit describes the performance outcomes, skills and knowledge required to support the information management system. It involves the identification, acquisition, initial analysis and use of appropriate workplace information. Frontline managers, in supporting the processes of identifying, acquiring, analysing and using appropriate information, play a significant part in the organisation's effectiveness. At this level, work will normally be carried out within known routines, methods and procedures, and may also involve a number of complex or non routine activities that require some discretion and judgement.

Elements	Performance Criteria
1. Locate relevant information	1.1 **Information** is identified and located as required by teams.
	1.2 Information is acquired and reviewed according to organisational procedures.
	1.3 **Plans and procedures** are applied to obtain information which is not immediately available/ accessible.
2. Collect and report information	2.1 Information relevant to the needs of teams is collected in an adequate and timely manner.
	2.2 Information is acquired in a format suitable for analysis, interpretation and dissemination.
	2.3 Information is used; and relevant trends and developments are reported to **relevant personnel** within the limits of own role.
3. Use information systems	3.1 **Management information systems** are effectively used to store and retrieve data.
	3.2 Available **technology** is used to manage information effectively.
	3.3 Recommendations are reported to **designated persons and/or groups** for improving information system.
4. Support the preparation of business plan and/or budgets	4.1 The contribution of the work team is effectively utilized when preparing **business plans and/or budgets** to gain support for the outcomes.
	4.2 Information is presented and recorded to support the preparation of business plans and/or budgets in

	accordance with the organisation's guidelines and requirements
	4.3 **Contingency plans** are followed in the event that alternative action is required
5. Support the preparation of resource proposals	5.1 **Colleagues** are consulted with to collect **resource planning data** as required.
	5.2 Estimated resource needs and usage are reported according to organisational requirements as necessary.
	5.3 **Resourcing** is facilitated within limits of own role.

Variable	Range
Information	May include: • archived, filed and historical background data • continuous improvement and quality assurance data • data available internally or externally • data shared and retrieved in various forms such as in writing or verbally, electronically or manually • financial and contractual data • marketing and customer-related data • organisational performance data • planning and organisational documents • Policies and procedures.
Plans and procedures	May include: • action plans, project plans or more formal planning tools in line with organisational procedures and levels of own responsibility • informal documents outlining a series of planned actions or steps • organisational procedures such as Standard Operating Procedures, record keeping procedures • Organisational processes and procedures used to obtain information, with consideration given to meeting legislative requirements, such as privacy, anti-discrimination.
Relevant personnel	May include: • colleagues and specialist resource managers • OHS committees and OHS representatives • supervisors, managers and other staff/employees • Other people with specialist responsibilities.
Management information systems	May be: • The entire infrastructure of an organisation, including personnel, and the components for the collection, processing, storage, transmission, display, dissemination, and disposition of information.
Technology	May include: • computerised systems and software such as databases, project management and word-processing

	• telecommunications devices • Other technology available in the workplace and used to carry out work roles and responsibilities.
Designated persons or groups	May include: • groups designated in workplace policies and procedures • the frontline manager's supervisors or others with management roles and responsibilities concerning information systems • other stakeholders accessing the information system such as customers and service providers • Other work groups or teams whose work will be affected by the system.
Business plans and/or budgets	May refer to: • cash flow projections • long or short term budgets/plans relative to own responsibilities • operational plans • spreadsheet-based financial projections • Targets or Key Performance Indicators (KPIs) for production, productivity, wastage, sales, income and expenditure.
Contingency plans	Will usually be developed by others and may include: • contracting out or outsourcing human resource and other functions or tasks • diversification of outcomes • finding cheaper or lower quality raw materials and consumables • increasing sales or production • recycling and re-use • rental, hire purchase or alternative means of procurement of required materials, equipment and stock • restructuring of organisation to reduce labour costs • risk identification, assessment and management processes • seeking further funding • Strategies for reducing costs, wastage, stock or consumables.
Colleagues	May include: • employees at the same level or more senior managers • OHS representatives • people from a wide variety of social, cultural and ethnic backgrounds and physical and mental abilities • Team members.
Resource planning data	May relate to: • buildings/facilities • equipment/technology • finance • information • people

	• power/energy • targets or Key Performance Indicators (KPIs) for production, productivity, wastage, sales, income and expenditure • Time.
Resourcing	May include: • purchasing or ordering of goods • stock requirements/requisitions • Supply of resources.

Evidence Guide	
Critical Aspects of Competence	Must demonstrate knowledge and skills competence to: • using management information system to collect, store and retrieve data supporting the preparation of business plans and/or budgets • involving the work team in planning and budget preparation • Estimating resource needs and usage according to organisational requirements and allocating or acquiring resources within limits of own role.

Underpinning Knowledge and Attitudes	Demonstrate knowledge of:
	• a general understanding of:
	  ➢ workplace information systems
	  ➢ operational plans and budgets
	  ➢ resource proposals
	• basic financial concepts relating operational plans and budgets
	• methods to gain efficiencies in operational resource management
	• relevant legislation from all levels of government which may affect business operations, especially in regard to occupational health and safety and environmental issues, equal opportunity, industrial relations and anti-discrimination

Underpinning Skills	Demonstrate skills of: • ability to relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities • coaching and mentoring skills to provide support to colleagues • communication and research skills covering information collection, analysis and reporting • functional literacy skills to access and use workplace information • information preparation skills • skills to improve information usage in decision making • technical skills to extract and input information

Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Business Governance Service Level III	
Unit Title	**Prioritising and Planning Activities in a Legal Practice**
Unit Code	**TRD BGS3 12 0714**
Unit Descriptor	This unit describes the performance outcomes, skills and knowledge required to assist others (for example, Partner, Solicitor, Fee Earner, Human Resources Manager, External Client) to organise a legal schedule. This involves arranging appointments and other activities based upon court dates and required legislative timelines. All aspects of legal practice may be subject to a range of legislation, rules, regulations and/or codes of practice relevant to different job roles and jurisdictions.

Elements	Performance Criteria
1. Record file related critical dates and times	1.1 **File related deadlines** are identified. 1.2 File related deadlines are recorded according to a firm's policies and procedures.
2. Make and record appointments on behalf of designated person	2.1 Priorities are established and clarified to **designated person/s** for discussion. 2.2 **Timelines** are agreed and documented/recorded for achievement of priorities. 2.3 **Appointments** are arranged and/or re-arranged to a time or date which is more convenient for parties involved.
3. Assist designated person/s to prepare for critical dates	3.1 **Records** are checked daily for upcoming appointments and commitments. 3.2 Designated person/s is/are reminded of **critical file dates**. 3.3 Information meeting **legislative requirements** is prepared and distributed to the designated person/s prior to critical dates. 3.4 Timelines are monitored regularly in consultation with designated person.
4. Follow up outcomes of meetings or other activities	4.1 Appropriate follow up actions and activities are planned and organized in conjunction with designated person and relevant parties 4.2 **File notes** are updated according to a firm's policies and procedures.

Variable	Range
File related deadlines	May include: • court appearances • document lodgement cut off dates • legislated timelines • settlement dates • Other file related deadlines not included in this listing.
Designated person/s	May include: • external client • lawyer • legal practice manager • partner • Supervisor. • personnel
Timelines	May relate to: • available resources • client needs • court adjournments • failure of other parties/agencies to produce required materials on time • Variations to contracts.
Appointments	May be arranged: • in response to continuing legal education requirements as designated by relevant Law Societies and Institutes • in response to new/existing client enquiry/request • to meet court requirements • to meet legal matter requirements • To meet the need for consulting experts.

Records	May include, but are not limited to:
	• client's details may include:
	  ➢ name
	  ➢ telephone number
	  ➢ e mail
	• type of matter
	• court details may include:
	  ➢ date
	  ➢ location
	  ➢ matter
	  ➢ time
	• dates on which follow-up actions are occur may include:
	• payment of fees
	• progress report to client
	• property settlement
	• Other records not included in this listing.

Critical file dates	May include: • court appearances

	• court mentions
	• lodgement of documents
	• meetings with clients
	• meetings:
	   ➢ external
	   ➢ internal
	• property settlements
	• settlement of accounts
	• Travel arrangements.

Legislative requirements	May relate to: • Relevant State/Territory/Commonwealth legislation - their legal process time and action requirements e.g. required amount of time serving notice, timeline for submission/exchange of documents and/or monies, number and type of meetings required between parties. • Governing legal practice Acts in each State/Territory • The client and a firm (e.g. Consumer Credit Code, Privacy Act, secrecy laws, Codes of Practice, Common Law and Statutory Duties of Care involving financial relationships) • schedule of fees and duties payable • employee-employer agreements and legislation
File notes	May include: • date • discussion notes • file concerned • mode of attendance (e.g. in person/telephone) • people involved • resulting activity, action outcome Time expended on matter. May be stored: • electronically • in date order • on a checklist/form • on a file note spike • on the computer • paper based • With client file.

Evidence Guide	
Critical Aspects of competence	Must demonstrate knowledge and skills competence to: • demonstrating understanding of the responsibility involved in making arrangements for others and the legal consequences of not meeting critical timelines • interacting courteously and efficiently with other parties when making, confirming, and changing appointments • applying organisational skills and firm's procedures to accurately and legibly diarise all relevant details of

	appointments and file deadlines and follow up as required
	• applying standard procedures to solve problems (such as double bookings or non-attendances) promptly and satisfactorily
	• Creating and maintaining up-to-date, legible, accurate and accessible records of all activities and outcomes according to firm's policies and procedures. demonstrating understanding of the responsibility involved in making arrangements for others and the legal consequences of not meeting critical timelines
	• interacting courteously and efficiently with other parties when making, confirming, and changing appointments
	• applying organisational skills and firm's procedures to accurately and legibly diarise all relevant details of appointments and file deadlines and follow up as required
	• applying standard procedures to solve problems (such as double bookings or non-attendances) promptly and satisfactorily
	• Creating and maintaining up-to-date, legible, accurate and accessible records of all activities and outcomes according to firm's policies and procedures.

Underpinning Knowledge and Attitudes	Demonstrate knowledge of:
	
	 • scope of legal practitioner/support role and own responsibilities and obligations to provide legal advice, complete or sign off on legal work and/or appear in court as described by relevant jurisdiction(s)
	 • firm's policies and procedures
	 • firm's administrative systems and files
	 • accepted codes of conduct including those relating to:
	     ➢ privacy and confidentiality
	     ➢ use of company property
	     ➢ duty of care
	     ➢ ethical behaviour
	     ➢ non-discriminatory practice
	     ➢ conflict of interest
	     ➢ compliance with reasonable direction

Underpinning Skills	Demonstrate skills of: • communication skills to listen to clear sequenced instructions and note individual preferences regarding arrangements for group activity; apply questioning to clarify information; and discusses and confirm requirements and priorities of others • teamwork skills to clarify defined purposes and objectives to be achieved by working with others

	• literacy skills to follows a firm's legal procedures; and sequence writing with attention to organising principles of date, time, importance or file code according to organisation's requirements
	• numeracy skills to order and compare sets of dates using simple everyday data; adheres to deadlines; and keep accurate records
	• organisational skills to plan and prioritise own and other's activities and time
	• Problem solving skills to negotiate task distribution with other members of the group; and select most efficient and appropriate times for appointments etc.
	• Technology skills to use a range of software applications.
Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Business Governance Service Level III	
Unit Title	**Monitor Implementation of Work Plan/Activities**
Unit Code	**TRD BGS3 13 0714**
Unit Descriptor	This unit covers competence required to oversee and monitor the quality of work operations within an enterprise. This unit may be carried out by team leaders or supervisors.

Elements	Performance Criteria
1. Monitor and improve workplace operations	1.1 Efficiency and service levels are monitored on an ongoing basis.
	1.2 Operations in the workplace support overall enterprise goals and quality assurance initiatives.
	1.3 Quality **problems** and issues are promptly identified and adjustments are made accordingly.
	1.4 Procedures and systems are changed in consultation with colleagues to improve efficiency and effectiveness.
	1.5 Colleagues are consulted about ways to improve efficiency and service levels.
2. Plan and organise workflow	2.1 Current workload of colleagues is accurately assessed.
	2.2 Work is scheduled in a manner which enhances efficiency and customer service quality.
	2.3 Work is delegated to appropriate people in accordance with principles of delegation.
	2.4 Workflow is assessed against agreed objectives and timelines and colleagues are assisted in prioritisation of workload.
	2.5 Input is provided to appropriate management regarding staffing needs.
3. Maintain workplace records	3.1 **Workplace records** are accurately completed and submitted within required timeframes.
	3.2 Where appropriate completion of records is delegated and monitored prior to submission.
4. Solve problems and make decisions	4.1 Workplace problems are promptly identified and considered from an operational and customer service perspective.
	4.2 Short term action is initiated to resolve the immediate problem where appropriate.
	4.3 Problems are analysed for any long term impact and potential solutions are assessed and actioned in consultation with relevant colleagues.
	4.4 Where problem is raised by a team member, they are

| | encouraged to participate in solving the problem. |
| | 4.5 Follow up action is taken to monitor the effectiveness of solutions in the workplace. |

Variables	Range
Problems	May include but not limited to: • difficult customer service situations • equipment breakdown/technical failure • delays and time difficulties • competence
Workplace records	May include but is not limited to: • staff records and regular performance reports

Evidence Guide	
Critical Aspects of Competence	Demonstrates skills and knowledge in: • ability to effectively monitor and respond to a range of common operational and service issues in the workplace • understanding of the role of staff involved in workplace monitoring • knowledge of quality assurance, principles of workflow planning, delegation and problem solving
Underpinning Knowledge and Attitudes	Demonstrate knowledge of: • roles and responsibilities in monitoring work operations • overview of leadership and management responsibilities • principles of work planning and principles of delegation • typical work organization methods appropriate to the sector • quality assurance principles and time management • problem solving and decision making processes • industrial and/or legislative issues which affect short term work organization as appropriate to industry sector
Underpinning Skills	Demonstrate skills to: • monitor and improve workplace operations • plan and organize workflow • maintain workplace records
Resource Implications	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Business Governance Service Level III	
Unit Title	**Apply Quality Control**
Unit Code	**TRD BGS3 14 0714**
Unit Descriptor	This unit covers the knowledge, attitudes and skills required in applying quality control in the workplace.

Elements	Performance Criteria
1. Implement quality standards	1.1 Agreed quality standard and procedures are acquired and confirmed. 1.2 Standard procedures are introduced to organizational staff/personnel. 1.3 Quality standard and procedures documents are provided to employees in accordance with the organization policy. 1.4 Standard procedures are revised / updated when necessary.
2. Assess quality of service delivered	2.1 Services delivered quality is **checked** against organization **quality standards** and specifications. 2.2 Service delivered are evaluated using the appropriate evaluation **quality parameters** and in accordance with organization standards. 2.3 Causes of any identified faults are identified and corrective actions are taken in accordance with organization policies and procedures.
3. Record information	3.1 Basic information on the quality performance is recorded in accordance with organization procedures. 3.2 Records of work quality are maintained according to the requirements of the organization.
4. Study causes of quality deviations	4.1 Causes of deviations from final outputs or services are investigated and reported in accordance with organization procedures. 4.2 Suitable preventive action is recommended based on organization quality standards and identified causes of deviation from specified quality standards of final service or output.
5. Complete documentation	5.1 Information on quality and other indicators of service performance is recorded. 5.2 All service processes and outcomes are recorded.

Variable	Range
Quality check	May include but not limited to: • Check against design / specifications • Visual inspection and Physical inspection
Quality standards	May include but not limited to: • Materials • Components • Process • Procedures
Quality parameters	May include but not limited to: • Standard Design / Specifications • Material Specification

Evidence Guide	
Critical Aspects of Competence	Demonstrates skills and knowledge to: • Check completed work continuously against organization standard • Identify and isolate faulty or poor service • Check service delivered against organization standards • Identify and apply corrective actions on the causes of identified faults or error • Record basic information regarding quality performance • Investigate causes of deviations of services against standard • Recommend suitable preventive actions
Underpinning Knowledge	Demonstrates knowledge of: • Relevant quality standards, policies and procedures • Characteristics of services • Safety environment aspects of service processes • Evaluation techniques and quality checking procedures • Workplace procedures and reporting procedures
Underpinning Skills	Demonstrates skills to: • interpret work instructions, specifications and standards appropriate to the required work or service • carry out relevant performance evaluation • maintain accurate work records • meet work specifications and requirements • communicate effectively within defined workplace procedures
Resource Implications	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Business Governance Service Level III	
Unit Title	**Lead Workplace Communication**
Unit Code	**TRD BGS3 15 0714**
Unit Descriptor	This unit covers the knowledge, attitudes and skills needed to lead in the dissemination and discussion of information and issues in the workplace.

Elements	Performance Criteria
1. Communicate information about workplace processes	1.1 Appropriate **communication method** is selected 1.2 Multiple operations involving several topics areas are communicated accordingly 1.3 Questions are used to gain extra information 1.4 Correct sources of information are identified 1.5 Information is selected and organized correctly 1.6 Verbal and written reporting is undertaken when required 1.7 Communication skills are maintained in all situations
2. Lead workplace discussion	2.1 Response to workplace issues are sought 2.2 Response to workplace issues are provided immediately 2.3 Constructive contributions are made to workplace discussions on such issues as production, quality and safety 2.4 Goals/objectives and action plan undertaken in the workplace are communicated.
3. Identify and communicate issues arising in the workplace	3.1 Issues and problems are identified as they arise 3.2 Information regarding problems and issues are organized coherently to ensure clear and effective communication 3.3 Dialogue is initiated with appropriate staff/personnel 3.4 Communication problems and issues are raised as they arise

Variable	Range
Methods of communication	May include but not limited to: • Non-verbal gestures • Verbal • Face to face • Two-way radio • Speaking to groups • Using telephone

	• Written
	• Using Internet
	• Cell phone

Evidence Guide

Critical Aspects of Competence	Demonstrates skills and knowledge to: • Deal with a range of communication/information at one time • Make constructive contributions in workplace issues • Seek workplace issues effectively • Respond to workplace issues promptly • Present information clearly and effectively written form • Use appropriate sources of information • Ask appropriate questions • Provide accurate information
Underpinning Knowledge and Attitudes	Demonstrates knowledge of: • Organization requirements for written and electronic communication methods • Effective verbal communication methods
Underpinning Skills	Demonstrates skills to: • Organize information • Understand and convey intended meaning • Participate in variety of workplace discussions • Comply with organization requirements for the use of written and electronic communication methods
Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Business Governance Service Level III	
Unit Title	**Lead Small Teams**
Unit Code	**TRD BGS3 16 0714**
Unit Descriptor	This unit covers the skills, knowledge and attitudes required to determine individual and team development needs and facilitate the development of the work group.

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

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

Variable	Range
Learning and development needs	May include but not limited to: • Coaching, mentoring and/or supervision • Formal/informal learning program • Internal/external training provision • Work experience/exchange/opportunities • Personal study • Career planning/development • Performance appraisals • Workplace skills assessment • Recognition of prior learning
Organizational requirements	May include but not limited to: • Quality assurance and/or procedures manuals • Goals, objectives, plans, systems and processes • Legal and organizational policy/guidelines and requirements • Safety policies, procedures and programs • Confidentiality and security requirements • Business and performance plans • Ethical standards • Quality and continuous improvement processes and standards
Feedback on performance	May include but not limited to: • Formal/informal performance appraisals • Obtaining feedback from supervisors and colleagues • Obtaining feedback from clients • Personal and reflective behaviour strategies • Routine and organizational methods for monitoring service delivery

Learning delivery methods	May include but not limited to: • On the job coaching or mentoring • Problem solving • Presentation/demonstration • Formal course participation • Work experience and Involvement in professional networks • Conference/seminar attendance and induction

Evidence Guide	
Critical Aspects of Competence	Demonstrates skills and knowledge to: • Identify and implement learning opportunities for others • give and receive feedback constructively • facilitate participation of individuals in the work of the team • negotiate learning plans to improve the effectiveness of learning • prepare learning plans to match skill needs • access and designate learning opportunities
Underpinning Knowledge and Attitude	Demonstrates knowledge of: • coaching and mentoring principles • understanding how to work effectively with team members who have diverse work styles, aspirations, cultures and perspective • understanding how to facilitate team development and improvement • understanding methods and techniques for eliciting and interpreting feedback • understanding methods for identifying and prioritizing personal development opportunities and options • knowledge of career paths and competence standards in the industry
Underpinning Skills	Demonstrates skills to: • read and understand a variety of texts, prepare general information and documents according to target audience; spell with accuracy; use grammar and punctuation effective relationships and conflict management • receive feedback and report, maintain effective relationships and conflict management • organize required resources and equipment to meet learning needs • provide support to colleagues • organize information; assess information for relevance and accuracy; identify and elaborate on learning outcomes • facilitation skills to conduct small group training sessions • relate to people from a range of social, cultural, physical and mental backgrounds
Resource Implications	Access to relevant workplace or appropriately simulated environment where assessment can take place
Methods of Assessment	Competence may be assessed through: • Interview / Written exam • Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the workplace or in a simulated workplace setting

Occupational Standard: Business Governance Service Level III	
Unit Title	**Improve Business Practice**
Unit Code	**TRD BGS3 17 0714**
Unit Descriptor	This unit covers the knowledge, skills and attitudes required in promoting, improving and growing business operations.

Elements	Performance Criteria
1. Diagnose the business	1.1 **Sources data** is identified; **data required** for diagnosis is determined and acquired based on the business diagnosis toolkit.
	1.2 Value chain analysis is conducted.
	1.3 **SWOT analysis** of the data is undertaken.
	1.4 **Competitive advantage** of the business is determined from the data.
2. Benchmark the business	2.1 Product or service to be benchmarked is identified and selected.
	2.2 Sources of relevant benchmarking data are identified.
	2.3 **Key indicators** are selected for benchmarking in consultation with key stakeholders.
	2.4 Key indicators of own practice are compared with benchmark indicators.
	2.5 Areas of improvements are identified.
3. Develop plans to improve business performance	3.1 A consolidated list of required improvements is developed.
	3.2 Cost-benefit analysis is determined for required improvements.
	3.3 Work flow changes resulting from proposed improvements are determined.
	3.4 Proposed improvements are ranked according to agreed criteria.
	3.5 An action plan is developed and agreed to implement the top ranked improvements.
	3.6 **Organizational structures** are checked to ensure they are suitable.
4. Develop marketing plans	4.1 The practice vision statement is reviewed.
	4.2 Practice **objectives** are developed/ reviewed.
	4.3 Market research is conducted and result is obtained.
	4.4 Target markets are identified/ refined.

	4.5 **Market position** is developed/ reviewed.
	4.6 **Practice brand** is developed.
	4.7 **Benefits** of products or services are identified.
	4.8 **Promotion tools** are selected and developed.
5. Develop business growth plans	5.1 Plans are developed to increase profitability
	5.2 Proposed plans are **ranked** according to agreed criteria.
	5.3 An action plan is developed and agreed to implement the top ranked plans.
	5.4 Business work practices are reviewed to ensure they support growth plans.
6. Implement and monitor plans	6.1 Implementation plan is developed in consultation with all **relevant stakeholders**.
	6.2 Success indicators of the plan are agreed.
	6.3 Implementation is monitored against agreed indicators.
	6.4 Implementation is adjusted as required.

Variable	Range
Data sources	May include but not limited to: • Primary data sources • Secondary sources
Data required	May include but not limited to: • Organization capability • Appropriate business structure • Level of client service which can be provided • Internal policies, procedures and practices • Staff levels, capabilities and structure • Market and market definition • Market changes/market segmentation • Market consolidation/fragmentation • Revenue • Level of commercial activity • Expected revenue levels, short and long term • Revenue growth rate • Break even data • Pricing policy • Revenue assumptions • Business environment • Economic conditions • Social factors • Demographic factors • Technological impacts • Political/legislative/regulative impacts

	• Competitors, competitor pricing and response to pricing • Competitor marketing/branding • Competitor products
SWOT analysis	May include but not limited to: • Internal strengths such as staff capability, recognized quality • Internal weaknesses such as poor morale, under-capitalization, poor technology • External opportunities such as changing market and economic conditions • External threats such as industry fee structures, strategic alliances, competitor marketing
Competitive advantage	May include but not limited to: • Quality • Pricing • Cost • Location • Technology • Delivery • Timeframe • Promotion • Niche marketing • Support from government
Key indicators	May include but not limited to: • Staffing • Cost and expenses • Personnel productivity (particularly of principals) • Goodwill • Profitability • Price structure • Customers base • Productivity • Quality • System
Organizational structures	May include but not limited to: • Lines of authority and reporting relationship
Objectives	May include but not limited to: • Market share growth • Revenue growth • Profitability • Productivity • Innovation

Market position	May include but not limited to: • The goods or service provided • Product mix • The core product - what is bought • The tangible product - what is perceived • The augmented product - total package of consumer • Features/benefits • Product differentiation from competitive products • New/changed products • Price and pricing strategies (cost plus, supply/demand, ability to pay, etc.) • Pricing objectives (profit, market penetration, etc.) • Cost components • Market position • Distribution strategies • Marketing channels • Promotion • Target audience • Communication
Practice brand	May include but not limited to: • Practice image • Practice logo/letterhead/signage • Phone answering protocol • Facility decor • Slogans • Templates for communication/invoicing • Style guide • Writing style • AIDA (Attention, Interest, Desire, Action)
Benefits	May include but not limited to: • Features as perceived by the client • Benefits as perceived by the client
Promotion tools	May include but not limited to: • Networking and referrals • Seminars • Sales promotion • Advertising • Personal selling • Press releases • Publicity and sponsorship • Brochures • Newsletters (print and/or electronic) • Websites • Direct mail • Telemarketing/cold calling
Ranking	May include but not limited to: • Importance

	• Urgency
	• Technology
	• Resource availability
Relevant stockholders	May include but not limited to:
	• Micro and Small Enterprises development
	• Non-Government Organizations (NGOs)
	• Finance institutions
	• Capital goods leasing enterprise

Evidence Guide	
Critical Aspects of Competence	Demonstrates skills and knowledge of:
	• Identifying the key indicators of business performance
	• Identifying the key market data for the business
	• A wide range of available information sources
	• Acquiring information not readily available within a business
	• Analyzing data and determine areas of improvement
	• Negotiating required improvements to ensure implementation
	• Evaluating systems against practice requirements
	• Forming recommendations and/or make recommendations
	• Assessing the accuracy and relevance of information
Underpinning Knowledge and Attitudes	Demonstrates knowledge of:
	• Data gathering and analysis
	• Value chain analysis
	• SWOT analysis
	• Competitive advantage
	• Cost benefit analysis
	• Target market
	• Marketing principles
	• Organizational structure
	• Marketing mix
	• Promotion mix
	• Market position
	• Branding
	ProfitabilityDemonstrates knowledge of:
	• Data gathering and analysis
	• Value chain analysis
	• SWOT analysis
	• Competitive advantage
	• Cost benefit analysis
	• Target market
	• Marketing principles
	• Organizational structure
	• Marketing mix
	• Promotion mix
	• Market position
	• Branding
	• Profitability

Underpinning Skills	Demonstrates skill in: • Benchmarking skills • Communication skills • Computers kills to manipulate data and present information • Negotiation skills • Preparing action plan • Conducting market research • Identifying target market • Identifying suitable marketing mix • Preparing promotional tools • Problem solving • Planning skills • Monitoring and evaluation • Ability to acquire and interpret relevant data • Use of market intelligence • Development and implementation strategies of promotion and growth plans • Ability to acquire and interpret required data, current practice systems and structures and sources of relevant benchmarking data • Applying methods of selecting relevant key benchmarking indicators • Communication skills • Working and consulting with others when developing plans for the business • Negotiation skills • Using computers to manipulate, present and distribute information
Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Business Governance Service Level III	
Unit Title	Prevent and Eliminate MUDA
Unit Code	TRD BGS3 18 0714
Unit Descriptor	This unit of competence covers the knowledge, skills and attitude required by a worker to prevent and eliminate MUDA/wastes in his/her their workplace. It covers responsibility for the day-to-day operation of the work and ensures Kaizen elements are continuously improved and institutionalized.

Elements	Performance Criteria
1. Prepare for work.	1.1 Work instructions are used to determine job requirements, including method, material and equipment.
	1.2 Job specifications are read and interpreted following working manual.
	1.3 **OHS requirements**, including dust and fume collection, breathing apparatus and eye and ear personal protection needs are observed throughout the work.
	1.4 Appropriate material is selected for work.
	1.5 **Safety equipment and tools** are identified and checked for safe and effective operation.
2. Identify MUDA.	2.1 Plan of MUDA identification is prepared and implemented.
	2.2 Causes and effects of MUDA are discussed.
	2.3 **Tools and techniques** are used to draw and analyze current situation of the work place.
	2.4 Wastes/MUDA are identified and measured based on **relevant procedures**.
	2.5 Identified and measured wastes are reported to relevant personnel.
3. Eliminate wastes/MUDA.	3. 1. Plan of MUDA elimination is prepared and implemented.
	3. 2. Necessary attitude and **the ten basic principles for improvement** are adopted to eliminate waste/MUDA.
	3. 3. Tools and techniques are used to eliminate wastes/MUDA based on the procedures and OHS.
	3. 4. Wastes/MUDA are reduced and eliminated in accordance with OHS and organizational requirements.
	3. 5. Improvements gained by elimination of waste/MUDA are reported to relevant bodies.

4. Prevent occurrence of wastes/MUDA.	4.1 Plan of MUDA prevention is prepared and implemented.
	4.2 Standards required for machines, operations, defining normal and abnormal conditions, clerical procedures and procurement are discussed and prepared.
	4.3 Occurrences of wastes/MUDA are prevented by using **visual and auditory control methods**.
	4.4 Waste-free workplace is created using **5W and 1H** sheet.
	4.5 The completion of required operation is done in accordance with standard procedures and practices.
	4.6 The updating of standard procedures and practices is facilitated.
	4.7 The capability of the work team that aligns with the requirements of the procedure is ensured.

Variable	Range
OHS requirements	May include but not limited to: • Are to be in accordance with legislation/ regulations/codes of practice and enterprise safety policies and procedures. This may include protective clothing and equipment, use of tooling and equipment, workplace environment and safety, handling of material, use of fire fighting equipment, enterprise first aid, hazard control and hazardous materials and substances. • Personal protective equipment is to include that prescribed under legislation/regulations/codes of practice and workplace policies and practices. • Safe operating procedures are to include, but are not limited to the conduct of operational risk assessment and treatments associated with workplace organization. • Emergency procedures related to this unit are to include but may not be limited to emergency shutdown and stopping of equipment, extinguishing fires, enterprise first aid requirements and site evacuation.
Safety equipment and tools	May include but not limited to: • dust masks / goggles • glove • working cloth • first aid • safety shoes
Tools and techniques	May include but not limited to: • Plant Layout • Process flow • Other Analysis tools • Do time study by work element • Measure Travel distance • Take a photo of workplace • Measure Total steps • Make list of items/products, who produces them and who uses them & those in warehouses, storages etc. • Focal points to Check and find out existing problems • 5S • Layout improvement • Brainstorming • Andon • U-line • In-lining • Unification • Multi-process handling & Multi-skilled operators • A.B. control (Two point control) • Cell production line • TPM (Total Productive Maintenance)

Relevant procedures	May include but not limited to:
	• Make waste visible
	• Be conscious of the waste
	• Be accountable for the waste.
	• Measure the waste.
The ten basic principles for improvement	May include but not limited to:
	• Throw out all of your fixed ideas about how to do things.
	• Think of how the new method will work- not how it won.
	• Don't accept excuses. Totally deny the status quo.
	• Don't seek perfection. A 5o percent implementation rate is fine as long as it's done on the spot.
	• Correct mistakes the moment they are found.
	• Don't spend a lot of money on improvements.
	• Problems give you a chance to use your brain.
	• Ask "why?" at least five times until you find the ultimate cause.
	• Ten people's ideas are better than one person's.
	• Improvement knows no limits.
Visual and auditory control methods	May include but not limited to:
	• Red Tagging
	• Sign boards
	• Outlining
	• Andons
	• Kanban, etc.
5W and 1H	May include but not limited to:
	• Who
	• What
	• Where
	• When
	• Why
	• How

Evidence Guide	
Critical Aspects of Competence	Demonstrates skills and knowledge to:
	• discuss why wastes occur in the workplace
	• discuss causes and effects of wastes/MUDA in the workplace
	• analyze the current situation of the workplace by using appropriate tools and techniques
	• identify, measure, eliminate and prevent occurrence of wastes by using appropriate tools and techniques
	• use 5W and 1H sheet to prevent

Underpinning Knowledge and Attitudes	Demonstrates knowledge of: • Targets of customers and manufacturer/service provider • Traditional and kaizen thinking of price setting • Kaizen thinking in relation to targets of manufacturer/service provider and customer • value • The three categories of operations • the 3"MU" • waste/MUDA • wastes occur in the workplace • The 7 types of MUDA • The Benefits of identifying and eliminating waste • Causes and effects of 7 MUDA • Procedures to identify MUDA • Necessary attitude and the ten basic principles for improvement • Procedures to eliminate MUDA • Prevention of wastes • Methods of waste prevention • Definition and purpose of standardization • Standards required for machines, operations, defining normal and abnormal conditions, clerical procedures and procurement • Methods of visual and auditory control • TPM concept and its pillars. • Relevant Occupational Health and Safety (OHS) and environment requirements • Plan and report • Method of communication
Underpinning Skills	Demonstrates skills to: • draw & analyze current situation of the work place • use measurement apparatus (stop watch, tape, etc.) • calculate volume and area • use and follow checklists to identify, measure and eliminate wastes/MUDA • identify and measure wastes/MUDA in accordance with OHS and procedures • use tools and techniques to eliminate wastes/MUDA in accordance with OHS procedure • apply 5W and 1H sheet • update and use standard procedures for completion of required operation • work with others • read and interpret documents • observe situations • solve problems • communicate • gather evidence by using different means

	• report activities and results using report formats
Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

NQTF Level IV

Occupational Standard: Business Governance Service Level IV	
Unit Title	**Contribute to the Development and Implementation of Organisational Policies**
Unit Code	**TRD BGS4 01 0714**
Unit Descriptor	This unit describes the performance outcomes, skills and knowledge required to work with other board members to develop and implement the organisation's operational policies to serve the organisation and the community effectively. Some aspects of governance activities may be subject to legislation, rules, regulations and codes of practice relevant to different job roles and jurisdictions.

Elements	Performance Criteria
1. Design the process for developing policy	1.1 Other board members are worked with to establish a **policy development group** and a procedure is developed for policy development.
	1.2 The community is consulted where appropriate.
	1.3 The need is determined for expert advice.
	1.4 Tasks are delegated to appropriate people.
2. Obtain background information needed for policy development	2.1 Key areas of operation requiring policy development are identified.
	2.2 Relevant previous board decisions are reviewed.
	2.3 **Additional information** required is identified and reviewed.
3. Contribute to the drafting of policy	3.1 Input is provided into the drafting of **policy for each area** of organisation activity.
	3.2 Policy is checked to reflect the vision of the organisation and **cultural issues**.
	3.3 Policy is checked to meet legal, constitutional and funding requirements.
	3.4 Feedback is provided to the policy development group on draft policies.
4. Approve policy	4.1 An explanation of draft policy is provided to **others**.
	4.2 Feedback is obtained and evaluated.
	4.3 Amendments to draft policy are proposed where required in response to feedback.
	4.4 Board members are worked with to approve agreed policy.
	4.5 Procedures are ensured to be in place to document and

		store policy in an accessible form.
5. Implement policy	5.1	Others are informed of the board decision and the final policy.
	5.2	Board decision is reviewed to comply with policy.
	5.3	Organisational procedures are evaluated to confirm consistency with policy.
6. Review and amend policy as required	6.1	Policy is reviewed regularly to ensure the organisation's vision and values are maintained.
	6.2	Amendments to policy are proposed where appropriate.
	6.3	Policy changes are documented according to organisational procedures.

Variable	Range
Policy development group	May include: • board members • managers • community members • expert advisers • Staff members
Additional information	May relate to: • examples of policies from other organisations • existing organisational policy • funding terms and conditions • relevant government policy documents • Relevant research
Policy for each areas	May include: • asset management • board processes • complaints • finance • occupational health and safety • programs and services • training areas • vision and values • Workplace relations
Cultural issues	May include: • family obligations • gender • protection of culture and heritage • protocols • Traditional responsibilities
Others	May include: • clients • community • Staff.

	• other organisations

Evidence Guide	
Critical Aspects of Competence	Must demonstrate knowledge and skills competence to: • work with others to implement a policy development process • contribute to policy development processes • inform others of new and changed policies • Review and amend policies as required.
Underpinning Knowledge and Attitudes	Demonstrate knowledge of: • concept of community control of organisations and how it may impact on the development and implementation of policies • cultural context boards operate, including their role in upholding traditional and cultural values, and how that could impact on the development and implementation of policies • equity and diversity principles that might need to be applied when developing and implementing policies • geographic, social, economic and political contexts in which particular organisations operate and how these may impact on the development and implementation of organisational policies • organisation's constitution, vision, purpose and current processes • provisions of relevant federal, state or territory legislation and funding body requirements relevant to the content of particular organisational policies • relevant protocols and cultural responsibilities that could impact on the development and implementation of policies

Underpinning Skills	Demonstrate skills of:
	
	• culturally appropriate communication skills to relate to people from diverse backgrounds and with diverse abilities
	• communication and teamwork skills to consult with other board members, staff, members, community and others regarding policy development and implementation
	• evaluation and decision-making skills to:
	  ➢ review draft and existing policies and procedures
	  ➢ propose new or changed policies
	• information-gathering skills to obtain information required for policy development
	• negotiation skills to work with others to develop acceptable policies and ensure their implementation
	• oral, diagrammatic or written literacy skills to be able to gather and share information

Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Business Governance Service Level IV	
Unit Title	**Maintain and Protect Cultural Values in the Organisation**
Unit Code	**TRD BGS4 02 0714**
Unit Descriptor	This unit describes the performance outcomes, skills and knowledge required to work as a board member in such a way as to respect, maintain and protect aspects of culture within the organisation. This unit applies to individuals responsible for maintaining and protecting cultural values in an organisation as part of their board role in monitoring and guiding the activities.

Elements	Performance Criteria
1. Demonstrate knowledge of your culture	1.1 **Relevant traditional and cultural responsibilities** are outlined in a manner appropriate to the audience.
	1.2 Accepted cultural **protocols** are followed when undertaking board duties.
	1.3 The role of elders and their relationship to the organisation is identified.
2. Demonstrate respect for cultural diversity	2.1 Individuals and groups with diverse **lifestyles**, backgrounds, **cultures** and languages are treated with respect and sensitivity.
	2.2 Cultural differences are accommodated in dealings with other people.
3. Identify the impacts of on Ethiopian nation and nationalities	3.1 Changes in Ethiopian nation and nationalities culture are identified.
	3.2 Ways in which the organisation can help to restore, protect and maintain culture are recommended.
4. Apply Ethiopian nation and nationalities practices to governance processes	4.1 Relevant Ethiopian nation and nationalities practices are identified to contribute to effective governance of organisations.
	4.2 Other board members are worked with relevant Ethiopian nation and nationalities practices to incorporate into the organisation's governance processes
5. Deal with potential and actual cultural exploitation	5.1 Examples of **potential and actual harm** are identified.
	5.2 Other board members are worked with to develop strategies for responding to potential and actual damage to cultural integrity.
6. Deal with potential and actual stereotyping and prejudice	6.1 **Areas of potential and actual social conflict** as a consequence of stereotyping and prejudice are identified.
	6.2 Other board members are worked with to develop strategies toward reconciliation in consultation with

7.	Determine the effects of new legislation and policy on the organisation	7.1	The potential **impact** of new and proposed **legislation and policy** on the organisation and its members is assessed.
		7.2	Strategies are developed to respond to new and proposed legislation and policy.
8.	Determine the impact of development on culture	8.1	**Relevant social**, **technical**, **economic and political changes** that may impact on the activities of the organisation are identified.
		8.2	Current and future impact of development on culture is assessed.
		8.3	Strategies are developed to maximise positive impact and prevent or minimise negative impact on culture.

Variable	Range
Relevant traditional and cultural responsibilities	May include: • kinship • land ownership • men's and women's business • relationships with Elders and traditional owners • Responsibilities in relation to significant events, such as births, marriages and deaths
Protocols	May include: • acknowledgements • appropriate time, place or ceremony for communication • family, kinship and clan • land ownership • talking to the right people • Welcomes
Lifestyles	May include: • remote • rural • traditional • Urban.
Cultures	May include: • beliefs and values • ceremonies • employment • race • language • law and lore • lifestyles • literacy • Living conditions

Potential and actual harm	May include: • copyright issues • Shift from community focus to business focus
Areas of potential and actual social conflict	May include: • family • land • public spaces • schools • training areas • Workplaces
Appropriate individuals or groups	May include: • businesses • church groups • community sector organisations • community leaders • local government • schools • Sporting clubs
Impact	May include: • changes in employment opportunities • changes in educational opportunities • changes in land ownership and control • Financial changes
Legislation and policy	May include: • anti-discrimination and equal opportunity laws • extended trading hours • Native Title • pastoral and mining leases • relevant social security law • 'Three Strikes' laws
Relevant social, technical, economic and political changes	May include: • changing technologies • education • land developments • land ownership changes • living standards • Mainstreaming services

Evidence Guide	
Critical Aspects of Competence	Must demonstrate knowledge and skills competence to: • provide appropriate information to others about cultural protocols and responsibilities relevant to board duties • identify historical factors that may impact on the community and the organisation • Develop strategies to restore, protect and maintain cultural values in the organisation.

Underpinning Knowledge and Attitudes	Demonstrate knowledge of:
	• cultural governance practices that may affect the effective governance of organisations
	• basic information on intellectual property rights and copyright law in relation to cultural knowledge and objects
	• concept of community control of organisations and how it may impact on the protection of cultural values
	• concepts of stereotyping and prejudice and their impacts on individuals
	• current and proposed changes in legislation and policy that could impact on the organisation
	• geographic, social, economic and political contexts in which particular organisations operate and how these may impact on the maintenance and protection of cultural values in an organisation
	• how historical factors, such as , have had an impact on local community members and the organisation
	• provisions of federal, or state legislation and funding body requirements that may impact on decision making
	• relevant protocols and cultural responsibilities
	• social, technical, economic and political changes likely to occur in the short to medium term that could have an impact on the activities of the organisation
Underpinning Skills	Demonstrate skills of:
	• analysis and evaluation skills to assess key changes in legislation and policy and how they relate to the organisation and community
	• culturally appropriate communication skills to relate to people from diverse backgrounds and with diverse abilities
	• oral, diagrammatic or written literacy skills to be able to gather and share information
	• problem-solving and decision-making skills to develop strategies to address cultural issues
Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through:
	• Interview / Written Test
	• Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Business Governance Service Level IV	
Unit Title	**Uphold and Support the Values and Principles of Public Service**
Unit Code	**TRD BGS4 03 0714**
Unit Descriptor	This unit covers the ethical conduct required of those in public service and the responsibility to encourage ethical conduct in others - colleagues or supervised staff. It includes contributing to an ethical public sector workplace and participating in ethical decision making. In practice, ethical conduct is demonstrated in the context of other generalist or specialist work activities such as applying government processes, delivering and monitoring services to clients, using resources, conducting interviews, giving evidence, awarding contracts etc. This unit supports the attainment of skills and knowledge required for applying ethical conduct and accountability required in those working in government employment.

Elements	Performance Criteria
1. Contribute to an ethical public sector workplace	1.1 Information on the **ethical values and principles** of the workplace are accessed, its interpretation confirmed with **others** and applied accordingly.
	1.2 Application of ethical values and principles is discussed with senior management and colleagues to ensure common understanding and application.
	1.3 Others are assisted to access and use public sector ethics **legislation and guidelines** to ensure their work practices comply with requirements.
	1.4 The differences between public sector ethics/values and personal beliefs/values are explained to others to encourage understanding and compliance.
	1.5 Hypothetical work practices that would constitute **unethical conduct** are identified and discussed with work colleagues, and strategies to avoid or deal with them are identified in accordance with organisational policy and procedures.
2. Participate in ethical decision making	2.1 Real and potential **ethical problems** are identified, and decision making processes are used to resolve or refer in accordance with organisational policy and procedures.
	2.2 Information is regularly accessed to ensure currency in ethical knowledge, and ethical judgment is developed through involvement in workplace discussions or ongoing professional development related to ethical standards and

	practices.
	2.3 Other staffs are supported as necessary to contribute to ethical discussions and problem solving to develop their ethical judgment.
	2.4 Processes are used for preventing and reporting unethical conduct and others are assisted in their application.

Variable	Range

Ethical values and principles	May include:
	• respect for the law
	• integrity
	• objectivity
	• accountability
	• honesty
	• openness
	• responsibility
	• impartiality
	• diligence
	• trustworthiness
	• confidentiality
	• respect for persons
	• responsible care
	• probity
	• economy and efficiency
	• natural justice/procedural fairness, that is:
	  ➢ the right to be heard/put your case
	  ➢ the right to be informed of a complaint or case against you
	  ➢ the right to know reasons for decisions affecting you
	  ➢ the right to know the outcomes/recommendations of an investigation involving you
	  ➢ the right to privacy
	  ➢ the right to representation
	  ➢ the right to silence
	• the decision maker should not be a judge in his/her own cause

Others	May include: • colleagues • supervised staff • contractors
Legislation and guidelines	May include: • legislation for public sector management • freedom of information • privacy legislation • equal employment opportunity and anti-discrimination law • public sector standards • Ministerial directions

	• organisational codes for conduct/ethics • organisational mission and values statements • organisational policy, procedures/guidelines • government policy • professional codes of ethics and conduct • equity guidelines, organisational workplace diversity guidelines
Unethical conduct	May include: • fraud, corruption, maladministration and waste • unauthorised access to and/or use of information, money/finances, vehicles, equipment, resources, time • improper actions during contractual processes, such as release of intellectual property, infringing copyright, release of tender information, inappropriate disclosure during tender process • improper public comment on matters relating to the government and/or the organisation • falsifying records • giving false testimonials • dishonesty • improper use of plant and equipment, credit cards, frequent flyer points, telephones, email and Internet • extravagant or wasteful practices • personal favours • preferential treatment • putting barriers in place, hindering, blocking action • compromising behaviour including sexual harassment • lack of confidentiality • directing others to act unethically • oppressive/coercive management decisions • resorting to illegality to obtain evidence
Ethical problems	May include: • conflict between public sector standards and personal values • conflict between public sector standards and other standards such as professional standards • conflict between public sector standards and directions of a senior officer or minister • tension between two rights – for example, the right to privacy versus the right to freedom of information • conflict regarding issues of personal and organizational intellectual property

	May be made to:
	• line management
	• human resources
	• workplace relations officer
	• grievance officer
	• chief executive officer
	• public service commissioner
	• public sector standards body
	• organisational ethics committee
	• internal grievance mechanisms
	• confidant programs (whistleblower protection programs)
	• organisational professional reporting procedures
	• unions and professional bodies
	• ombudsman

Evidence Guide	
Critical Aspects of Competence	Must demonstrate knowledge and skills competence to: • preparing written reports that contain information that is impartial, substantiated, accurate and complete • responding to diversity, including gender and disability • adjusting communication to suit different audiences • applying occupational health and safety procedures relating to ethical work practices • the nature of public sector ethics and ethical values as opposed to personal beliefs/value systems • fundamental ethical principles such as justice, respect for persons and responsible care • other ethics standards such as professional standards • natural justice/procedural fairness
Underpinning Knowledge and Attitudes	Demonstrate knowledge of: • the nature of public sector ethics and ethical values as opposed to personal beliefs/value systems • fundamental ethical principles such as justice, respect for persons and responsible care • other ethics standards such as professional standards • natural justice/procedural fairness • equal employment opportunity, equity and diversity principles • ethical decision making/problem solving models • procedures and protocols for reporting unethical conduct • environmental and occupational health and safety procedures relating to ethical work practice
Underpinning Skills	Demonstrate skills of: • accessing legislation and codes of ethics electronically or in hard copy

	• reading complex and formal documents such as legislation and codes of ethics, applying them and assisting others to apply them to work practices
	• applying objective and impartial evaluation of ethical problems
	• using participative ethical decision making/problem solving
	• preparing written reports that contain information that is impartial, substantiated, accurate and complete
	• responding to diversity, including gender and disability
	• adjusting communication to suit different audiences
	• applying occupational health and safety procedures relating to ethical work practices
Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through:
	• Interview / Written Test
	• Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Business Governance Service Level IV	
Unit Title	**Conduct Work within a Compliance Framework**
Unit Code	**TRD BGS4 04 0714**
Unit Descriptor	This unit describes the performance outcomes, skills and knowledge required to carry out work in accordance with the compliance framework applying to a particular job role, occupation or profession. A range of legislation, rules, regulations and codes of practice may apply to this unit at the time of endorsement, depending on job roles and jurisdictions. This unit applies to individuals who identify statutory, legislative and regulatory requirements and relate them to individual work practices to ensure ongoing adherence to the compliance framework.

Elements	Performance Criteria
1. Identify individual compliance requirements	1.1 **Statutory**, **legislative and regulatory requirements** relevant to job role, occupation or profession are identified and documented.
	1.2 Relevant **organisational and industry requirements** are identified and documented.
2. Interpret individual compliance requirements	2.1 Compliance requirements are mapped against individual position description and work practices.
	2.2 Ethical considerations are discussed with relevant parties where appropriate.
3. Ensure individual compliance	3.1 **Appropriate persons** are consulted with to identify procedures to be applied, contingent on the situation.
	3.2 Personal actions are reflected in the context of compliance requirements.
	3.3 Action taken is recorded if required.
4. Identify and adapt to changes in compliance requirements	4.1 **Documentation** relating to changes in compliance issues is recorded and analysed.
	4.2 Documentation is discussed with appropriate persons to ensure ongoing compliance.

Variable	Range
Statutory, legislative and regulatory requirements	May include: • equal employment opportunity and anti-discrimination legislation • legislation specific to the industry or profession, e.g. Legal Professional Act

	occupational health and safety laws
	• privacy legislation • Regulations and codes of conduct governing the occupation or profession.
Organisational and industry requirements	May include: • conflict of interest guidelines • equity guidelines and workplace diversity guidelines • ethical or other standards • industry standards and codes of conduct • internal control standards • Organisation's values statement and relevant policies and procedures.
Appropriate person	May include: • human resource manager • person designated in organisational policy and procedure responsible for compliance • Supervisor.
Documentation	May include: • newsletters • organisational records • staff meeting agendas and minutes • Updates from networks and professional associations.

Evidence Guide	
Critical Aspects of Competence	Must demonstrate knowledge and skills competence to: • apply knowledge of relevant statutory, legislative and regulatory requirements relating to work practices • map requirements to work practices to demonstrate an application of compliance requirements • apply work practices in accordance with a compliance framework • Handle contingencies.
Underpinning Knowledge and Attitudes	Demonstrate knowledge of: • statutory, legislative and regulatory requirements relevant to job role, occupation or profession • codes of practice relevant to job role, occupation or profession • organisational policies and procedures relevant to workplace • comprehensive knowledge of individual work requirements and practices as contained in position description and occupational standards • interpretation of statutory requirements and codes of conduct in context of individual job role
Underpinning Skills	Demonstrate skills of: • written and oral communication to apply the relevant compliance framework

	• research and documentation skills to research and summarise the compliance framework relevant to job role • self-management skills to: ➢ monitor and adapt to changes in compliance issues ➢ handle contingencies
Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Business Governance Service Level IV	
Unit Title	**Schedule Customer Contact Activity**
Unit Code	**TRD BGS4 05 0714**
Unit Descriptor	This unit describes the performance outcomes, skills and knowledge required to schedule customer contact activity. It requires the skills and knowledge to manage customer contact schedules using manual and electronic systems. This unit applies to any customer contact environment. This work can be undertaken by specialist staff, administration organisers, operational team leaders or those with supervisory responsibility, depending on the size and structure of the contact centre.

Elements	Performance Criteria
1. Analyse contact traffic data	1.1 **Contact traffic data** is accessed.
	1.2 Contact traffic patterns are identified over short and long **intervals**.
	1.3 Anomalies and non-recurring events are identified in contact patterns.
2. Review forecasting and planning	2.1 The identified range of **contact centre or customer contact phenomenon** is incorporated into resource planning.
	2.2 The issues arising from the impact of customer contact phenomena are incorporated when forecasting and planning.
3. Plan labour requirements	3.1 Basic inputs are determined to **queue tools**.
	3.2 Resources required are calculated using queuing tools.
	3.3 Results are adjusted to account for **quantitative and qualitative factors**.
	3.4 Levels of forecasted call and contact traffic are **scheduled**.
	3.5 Operational efficiency and customer service levels in schedules are maximized while minimising wage costs.
	3.6 The available skill base is used to schedule the most effective use of human resources.
	3.7 Schedules are communicated to staff within designated timelines.

Variable	Range

Contact traffic data	May include:
	• data extracted from customer contact systems that can:
	  ➢ detail statistics of numbers, types and times of contact
	  ➢ be sorted and tabulated for individual agents and groups of agents
	• data on other types of contact, including:
	  ➢ email
	  ➢ face-to-face
	  ➢ letters
	  ➢ SMS (text messages)
	  ➢ Website.

Intervals	May include:
	• periods for reporting, which may be:
	  ➢ annually
	  ➢ monthly
	  ➢ weekly
	  ➢ daily
	  ➢ hourly
	  ➢ half hourly
	  ➢ Seasonal.

Contact centre or customer contact phenomena	May include: • administration duties • billing and credit issues • climate, environmental and health factors • equipment failures • escalating contacts • excessive call lengths • excessive leave commitments • external influences or factors • marketing and competitor activity • media attention • Training periods and team meetings.
Queuing tools	May include: • Erlang B and C tools • Facilities within Automated Call Distribution (ACD) systems that provide the capacity to sort and queue different types of calls according to pre-set business rules.
Quantitative and qualitative factors	May include: • contact cost considerations • marketing activity • seasonal variations • variations in staff availability • Variations in staff experience and skills and knowledge.
Scheduling	May include: • business demands, goals and Key Performance Indicators (KPIs)

	• forecasting enquiries, by using a forecasting model that uses weighted averages from previous scheduling periods, including:
	➢ calls
	➢ email
	➢ escalations
	➢ mail
	• employee preferences
	• heuristic, where call sequence is ordered by customer balance
	• legislation and regulations
	• operational constraints
	• scheduling methods, such as:
	➢ batch optimised: hourly scheduling (16-hourly lists)
	➢ dynamic optimised: hourly scheduling (re-optimised at the beginning of every hour)
	• Work function projections, incorporating quality and quantity.

Evidence Guide	
Critical Aspects of Competence	Must demonstrate knowledge and skills competence to:
	• prepare customer contact schedules
	• demonstrate knowledge and use of key features of contact traffic measurement systems
Underpinning Knowledge and Attitudes	Demonstrate knowledge of:
	• budgeting principles
	• contact traffic measurement systems
	• operating environment requirements and objectives
	• organisational communication methods
	• queuing and forecasting tools
	• Techniques for scheduling call and contact traffic.
Underpinning Skills	Demonstrate skills of:
	• communication skills to:
	➢ communicate with personnel at all levels
	➢ conduct effective formal and informal meetings
	➢ express ideas and concepts
	• supervisory skills to gain trust and confidence of colleagues and stakeholders
	• numeracy skills to:
	➢ carry out basic arithmetical calculations
	➢ apply financial understanding to adhere to budgetary resources
	• planning and organising skills to manage own tasks within required timeframes
	• self management skills to:
	➢ comply with policies and procedures
	➢ seek learning and development opportunities
	• Technology skills to organise data and information.

Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Business Governance Service Level IV	
Unit Title	**Implement Customer Service Standards**
Unit Code	**TRD BGS4 06 0714**
Unit Descriptor	This unit describes the performance outcomes, skills and knowledge required to contribute to quality customer service standards, and to support personnel to implement customer service standards and systems within the organisation. Operators undertaking this unit would have a detailed knowledge of, and experience in, customer service systems and procedures. This unit applies to frontline managers, including team leaders and supervisors, who have responsibility for seeing that a customer service system and customer service standards are implemented.

Elements	Performance Criteria
1. Contribute to quality customer service standards	1.1 **Customer** service standards in the workplace are accessed, interpreted, applied and monitored according to **organisational standards, policies and procedures**.
	1.2 Contributions are made to the development, refinement and improvement of customer service standards, policies and processes.
2. Implement customer service systems	2.1 All personnel are encouraged to consistently implement customer service systems.
	2.2 Customer feedback is reviewed in consultation with appropriate personnel and analysed when improving work practices.
	2.3 **Customer service problems** are identified and adjustments made to ensure continued service quality
	2.4 Adjustments in service delivery are communicated to all those involved within appropriate timeframes.
	2.5 Delivery of services and products is coordinated and managed to meet agreed quality standards.
3. Implement team customer service standards	3.1 Team and work activities are planned and implemented to meet customer needs and expectations and minimise inconvenience.
	3.2 Resources required are identified to undertake team tasks while meeting required customer service levels.

Variable	Range
Customers	May include: • customers with routine or special requests • internal and external customers • people from a range of social, cultural or ethnic backgrounds • people who may be unwell, drug affected or emotionally distressed • people with varying physical and mental abilities • Regular and new customers.
Organisational standards, policies and procedures	May include: • continuous quality improvement cycle – plan/do/check/act • procedural manuals • product and service manuals, labels, instructions • quality systems, standards and guidelines • Requirements for staff appearance and presentation.
Customer service problems	May include: • breakages or faults • damaged stock • delays in delivery of products or services • missing parts or components • poor service • Provision of poor advice or information.

Evidence Guide	
Critical Aspects of Competence	Must demonstrate knowledge and skills competence to: • compliance with customer service system and standards • recommendations about how the standards can be improved or adapted to better meet the needs of the organisation and the customers • Knowledge of customer service models.
Underpinning Knowledge and Attitudes	Demonstrate knowledge of: • detailed product and service knowledge • models of customer service • Relevant organisational procedures and standards for customer service relationships.

Underpinning Skills	Demonstrate skills of:
	• communication skills to:
	  ➢ direct others with regard to customer services standards
	  ➢ explain the system and standards to the work team
	• information management skills to summarise information verbally and non-verbally
	• literacy and numeracy skills to:
	  ➢ interpret product and service features or sales data
	  ➢ read a variety of texts to prepare general information and papers

	➤ summarise information obtained from a variety of verbal and non-verbal sources ➤ write formal and informal text • numeracy skills required to analyse data • problem solving skills to: ➤ address problems and ensure service standards are met ➤ develop solutions unique to a customer ➤ modify customer service standards when required • self management skills to: ➤ comply with policies and procedures ➤ Seek learning and development opportunities.
Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Business Governance Service Level IV	
Unit Title	**Address Customer Needs**
Unit Code	**TRD BGS4 07 0714**
Unit Descriptor	This unit describes the performance outcomes, skills and knowledge required to manage the ongoing relationship with a customer, who includes assisting the customer to articulate their needs, meeting customer needs and managing networks to ensure customer needs are addressed. The customer relationship would typically involve direct interaction a number of times over an extended period. This unit is appropriate to workers who are expected to have detailed product knowledge in order to recommend customised solutions. They would be expected to apply organisational procedures and be aware of, and apply as appropriate, broader factors involving ethics, industry practice and relevant government policies and regulations. This unit applies to workers required to be familiar with a product and service that varies widely and is capable of significant customisation.

Elements	Performance Criteria
1. Assist customer to articulate needs	1.1 **Customer** needs are fully explored, understood and agreed.
	1.2 Available services and products are explained and matched to customer needs.
	1.3 **Rights and responsibilities of customers** are identified and communicated to the customer as appropriate.
2. Satisfy complex customer needs	2.1 Possibilities are explained for meeting customer needs.
	2.2 Customers are assisted to evaluate service and/or product options to satisfy their needs.
	2.3 Preferred actions are determined and prioritized.
	2.4 Potential areas of difficulty in customer service delivery are identified and appropriate actions taken in a positive manner.
3. Manage networks to ensure customer needs are addressed	3.1 **Effective regular communication** is established with customers.
	3.2 Relevant networks are established, maintained and expanded to ensure appropriate referral of customers to products and services from within and outside the organisation.
	3.3 Procedures are placed to ensure that decisions about targeting of customer services are based on up-to-date

	information about the customer, and the **products and services** available.
	3.4 Procedures are put in place to ensure that referrals are based on the matching of the assessment of customer needs and availability of products and services
	3.5 Records of customer interaction are maintained in accordance with **organisational procedures**.

Variable	Range
Customers	may include: • customers with routine or specific requests • in person, computer based and telephone customers • internal and external customers • people from a range of social, cultural or ethnic backgrounds • people who may be unwell, drug affected or emotionally distressed • people with varying physical and mental abilities • Regular and new customers.
Rights and responsibilities of customers	may include: • fulfilment of external obligations • Informed consent.
Effective regular communication	may include: • giving customers full attention • handling sensitive and confidential issues • maintaining eye- contact (for face-to-face interactions), except where eye- contact may be culturally inappropriate • speaking clearly and concisely • using active listening techniques • using appropriate language and tone of voice • using clearly written information/communication • using non-verbal communication e.g. body language, personal presentation (for face-to-face interactions) • Using open and/or closed questions.
Products and services	may include: • either products or services • goods • ideas • infrastructure • Private or public sets of benefits.
Organisational procedures	may include: • procedural manuals • Quality systems, standards and guidelines.

Evidence Guide	
Critical Aspects of	Must demonstrate knowledge and skills competence to:

Competence	• assisting customers to articulate their needs • documenting processes used and customer satisfaction with the products/services offered • Assisting customers to address their needs.

Underpinning Knowledge and Attitudes	Demonstrate knowledge of:
	• key provisions of relevant legislation from all levels of government that may affect aspects of business operations, such as:
	  ➢ anti- discrimination's legislation
	  ➢ ethical principles
	  ➢ codes of practice
	  ➢ privacy laws
	  ➢ environmental issues
	  ➢ occupational health and safety
	• organisational procedures and standards for customer service relationships
	• detailed product and service knowledge which may:
	  ➢ be of significant breadth so as to propose alternative products and services, or
	  ➢ Of significant depth so as to propose variations within a limited product and service range.

Underpinning Skills	Demonstrate skills of:
	• Communication skills to relate to people from diverse backgrounds and people with diverse abilities.
	• information management skills to summarise information verbally and non-verbally
	• literacy and numeracy skills to:
	  ➢ interpret product and service features or sales data
	  ➢ read a variety of texts to prepare general information and papers
	  ➢ summarise information obtained from a variety of verbal and non-verbal sources
	  ➢ write formal and informal text
	• numeracy skills to analyse data, and to compare time lines and promotional costs against budgets
	• problem- solving skills to develop solutions unique to a customer
	• self- management skills to:
	  ➢ comply with policies and procedures
	  ➢ Seek learning and development opportunities.

Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Business Governance Service Level IV	
Unit Title	**Collect, Analyse and Present Workplace Data and Information**
Unit Code	**TRD BGS4 08 0714**
Unit Descriptor	This unit involves the skills and knowledge required to collect, analyse and present workplace data and information including identifying required information, analysing and preparing information for use, explaining information, and presenting workplace information to others. Data collection, analysis and presentation is carried out as an integral part of operations in the context of the workplace concerned. Work is performed under general or limited supervision, generally within a team environment. It involves the application of established principles and practice to the collection, analysis and presentation of information and data as part of workplace operations.

Elements	Performance Criteria
1. Identify required information	1.1 Purpose of the ***information/data collection*** is identified.
	1.2 Sources of information are established.
	1.3 Appropriate information is collected.
2. Prepare information for use	2.1 Information is collected and analysed in accordance with ***workplace procedures***.
	2.2 Processed information is organised and presented in a logical manner.
	2.3 Checks are made for accuracy.
3. Explain information	3.1 Data collection and analysis are explained to others in a way that effectively contributes to the workplace operations.
	3.2 Outcomes of data/information analysis are presented to others using appropriate ***presentation modes*** and resources.
	3.3 Questions are answered and appropriate clarifications given.
4. Present workplace information	4.1 Processed information is forwarded to appropriate personnel in accordance with workplace procedures.
	4.2 Processed information is collated and stored in accordance with workplace procedures.

Variable	Range
Information/documentation	may include: • workplace procedures, checklists and instructions • operations manuals • induction documentation • competency standards and training materials • job specifications • manufacturers specifications • HAZCHEM and dangerous/hazardous goods codes • goods identification numbers and codes • manifests, bar codes, goods and container identification • manufacturers specifications • workplace policies • supplier and/or client instructions • material safety data sheets • relevant codes of practice including the national standards for manual handling and the industry safety code • legislation, regulations and related documentation • award, enterprise bargaining agreement, other industrial arrangements • standards and certification requirements • quality assurance procedures • emergency procedures
Data collection	will be: • that required for workplace operations • may occur by day or night and in a variety of work contexts
Workplace procedures	may include: • company procedures • enterprise procedures • organisational procedures • established procedures
Presentation modes	may include: • written documentation • oral reports • group presentations using appropriate technology • completion of standard forms and checklists • routine written reporting • entry of collected/processed information into a computer • participation in workplace discussions

Customers	may be: • internal or external
Presentation/comm unication problems	may include: • misunderstanding • limited ability of others to communicate in English • noisy environments or communications channels • illegible writing or print • use of non-standard vocabulary • incorrect assumption that information has been received and/or correctly understood
Depending on workplace context, consultative processes	may involve: • managers • supervisors/team leaders • workplace personnel • clients • private and/or public sector security personnel • police • security consultants • visitors • contractors • official representatives • union representatives • industrial relations • OHS specialists • other professional or technical staff
Presentation/comm unication may involve the use of a range of technology,	including: • phone • electronic data interchange • fax • email • internet • radio • overhead or computer controlled projector • plain or electronic white board • flip charts • microphone and amplifier • video player and monitor
Applicable regulations and legislation	may include: • relevant regulations, standards and codes of practice, including the national standards for manual handling and industry safety codes

	• dangerous goods and freight regulations and codes
	• relevant standards and certification requirements
	• relevant Ethiopian and state/territory OHS legislation
	• equal employment legislation and related policies
	• environmental protection regulations

Evidence Guide	
Critical Aspects of Competence	Must demonstrate knowledge and skills competence to: • the underpinning knowledge and skills • relevant legislation and workplace procedures • other relevant aspects of the range statement
Underpinning Knowledge and Attitudes	Demonstrate knowledge of: • Relevant procedures and duty of care requirements • Relevant OHS responsibilities • Sources of information and data and procedures for processing the information for workplace use • Protocols and procedures for the collection, analysis and presentation of workplace information and data using relevant technology • Presentation and communication techniques including an understanding of barriers to effective communication and how to overcome them • Basic principles of effective presentation and communication of information • Techniques for communicating effectively with a multilingual persons or persons with a limited ability to speak or understand English • Typical presentation and communication problems and appropriate action and solutions
Underpinning Skills	Demonstrate skills to: • Communicate effectively with others when collecting, analysing and presenting workplace data and information • Read and interpret instructions and procedures relevant to the collection, analysis and presentation of workplace data and information • Interpret and follow operational instructions and prioritise work • Complete documentation related to the collection, analysis and presentation of workplace data and information • Identify and use required communication and presentation technology

	• Work collaboratively with others when collecting, analysing and presenting workplace data and information
	• Adapt appropriately to cultural differences in the workplace, including modes of behaviour and interactions with others
	• Promptly report and/or rectify any identified problems that may arise when collecting, analysing and presenting workplace data and information in accordance with regulatory requirements and workplace procedures
	• Plan own work including predicting consequences and identifying improvements
	• Implement contingency plans for unanticipated situations that may arise when collecting, analysing and presenting workplace data and information
	• Monitor work activities in terms of planned schedule
	• Modify activities depending on differing operational contingencies, risk situations and environments
	• Work systematically with required attention to detail
	• Operate and adapt to differences in equipment in accordance with standard operating procedures
Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Business Governance Service Level IV	
Unit Title	**Survey Stakeholders to Gather and Record Information**
Unit Code	**TRD BGS4 09 0714**
Unit Descriptor	This unit describes the performance outcomes, skills and knowledge required to survey stakeholders to gather and record information. Competence in this unit requires preparing, undertaking and recording relevant and required details of information collected according to organisational, legislative and regulatory requirements. It also requires efficient use of relevant technology. This unit applies in environments where accurate and detailed records of contacts are a mandatory requirement of the role. This involves using interview recording technology. This work is undertaken under supervision.

Elements	Performance Criteria
1. Obtain, record and analyse information from the community	1.1 **Information sources** are identified.
	1.2 **Information** is collected and recorded according to organisational procedures and legislative and policy requirements.
	1.3 Information collected is collated, sorted and analysed in relation to the purpose for which it is being obtained.
	1.4 Contents of **recording forms and reports** are ensured in line with **organisational requirements**.
2. Take and compile statements	2.1 **Comprehensive statements** are taken from sources appropriate to the matter being investigated according to organisational procedures and legislative and policy requirements
	2.2 Active listening is used when taking accurate statements from people.
3. Conduct interviews	3.1 Interviews are planned, managed and conducted to gather maximum amount of information relevant to the matter being examined.
	3.2 All interviewees are treated fairly and equitably.
	3.3 Interviews are conducted and recorded according to legislation, policy and procedures.
4. Use information and database systems	4.1 Information is entered into database by adhering to data entry security procedures.
	4.2 Appropriate sources of information are identified and used when recording data.

	4.3	Information is accessed and stored according to legislation, policy and procedures.
5. Use interview and evidence recording equipment	5.1	**Recording equipment** is operated according to legislation, policy and procedures.
	5.2	**Records** are produced according to organisational requirements and procedures
	5.3	Equipment and usage logs are maintained in good order.
6. Conduct follow-up activity with other members of the organisation	6.1	Communication links within the organisation are identified and used to exchange information.
	6.2	The relevance of information received is assessed in terms of its intended purpose.
	6.3	Irrelevant information is disposed of according to legislation, policy and procedures.

Variable	Range
Information sources	May include: • colleagues • community groups • community leaders • crime, accident and incident scenes • customers • general public • individuals • information databases • local government • local media • schools • Specific target groups – in the case of opinion polls and surveys.
Information	May include: • addressing public order and general community issues • assisting in an investigation • details of an incident or medical emergency • locating a specific person • location of witnesses • opinion poll or customer survey • Progressing and supporting court hearings or matters.
Recording forms and reports	May include: • handwritten and electronic formats and reporting styles • Use of organisation's enterprise information system.
Organisational requirements	may include: • accurate • complete • concise • in the correct format

	• legible • Understandable.
Comprehensive statements	May include: • all details required by the organisation • all information required for the investigation or research task • records in a format that comply with the legal requirements for statements; where appropriate and legal, statements may also be recorded in forms other than written, such as audiotape or audiovisual (video) tape.
Recording equipment	May be modified for use by people with a disability and may include: • audiotape recorders • authorisation, storage and filing of original and duplicates of tapes and film • basic fingerprinting equipment • Video cameras and recording equipment.
Records	must be: • authorised, stored and assessed in line with organisational procedures • Clear, audible and presentable.

Evidence Guide	
Critical Aspects of Competence	Must demonstrate knowledge and skills competence to: • record interviews, including audiotapes and statements if relevant to role • demonstrate interview techniques • Demonstrate knowledge of statutory, regulatory and legislative requirements relating to surveying processes.
Underpinning Knowledge and Attitudes	Demonstrate knowledge of: • information types and their sources • procedures and security measures for accessing, storing, retrieving and sharing data from databases • rights of individuals in relation to the conduct of interviews and compilation of statements • statutory, regulatory and legislative requirements relating to surveying stakeholders • Use of evidence and contact recording technology.

Underpinning Skills	Demonstrate skills of:
	• analytical skills to analyse information and data
	• communication skills to:
	  ➢ articulate information, advice and instructions
	  ➢ question and listen in order to understand and resolve issues raised
	• interpersonal skills to establish rapport and build relationships with stakeholders
	• literacy skills to prepare and compile detailed statements

	and reports
	 • numeracy skills to analyse, record and store data according to organisational requirements
	 • planning and organising skills to manage own tasks within required timeframes
	 • self management skills to:
	    ➢ comply with policies and procedures
	    ➢ Seek learning and development opportunities.

Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Business Governance Service Level IV	
Unit Title	**Produce Complex Desktop Published Documents**
Unit Code	**TRD BGS4 10 0714**
Unit Descriptor	This unit describes the performance outcomes, skills and knowledge required to design and produce complex desktop published documents. This unit applies to individuals employed in a range of work environments who require well developed skills in desktop publishing. They may be individuals providing administrative support within an enterprise, or others responsible for the production of their own documents.

Elements	Performance Criteria
1. Prepare to produce desktop published documents	1.1 Safe work practices, including addressing **ergonomic requirements** are used using **work organisation strategies**.
	1.2 **Energy and resource conservation techniques** are used.
	1.3 **Document purpose**, audience, presentation and **final output** requirements are identified and clarified with relevant personnel as required.
	1.4 **Organisational and task requirements** for desktop published documents are identified to ensure consistency of style and image.
2. Design desktop published documents	2.1 Document is **designed** to enhance readability and appearance according to organisational and task requirements.
	2.2 Document type, production and design requirements are determined.
	2.3 Master pages, templates and styles are set up and used to ensure **consistency of design** and layout.
	2.4 Colour palettes are set up according to organisational and task requirements.
3. Create desktop published documents	3.1 Required text is prepared, formatted and entered.
	3.2 Text is imported from other applications and any formatting issues are resolved.
	3.3 Graphics are scanned and imported from other applications and any formatting issues resolved.
	3.4 **Complex software functions** are used to arrange text and graphics on page, according to organisational and

		task requirements.
4. Finalise desktop published documents	4.1	Pages and combined graphics are ensured and text is composed correctly to suit organisational and task requirements.
	4.2	Numerical sequencing is checked and lay down of document is corrected to meet binding and finishing requirements.
	4.3	Bleed allowance is incorporated in margins and borders.
5. Produce desktop published documents	5.1	Text is reviewed for possible errors and omissions and any issues are resolved.
	5.2	Completed document is produced in line with required final output.
	5.3	**Text documents are named and stored** in accordance with organisational requirements and the application is exited without information loss/damage.
	5.4	Text documents are prepared within **designated time lines** and organisational requirements for speed and accuracy.
	5.5	Manuals, user documentation and online help are used to overcome problems with document design and production.

Variable	Range
Ergonomic requirements	May include: • avoiding radiation from computer screens • chair height, seat and back adjustment • document holder • footrest • keyboard and mouse position • lighting • noise minimisation • posture • screen position • workstation height and layout
Work organisation strategies	May include: • exercise breaks • mix of repetitive and other activities • rest periods
Energy and resource conservation techniques	May include: • double-sided paper use • recycling used and shredded paper • re-using paper for rough drafts (observing confidentiality requirements) • utilising power-save options for equipment

Document purpose	May include using: • call outs • captions • concordance files • different odd and even pages • document protection • drawing • forms with fields • hyperlinks • long documents • linked or embedded objects • mail merge data documents • master documents • MS WordArt • multiple headers and footers • multiple sections • multiple users • primary mail merge documents • subdocuments • templates
Final output	May include: • electronic publishing • printed document • professionally printed document • web services
Organisational and task requirements	May include: • company colour scheme • company logo • consistent corporate image • content restrictions • established guidelines and procedures for document production • house styles • master pages • observing copyright legislation • organisation name, time, date, document title, filename or other fields in headers or footers • sheet size • style sheets • templates
Designing	May include: • balance • boxes • colour • columns • diversity • drawing

	• graphics • headings • letter and memo conventions • page layout • photographs • relative positioning of graphics and headings • simplicity • text flow • typeface • typography • white space
Consistency of design	May include: • annotated references • borders • bullet/ number lists • captions • consistency with other business documents • footnotes and endnotes • indentations • kerning and leading • page numbers • spacing • typeface styles and point size
Complex software functions	May include: • data transfer • display features • embedding • exporting • fields • form fields • formulae • importing • index • linking • macros • merge criteria • sort criteria • table of contents • templates
Naming and storing text documents	May include: • authorised access • file or folder names which identify the operator, author, section, date • filing locations • file names according to organisational procedure • file names which are easily identifiable in relation to the content

	• organisational policy for backing up files storage in folders and sub-folders
	• organisational policy for filing hard copies of documents
	• security and password protection
	• storage on disk drives, CD-ROM, USBs, tape or server back-up
Designated time lines	May include:
	• time line agreed with internal or external client
	• time line agreed with supervisor or person requiring document
	• organisational time line e.g. deadline requirements

Evidence Guide	
Critical Aspects of Competence	Must demonstrate knowledge and skills competence to:
	• applying document design and layout principles
	• Producing complex desktop published documents.
Underpinning Knowledge and Attitudes	Demonstrate knowledge of:
	• formatting styles and their effect on formatting, readability and appearance of documents
	• organisational requirements for ergonomics, work periods and breaks, and energy and resource conservation techniques
	• purposes, uses and functions of desktop publishing software
	• Organisational style guide.
Underpinning Skills	Demonstrate skills of:
	• communication skills to clarify requirements of documents
	• culturally appropriate communication skills to relate to people from diverse backgrounds and people with diverse abilities
	• editing and proofreading skills to check own work for accuracy against original
	• keyboarding skills to enter text and numerical data
	• literacy skills to read and understand organisation's procedures and to use models or exemplars to produce a range of documents
	• Problem-solving skills to edit documents and to resolve issues of consistency of design.
Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through:
	• Interview / Written Test
	• Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Business Governance Service Level IV	
Unit Title	**Plan and Organize Work**
Unit Code	**TRD BGS4 11 0714**
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 **Objectives** are planned 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 **Resources** are allocated as per requirements of the activity.
	2.5 **Schedule of work activities** is coordinated with personnel concerned.
3. Implement work plans	3.1 **Work methods and practices** are identified in consultation with personnel concerned.
	3.2 **Work plans** are implemented in accordance with set time frames, resources and **standards.**
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.
	4.5 Timeliness of report is observed.

	4.6 Files are established and maintained in accordance with standard operating procedures.
5. Review and evaluate work plans and activities	5.1 Work plans, strategies and implementation are reviewed based on accurate, relevant and current information.
	5.2 Review is done based on comprehensive consultation with appropriate personnel on outcomes of work plans and reliable feedback.
	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.
	5.4 Performance appraisal is conducted in accordance with organization rules and regulations.
	5.5 Performance appraisal report is prepared and documented regularly as per organization requirements.
	5.6 Recommendations are prepared and presented to **appropriate personnel/authorities**.
	5.7 **Feedback mechanisms** are implemented in line with organization policies.

Variable	Range
Objectives	May include but not limited to: • Specific • General
Resources	May include but not limited to: • Personnel • Equipment and technology • Services • Supplies and materials • Sources for accessing specialist advice • Budget
Schedule of work activities	May include but not limited to: • Daily • Work-based • Contractual Regular
Work methods and practices	May include but not limited to: • Legislated regulations and codes of practice • Industry regulations and codes of practice • Occupational health and safety practices
Work plans	May include but not limited to: • Daily work plans • Project plans • Program plans • Resource plans • Skills development plans • Management strategies and objectives
Standards	May include but not limited to: • Performance targets • Performance management and evaluation systems • Occupational standards • Employment contracts • Client contracts • Discipline procedures • Workplace assessment guidelines • Internal quality assurance • Internal and external accountability and auditing requirements • Training Regulation Standards • Safety Standards

Appropriate personnel/ authorities	May include but not limited to:
	• Appropriate personnel include:
	  ➢ Management
	  ➢ Line Staff

Feedback mechanisms	May include but not limited to: • Verbal feedback • Informal feedback • Formal feedback • Questionnaire • Survey • Group discussion

Evidence Guide	
Critical Aspects of Competence	Demonstrates skills and knowledge to: • set objectives • plan and schedule work activities • implement work plans • monitor work activities • review and evaluate work plans and activities
Underpinning Knowledge and Attitudes	Demonstrates knowledge of: • organization's strategic plan, policies rules and regulations, laws and objectives for work unit activities and priorities • organizations policies, strategic plans, guidelines related to the role of the work unit • team work and consultation strategies
Underpinning Skills	Demonstrates skill to: • plan • lead • organize • coordinate • communicate • inter-and intra-person/motivation skills • present
Resource Implications	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Business Governance Service Level IV	
Unit Title	**Migrate to New Technology**
Unit Code	**TRD BGS4 12 0714**
Unit Descriptor	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	1.1 Situations are identified where existing knowledge can be used as the basis for developing new skills.
	1.2 New or upgraded technology skills are acquired and used to enhance learning.
	1.3 New or upgraded equipment are identified, classified and used where appropriate, for the benefit of the organization.
2. Apply functions of technology to assist in solving organizational problems	2.1 Testing of new or upgraded equipment is conducted according to the specification manual.
	2.2 Features of new or upgraded equipment are applied within the organization
	2.3 Features and functions of new or upgraded equipment are used for solving organizational problems
	2.4 Sources of information relating to new or upgraded equipment are accessed and used
3. Evaluate new or upgraded technology performance	3.1 New or upgraded equipment is evaluated for performance, usability and against OHS standards**.**
	3.2 ***Environmental considerations*** are determined from new or upgraded equipment.
	3.3 ***Feedback*** is sought from users where appropriate.

Variables	Range
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 but is not limited to: • surveys, • questionnaires, • interviews and meetings

Evidence Guide	
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	Demonstrate knowledge of: • Broad awareness of current technology trends and directions in the industry (e.g. systems/procedures, services, new developments, new protocols) • Knowledge of vendor product directions • Ability to locate appropriate sources of information regarding metal manufacturing and new technologies • Current industry products/services, procedures and techniques with knowledge of general features • Information gathering techniques
Underpinning Skills	Demonstrate skills of: • Research skills for identifying broad features of new technologies • Ability to assist in the decision making process • Literacy skills in regard to interpretation of technical manuals • Ability to solve known problems in a variety of situations and locations • Evaluate and apply new technology to assist in solving organizational problems • General analytical skills in relation to known problems
Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Business Governance Service Level IV	
Unit Title	**Establish Quality Standards**
Unit Code	**TRD BGS4 13 0714**
Unit Descriptor	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 ***sourced*** and ***legislated requirements*** identified.
	1.2 Quality specifications are 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 are developed to monitor the effectiveness of quality assurance procedures.
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 ***safety procedures***.
5. Monitor quality of work outcome	5.1 Quality requirements are identified
	5.2 Inputs are inspected to confirm capability to meet quality requirements

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

Variable	Range
Sourced	May include but is not limited to: • End-users • Customers or stakeholders
Legislated requirements	May include but is not limited to: • Verification of product quality as part of consumer legislation or specific legislation related to product content or composition.
Safety procedures.	May include but is not limited to: • Use of tools and equipment for fabrication/production/ manufacturing works • Workplace environment and handling of material safety, • Following occupational health and safety procedures designated for the task • Respect the policies, regulations, legislations, rule and procedures for manufacturing/production/fabrication works

Evidence Guide	
Critical Aspect of Competence	Demonstrates skills and knowledge to: • Monitor quality of work • Establish quality specifications for product • Participate in maintaining and improving quality at work • Identify hazards and critical control points in the production of quality product • Assist in planning of quality assurance procedures • Report problems that affect quality • Implement quality assurance procedures
Underpinning Knowledge	Demonstrates knowledge of: • work and product quality specifications • quality policies and procedures • improving quality at work • hazards and critical points of operation • obtaining and using information • applying federal and regional legislation within day-today work activities • accessing and using management systems to keep and maintain accurate records • requirements for correct preparation and operation • technical writing
Underpinning Skills	Demonstrates skills to: • monitor quality of work • establish quality specifications for product • participate in maintaining and improving quality at work • identify hazards and critical control points in the production of quality product • assist in planning of quality assurance procedures • report problems that affect quality • implement quality assurance procedures
Resource Implications	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Business Governance Service Level IV	
Unit Title	**Develop Individuals and Team**
Unit Code	**TRD BGS4 14 0714**
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	1.1 **Learning and development needs** are systematically identified and implemented in line with **organizational requirements** 1.2 Learning plan to meet individual and group training and developmental needs is collaboratively developed and implemented 1.3 Individuals are encouraged to self-evaluate performance and identify areas for improvement 1.4 **Feedback on performance** of team members is collected from relevant sources and compared with established team learning process
2. Foster individual and organizational growth	2.1 Learning and development program goals and objectives are identified to match the specific knowledge and skills requirements of Competence standards 2.2 **Learning delivery methods** are made appropriate to the learning goals, the learning style of participants and availability of equipment and resources 2.3 Workplace learning opportunities and coaching/ mentoring assistance are provided to facilitate individual and team achievement of competencies 2.4 Resources and timelines required for learning activities are identified and approved in accordance with organizational requirements
3. Monitor and evaluate workplace learning	3.1 Feedback from individuals or teams is used to identify and implement improvements in future learning arrangements 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 3.3 Modifications to learning plans are negotiated to improve the efficiency and effectiveness of learning 3.4 Records and reports of competence are maintained within organizational requirement
4. Develop team commitment and cooperation	4.1 Open communication processes to obtain and share information is used by team 4.2 Decisions are reached by the team in accordance with its agreed roles and responsibilities

	4.3 Mutual concern and camaraderie are developed in the team
5. Facilitate accomplishment of organizational goals	5.1 Team members are actively participated in team activities and communication processes
	5.2 Individual and joint responsibility is developed by teams members for their actions
	5.3 Collaborative efforts are sustained to attain organizational goals

Variable	Range
Learning and development needs	May include but is not limited to: • Coaching, monitoring and/or supervision • Formal/informal learning program • Internal/external training provision • Work experience/exchange/opportunities • Personal study • Career planning/development • Performance evaluation • Workplace skills assessment • Recognition of prior learning
Organizational requirements	May include but is not limited to: • Quality assurance and/or procedures manuals • Goals, objectives, plans, systems and processes • Legal and organizational policy/guidelines and requirements • Safety policies, procedures and programs • Confidentiality and security requirements • Business and performance plans • Ethical standards • Quality and continuous improvement processes and standards
Feedback on performance	May include but is not limited to: • Formal/informal performance evaluation • Obtaining feedback from supervisors and colleagues • Obtaining feedback from clients • Personal and reflective behavior strategies • Routine and organizational methods for monitoring service delivery
Learning delivery methods	May include but is not limited to: • On the job coaching or monitoring • Problem solving • Presentation/demonstration • Formal course participation • Work experience and involvement in professional networks • Conference and seminar attendance

Evidence Guide	
Critical Aspects of Competence	Demonstrates skills and knowledge to: • identify and implement learning opportunities for others • give and receive feedback constructively • facilitate participation of individuals in the work of the team • negotiate plans to improve the effectiveness of learning • prepare learning plans to match skill needs • access and designate learning opportunities

Underpinning Knowledge and Attitude	Demonstrates knowledge of: • coaching and monitoring principles • understanding how to work effectively with team members who have diverse work styles, aspirations, cultures and perspective • understanding how to facilitate team development and improvement • understanding methods and techniques to obtain and interpreting feedback • understanding methods for identifying and prioritizing personal development opportunities and options • knowledge of career paths and competence standards in the industry
Underpinning Skills	Demonstrates skills to: • read and understand 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 • communicate including receiving feedback and reporting, maintaining effective relationships and conflict management • plan and organize required resources and equipment to meet learning needs • coach and mentor skills to provide support to colleagues • report to organize information; assess information for relevance and accuracy; identify and elaborate on learning outcomes • facilitate and conduct small group training sessions • relate to people from a range of social, cultural, physical and mental backgrounds
Resource Implications	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Business Governance Service Level IV	
Unit Title	**Utilize Specialized Communication Skills**
Unit Code	**TRD BGS4 15 0714**
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 **Strategies** 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 made 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 made consistent with organizational standards 3.6 Inquiries are responded in a manner consistent with organizational standard

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

Variable	Range
Strategies	May include but is not limited to: • Recognizing own limitations • Utilizing techniques and aids • Providing written drafts • Verbal and non verbal communication
Effective group interaction	May include but is not limited to: • Identifying and evaluating what is occurring within an interaction in a non-judgmental way • Using active listening • Making decision about appropriate words, behavior • Putting together response which is culturally appropriate • Expressing an individual perspective • Expressing own philosophy, ideology and background and exploring impact with relevance to communication
Interview situations	May include but is not limited to: • Establish rapport • obtain facts and information • Facilitate resolution of issues • Develop action plans • Diffuse potentially difficult situation
Types of Interview	May include but is not limited to: • Related to staff issues • Routine • Confidential • Evidential • Non-disclosure • Disclosure

Evidence Guide	
Critical Aspects of Competence	Demonstrates skills and knowledge to: • Demonstrate effective communication skills with clients and work colleagues accessing service • Adopt relevant communication techniques and strategies to meet client particular needs and difficulties
Underpinning Knowledge and Values	Demonstrates knowledge of: • communication process • dynamics of groups and different styles of group leadership • communication skills relevant to client groups

Underpinning Skills	Demonstrates skills of:
	• full range of communication techniques including:
	  ➢ active listening
	  ➢ feedback
	  ➢ interpretation
	  ➢ role boundaries setting
	  ➢ negotiation

	> establishing empathy > communication strategies • communicate to fulfil job roles as specified by the organization
Resource Implications	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Business Governance Service Level IV	
Unit Title	Manage Micro, Small and Medium Enterprises (MSMEs)
Unit Code	TRD BGS4 16 0714
Unit Descriptor	This unit covers knowledge, skills and attitude required in running Micro, Small and Medium enterprises. 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. Develop and communicate Strategic work plan	1.1 The importance of planning is sensitized before acting and about the importance of plans to reduce risks and to inhibit impulsive actions and discussed.
	1.2 The basics of planning and beginning with goal setting are communicated.
	1.3 The achievement of measurable and realistic short-term business objective is addressed.
	1.4 How to develop realistic activities plans and schedule is discussed.
	1.5 **Major components of work plan** are introduced and understood.
	1.6 The importance of constant reviewing their plans is understood by monitoring the results.
2. Identify daily work requirements and Develop effective work habits	2.1 Basic concept about effect working culture is discussed and understood.
	2.2 Different approaches to work culture are developed and understood.
	2.3 Work requirements are identified for a given time period by taking into consideration of **resources** and constraints.
	2.4 Work activities are prioritized based on business needs, requirements and deadlines.
	2.5 If appropriate, work is allocated to relevant staff or contractors to optimize efficiency.
	2.6 Work and personal priorities are identified and a balance is achieved between competing priorities using appropriate **time management strategies**.
	2.7 Input is sought from **internal and external sources** and used to develop and refine new ideas and approaches.
	2.8 Business or inquiries is/are responded to promptly and effectively.
	2.9 Information is presented in a format appropriate to the

	industry and audience.
3. Manage Marketing of MSMEs	3.1 Information on market and business needs is analyzed and market opportunities identified.
	3.2 Marketing mix and components are evaluated.
	3.3 Marketing mix for specific target market is determined.
	3.4 Marketing mix is monitored and continual adjusted against marketing performance.
4. Manage Human Resources	4.1 **Human resource rules, regulations law and procedures** are identified and determined.
	4.2 The existing human resource is audited, and gaps are identified.
	4.3 Recruitment and selection are conducted based on the organizational requirements.
	4.4 Selected candidates are oriented and placed for the appropriate position.
	4.5 Appraisal of employees' performance is conducted.
	4.6 Appraisal result is used for training and development, promotion, compensation, disciplinary measures and other purposes as required.
	4.7 **Employee relations** are maintained.
5. Manage production and Operation	5.1 Production /operation plan is developed and implemented.
	5.2 Required inputs are purchased and adequate inventories maintained.
	5.3 Production /operation process is checked and controlled.
	5.4 Quality control is applied and maintained.
6. Maintain financial records and use for decision making	6.1 The objective and benefits of financial records are discussed and understood.
	6.2 Asset, liabilities and capital are identified and recorded.
	6.3 Balance sheet and different journals are discussed.
	6.4 Business transactions are discussed, analyzed, classified and recorded.
	6.5 Daily financial records are maintained correctly in accordance with legal and accounting requirements.
	6.6 Invoices and payments are prepared and distributed in timely manner and in accordance with legal requirements.
	6.7 Outstanding accounts are collected or followed-up.
	6.8 Revenue, expense and costs are identified and discussed.
	6.9 Different ledgers and subsidiary ledgers are discussed and maintained.

	6.10 Profit and loss report is prepared.
	6.11 Financial interpretation is conducted with assistant from the appropriate person.
	6.12 Financial manual is prepared.
7. Monitor, Manage and Evaluate work performance	7.1 People, resources and/or equipment are coordinated to provide optimum results.
	7.2 Staff, clients and/or contractors are communicated within a clear and regular manner, to monitor work in relation to **business goals** or timelines.
	7.3 **Problem solving techniques** are applied to work situations to overcome difficulties and achieve positive outcomes.
	7.4 Opportunities for improvements are monitored according to business demands.
	7.5 Work schedules are adjusted to incorporate necessary modifications to existing work and routines or changing needs and requirements.
	7.6 Proposed changes are clearly communicated and recorded to aid in future planning and evaluation.
	7.7 Relevant codes of practice are used to guide an ethical approach to workplace practices and decisions.

Variable	Range
Major components of work plan	May include but is not limited to: • Objective • Responsibilities • Resources (human, materials, finance, time, etc) • Activities
Resources	May include but is not limited to: • Human resource • Money • Time • Machines • Equipment • Space

Time management strategies	May include but is not limited to: • Prioritizing and anticipating • Short term and long term planning and scheduling • Creating a positive and organized work environment • Clear timelines and goal setting that is regularly reviewed and adjusted as necessary • Breaking large tasks into smaller tasks • Getting additional support if identified and necessary
Internal and external sources	May include but is not limited to: • Staff and colleagues • Management, supervisors, advisors or head office • Relevant professionals such as lawyers, accountants, management consultants • Professional associations
Human resource rules , regulations law and procedures	May include but is not limited to: • Recruitment and selection • Orientation and placement • Training and development • Performance appraisal and reward system • Disciplinary procedures • Movement and separation • Industrial relation
Employee relations	May include but is not limited to: • Relationship within employees • Relationship among employees and management and labor union • Relationship between labor union and government
Business goals	May include but is not limited to: • Sales targets • Budgetary targets • Team and individual goals • Production targets • Reporting deadlines
Problem solving techniques	May include but is not limited to: • Brainstorming • Fish bone • Focus group discussion • Problem tree

Evidence Guide	
Critical Aspects of Competence	A person must be able to demonstrate: • Ability to identify daily work requirements and allocate work appropriately • Ability to interpret financial documents in accordance with legal requirements • The ability to prepare strategic plan • The ability to develop effective work habit • The ability to manage marketing of MSEs • The ability to manage human resources of MSEs • the ability to manage production/operation of MSEs • The ability to maintain financial records of MSEs • The ability to manage, monitor and evaluate work performance of MSMEs
Underpinning Knowledge and Attitudes	Demonstrate knowledge of: • Strategic plan • Working culture • Time management strategy • Marketing Mix • Relevant marketing, operation/production, human resource and financial management • Human resource functions • Production/operation functions • Monitoring and evaluation • Problem solving techniques • 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 • Relevant industry code of practice • Planning techniques to establish realistic timelines and priorities • Identification of relevant performance measures • Quality assurance principles and methods
Underpinning Skills	Demonstrate skills to: • Technical or specialist skills relevant to the business operation • Interpret legal requirements, company policies and procedures and immediate, day-to-day demands • Strategic planning skills • Human relation skills • Communicate using questioning, clarifying, reporting, and giving and receiving constructive feedback • Numeracy skills for performance information, setting targets and interpreting financial documents and reports • Technical skills to interpret business document, reports and financial statements and projections • Relate to people from a range of social, cultural and ethnic backgrounds and physical and mental abilities • Solve problem and develop contingency plans

	• Using computers and software packages to record and manage data and to produce reports • Evaluate using assessment work and outcomes • Observe for identifying appropriate people, resources and to monitor work
Resource Implications	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Business Governance Service Level IV	
Unit Title	**Apply Problem Solving Techniques and Tools**
Unit Code	**TRD BGS4 17 0714**
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.	1.1 **Safety requirements** are followed in accordance with safety plans and procedures.
	1.2 All possible problems related to the process /Kaizen elements are listed using **statistical tools and techniques**.
	1.3 All possible problems related to kaizen elements are identified and listed on Visual Management Board/Kaizen Board.
	1.4 Problems are classified based on obviousness of cause and action.
	1.5 Critical factors like the number of customers affected, Potentials for bottlenecks, and number of complaints etc… is selected.
	1.6 Problems related to priorities of **Kaizen Elements** are given due emphasis and selected.
2. Grasp current status and set goal.	2.1 The extent of the problem is defined.
	2.2 Appropriate and achievable goal is set.
3. Establish activity plan.	3.1 The problem is confirmed.
	3.2 High priority problem is selected.
	3.3 The extent of the problem is defined.
	3.4 Activity plan is established as per **5W1H**.
4. Analyze causes of a problem.	4.1 All possible causes of a problem are listed.
	4.2 Cause relationships are analyzed using**4M1E**.
	4.3 Causes of the problems are identified.
	4.4 Root causes are selected.
	4.5 The root cause which is most directly related to the problem is selected.
	4.6 All possible ways are listed using **creative idea generation** to eliminate the most critical root cause.
	4.7 The suggested solutions are carefully tested and evaluated for potential complications.

	4.8	Detailed summaries of the action plan are prepared to implement the suggested solution.
5. Examine countermeasures and their implementation.	5.1	Action plan is implemented by **medium KPT** members.
	5.2	Implementation is monitored according to the agreed procedure and activities are checked with preset plan.
6. Assess effectiveness of the solution.	6.1	**Tangible and intangible results** are identified.
	6.2	The results are verified over time.
	6.3	Tangible results are compared with targets using **various types of diagram**.
7. Standardize and sustain operation.	7.1	If the goal is achieved, the new procedures are standardized and made part of daily activities.
	7.2	All employees are trained on the new **Standard Operating Procedures (SOPs)**.
	7.3	SOP is verified and followed by all employees.
	7.4	The next problem is selected to be tackled by the team.

Variables	Range
Safety requirements	may include but not limited to: • OHS requirements include legislation, material safety, managements system, hazardous substances and dangerous goods code and local safe operating procedures • Work is carried out in accordance with legislative obligations, environmental legislations, relevant health regulation, manual handling procedure and organization insurance requirements

Statistical tools and techniques	may include but not limited to:
	• 7 QC tools may include:
	  ➢ Stratification
	  ➢ Pareto Diagram
	  ➢ Cause and Effect Diagram
	  ➢ Check Sheet
	  ➢ Control Chart/Graph
	  ➢ Histogram
	  ➢ Scatter Diagram
	• QC techniques may include:
	  ➢ Brain storming
	  ➢ Why analysis
	  ➢ What if analysis
	  ➢ 5W1H

Kaizen Elements	may include but not limited to: • Quality • Cost • Productivity • Delivery • Safety • Moral • Environment • Gender equality
5W1H	may include but not limited to: • Who: person in charge • Why: objective • What: item to be implemented • Where: location • When: time frame • How: method
4M1E	may include but not limited to: • Man • Machine • Method • Material and • Environment
Creative idea	may include but not limited to:

generation	• Brainstorming • Exploring and examining ideas in varied ways • Elaborating and extrapolating • Conceptualizing
Medium KPT	may include but not limited to: • 5S • 4M (machine, method, material and man) • 4P (Policy, procedures, People and Plant) • PDCA cycle • Basics of IE tools and techniques

Tangible and intangible results	may include but not limited to:
	• Tangible result may include:
	   ➢ Quantifiable data
	• Intangible result may include:
	   ➢ Qualitative data

Various types of diagram	may include but not limited to: • Line graph • Bar graph • Pie-chart • Scatter diagram • Affinity diagram
Standard Operating Procedures (SOPs)	may include but not limited to: • The customer demand • The most efficient work routine (steps) • The cycle times required to complete work elements • All process quality checks required to minimize defects/errors • The exact amount of work in process required

Evidence Guide	
Critical Aspects of Assessment	Demonstrates skills and knowledge competencies to: • Apply all relevant procedures and regulatory requirements to ensure quality and productivity of an organization. • Detect non-conforming products/services in the work area • Apply effective problem solving approaches/strategies. • Implement and monitor improved practices and procedures • Apply statistical quality control tools and techniques.
Underpinning Knowledge and Attitude	Demonstrates knowledge of: • QC story/PDCA cycle/ • QC story/ Problem solving steps • QCC techniques • 7 QC tools • Basic IE tools and techniques. • SOP • Quality requirements associated with the individual's job

	function and/or work area
	• Workplace procedures associated with the candidate's regular technical duties
	• Relevant health, safety and environment requirements
	• organizational structure of the enterprise
	• Lines of communication
	• Methods of making/recommending improvements.
	• Reporting procedures
Underpinning Skills	Demonstrates skills to:
	• Apply problem solving techniques and tools
	• Apply statistical analysis tools
	• Apply Visual Management Board/Kaizen Board.
	• Detect non-conforming products or services in the work area
	• Document and report information about quality, productivity and other kaizen elements.
	• Contribute effectively within a team to recognize and recommend improvements in quality, productivity and other kaizen elements.
	• Implement and monitor improved practices and procedures.
	• Organize and prioritize activities and items.
	• Read and interpret documents describing procedures
	• Record activities and results against templates and other prescribed formats.
Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through:
	• Interview / Written Test
	• Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

NTQF Level V

Occupational Standard: Business Governance Service Level V	
Unit Title	**Develop Business Continuity Strategy**
Unit Code	**TRD BGS5 01 0714**
Unit Descriptor	This unit describes the performance outcomes, skills and knowledge required to develop business continuity plans, processes and tools. Business continuity is the stage between a crisis occurring and the implementation of a disaster recovery plan. It is aimed at keeping as many of the business critical operations operating as possible during this period. Competence in this unit requires the development of a business continuity plan that will allow an organisation to continue operating, even if in a diminished capacity or only through business critical functions, until functionality is restored. It also requires analysis, planning, risk assessment and communication. This unit applies to business continuity planning in small, medium and large organisations.

Elements	Performance Criteria
1. Evaluate the impact of the situation on business operations	1.1 Immediate **impact** of situation on business operations is evaluated.
	1.2 **Business functions** that are potentially impacted are identified.
	1.3 Timing is likely determined and will be restored before normal operations.
	1.4 Stakeholders are defined and agreed with the parameters (timings) that will determine employment of **disaster recovery procedures**.
	1.5 Affected parties and stakeholders are liaised and consulted.
2. Identify business critical functions that must continue	2.1 **Business imperatives** that must be addressed or continued are determined.
	2.2 **Practical options** are considered to maintain business critical operations.
	2.3 All major stakeholders are consulted and priorities are agreed.
3. Develop plan to maintain business critical operations	3.1 Available **back-up facilities** or systems are determined.
	3.2 How business critical functions can be continued is mapped using a modified approach.
	3.3 Resourcing requirements are evaluated.
	3.4 Occupational Health and Safety (OHS) requirements are considered in the formation of plan.

	3.5	Need for a communication plan to be developed is determined and implemented and plan is documented as required.
	3.6	Plan is communicated to stakeholders.
4. Develop plan to update enterprise systems or information when systems become available	4.1	The impact of modified operations on organisational information systems is evaluated.
	4.2	Resources required to input manually collected data into systems and complete **follow-up action** are determined.
	4.3	Stakeholders are worked with to consider **downstream impacts**.
	4.4	Communication plan is developed to ensure all stakeholders are informed on status.
5. Evaluate organisational performance reports	5.1	Effectiveness of business continuity activities is evaluated.
	5.2	Stakeholder feedback is sought.
	5.3	Areas are determined for improvement.
	5.4	Business continuity plan documentation is modified by incorporating improvement areas.

Variable	Range
Impacts	May include: • damage to facilities • loss of communications • loss of key staff • loss of systems • Trauma to staff.
Business functions	May include: • despatch of field staff • input of data • provision of services • responding to customer contact • Services and products the organisation normally provides.
Disaster recovery procedures	May include: • relocation to alternative site • restoration of facility • Restoration of technology and data.
Business imperatives	May include: • core functions that have significant impact on customers and organisation • functions determined as priority by organisation • Functions required by statutory, regulatory or legislative requirements.
Practical options	May include: • communication plan • manual recording and processing of transactions

	• recorded messages on Interactive Voice Response (IVR)
	• responding to generic questions from available information
	• taking messages and call back requests
	• Transferring activity to alternative site.
Back-up facilities	May include:
	• alternative site
	• Uninterrupted Power Supply (UPS) - back-up power.
Follow-up action	May include:
	• call back or response to contact
	• data entry of transactions
	• Enquiry investigation and resolution.
Downstream impacts	May include:
	• impact on competitive position
	• impact on billing and cash flow
	• negative media attention
	• not achieving statutory, regulatory, legislative or organisational requirements
	• Possible negative reaction by customers.

Evidence Guide	
Critical Aspects of Competence	Must demonstrate knowledge and skills competence to:
	• develop, implement and review business continuity planning
	• Demonstrate knowledge of organisational, statutory, regulatory and legislative requirements.
Underpinning Knowledge and Attitudes	Demonstrate knowledge of:
	• emergency procedures for site and organisation
	• infrastructure employed in a business environment, including facilities, technology, resources and systems
	• key personnel within workplace management structure
	• OHS requirements in the workplace
	• organisational crisis management and disaster recovery plans
	• organisational, statutory, regulatory and legislative requirements
	• organisation's expectations in relation to continuity of key business activities in time of crisis or incident
	• principles of contingency planning
	• Stress-management techniques.
Underpinning Skills	Demonstrate skills of:
	• analytical skills to:
	➢ analyse relevant workplace information and data
	➢ develop and present reports or presentations that deal with complex ideas and concepts
	➢ incorporate observations of workplace tasks and interactions between people, their activities, equipment, environment and systems in relevant business strategies

	• communication and negotiation skills to:
	   ➢ articulate information and ideas clearly
	   ➢ effectively and calmly communicate with people at all levels during a time of crisis
	• leadership skills to gain trust and confidence of colleagues and stakeholders
	• project planning skills to develop and execute potentially complex business continuity planning
	• research skills to undertake the necessary background research for the plan
	• risk assessment and management skills to consider and mitigate key risks in the development of the plan
	• self management skills to:
	   ➢ comply with policies and procedures
	   ➢ seek learning and development opportunities
	• stress-management skills to work effectively and positively under the pressure of a major incident or situation in the workplace
	• Technology skills to understand complex information technology issues in the work environment.

Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Business Governance Service Level V	
Unit Title	**Meet Statutory and Organisation Information Requirements**
Unit Code	**TRD BGS5 02 0714**
Unit Descriptor	This unit describes the knowledge and skills required to ensure effectiveness and efficiency of the organisation's information system.

Elements	**Performance Criteria**	
1. Identify information requirements	1.1	Information requirements are identified in relation to organisation and worker goals, objectives and expected outcomes.
	1.2	Data on information needs are collected, analysed and prepared in ways to inform decision –making.
2. Review options for systems to obtain information	2.1	Sources of information are identified and periodically evaluated.
	2.2	Options for **information systems** are identified, evaluated and prepared to contribute to users' development.
	2.3	**Financial and technological resources required** for systems are identified and evaluated.
3. Establish and manage systems to record and store information	3.1	Methods used are periodically re-evaluated to record and store **information** for effectiveness, efficiency, security and integrity and new methods are introduced as necessary.
	3.2	Any substantial breakdowns are analysed in methods of recording, storing and accessing information for cause and effect and corrective action is taken.
	3.3	**Systems are established** and implemented to ensure availability of information especially for direct use of clients.
	3.4	Validity and usefulness of information are monitored and appropriate actions taken for disposal or storage
4. Support and supervise the development of information and educational resources	4.1	Content and format guidelines are developed in consultation with clients and other stakeholders to guide production of education and information resources.
	4.2	Appropriate expertise is recruited to develop designated information and education resources.
	4.3	Opportunities are established for information users to monitor and advise on ongoing development of information and education resources.
5. Provide staff	5.1	Staff training needs are determined in relation to systems

	for information acquisition, recording and storage, and for preparing educational resources.
training	5.2 Training or retraining is organized in accordance with the units of competency required; training needs analysis and organisation policy.

Variable	Range
Information systems	May include: • Management of a work unit/major program area established by: • Common wealth and state legislation • Organisation policy and procedures • Relevant program standards • Informal and formal arrangements with government, non-government and other service providers to obtain information relating to clients and services • Computer based recording systems • Electronic banking
Financial and technological resources required	May include: • Manual filing systems • Computerised filing software and hardware
Information requirements	May include: • Monitoring work output and relationship with obtaining outcomes, assessing availability of statistics to assist in monitoring workload, setting up dialogue with workers/supervisors about how to improve work practices through the use of information technology
Establishing systems	May include: • Assessing available technology and its application to work practices • Identifying and preparing submissions for resources needed for new systems • Identifying training needs associated with implementation of new systems and either developing training to support this or investigation of possible training service providers

Evidence Guide	
Critical Aspects of Competence	Must demonstrate knowledge and skills competence to: • The individual being assessed must provide evidence of specified essential knowledge as well as skills • This unit is most appropriately assessed in the workplace or in a simulated workplace and under the normal range of workplace conditions This may include the use of languages other than English and alternative communications systems

	• Assessment must include all aspects of managing the organisation's information systems in the workplace
Underpinning Knowledge and Attitudes	Demonstrate knowledge of: • Application of information technology • Workload analysis models/systems • Operations of the agency • Relevant policy and procedures and work systems • Systems analysis models/theories • Relevant legislation relating to organisation and statutory information requirements • Range of current and emerging information technology relevant to addressing organisation information requirements • Consultation processes and techniques • Communication dissemination models application of information technology • Workload analysis models/systems • Operations of the agency • Relevant policy and procedures and work systems • Systems analysis models/theories • Relevant legislation relating to organisation and statutory information requirements • Range of current and emerging information technology relevant to addressing organisation information requirements • Consultation processes and techniques • Communication dissemination models
Underpinning Skills	Demonstrate skills to: • Assess information requirements for an organisation or department • Design work systems that integrate technology and address organisation and statutory information requirements • Design training processes to support introduction of new technology in work practices • Demonstrate knowledge of applicable agency and legislative requirements processes listed in the Range Statement • In addition, the candidate must be able to effectively do the task outlined in elements and performance criteria of this unit, manage the task and manage contingencies in the context of the identified work role • Demonstrate application of skills in: ➢ assessment of information needs

	➢ analysis
	➢ planning
	➢ consultation/facilitation
	➢ report writing
	➢ running reviews
	➢ accessing/researching current emerging technology
	➢ marketing technology
	➢ communication/dissemination strategies
	• Utilise relevant information technology effectively in line with Work Health and Safety (WHS) guidelines
Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Business Governance Service Level V	
Unit Title	**Manage Quality Customer Service**
Unit Code	**TRD BGS5 03 0714**
Unit Descriptor	This unit describes the performance outcomes, skills and knowledge required to develop strategies to manage organisational systems that ensure products and services delivered and maintained to standards agreed by the organisation. Operators may have staff involved in delivering customer service and are responsible for the quality of their work. In many instances the work will occur within the organisation's policies and procedures framework. At this level, the exercise of considerable discretion and judgement, using a range of problem solving and decision making strategies, will be required. Many managers are involved in ensuring that products and services are delivered and maintained to standards agreed by the organisation.

Elements	Performance Criteria
1. Plan to meet internal and external customer requirements	1.1 The needs of **customers** are investigated, identified, assessed and included in planning processes. 1.2 Plans that achieve the **quality**, time and cost specifications are agreed with customers.
2. Ensure delivery of quality products and services	2.1 **Products and services** are delivered to customer specifications within organisation's business plan 2.2 Team performance is monitored consistently to meet the organisation's quality and delivery standards. 2.3 Colleagues are assisted to overcome difficulty in meeting customer service standards.
3. Monitor, adjust and review customer service	3.1 **Strategies** are developed and used to monitor progress in achieving product and/or service targets and standards. 3.2 Strategies are developed and used to obtain customer feedback and improve the provision of products and services. 3.3 **Resources** are developed, procured and used effectively to provide quality products and services to customers. 3.4 Decisions are made to overcome problems and adapt customer services, products and service delivery in consultation with appropriate individuals and groups. 3.5 Records, reports and recommendations are managed within the organisation's systems and processes.

Variable	Range
Customers	May be: • Board members • clients, purchasers of services • co-workers, peers and fellow frontline managers • members of the general public who make contact with the organisation, such as prospective purchasers of services • potential funding bodies • supervisors • Suppliers of goods and services and contractors providing goods and services.
Quality	May refer to: • Characteristics of a product, system, service or process that meet the requirements of customers and interested parties.
Products and services	May include: • either products or services • goods • ideas • infrastructure • Private or public sets of benefits.
Strategies	May refer to: • databases and other controls to record and compare data over time • electronic feedback mechanisms using intranet, internet and email • feedback forms and other devices to enable communication from customers • long-term or short-term plans for monitoring achievement and evaluating effectiveness • policies and procedures • questionnaires, survey and interviews • Training and development activities.
Resources	May include: • buildings/facilities • equipment • finance • information • people • power/energy • technology • Time.

Evidence Guide	
Critical Aspects of Competence	Must demonstrate knowledge and skills competence of: • plans, policies or procedures for delivering quality customer service

	• demonstrated techniques in solving complex customer complaints and system problems that lead to poor customer service • Knowledge of techniques for solving complaints.	

Underpinning Knowledge and Attitudes	Demonstrate knowledge of:
	• key provisions of relevant legislation from all levels of government that may affect aspects of business operations, such as:
	  ➢ anti-discrimination legislation
	  ➢ Ethiopian consumer law
	  ➢ ethical principles
	  ➢ codes of practice
	  ➢ privacy laws
	  ➢ financial legislation
	  ➢ Occupational Health and Safety (OHS)
	• organisational policy and procedures for customer service including handling customer complaints
	• service standards and best practice models
	• public relations and product promotion
	• techniques for dealing with customers, including customers with specific needs
	• techniques for solving complaints including the principles and techniques involved in the management and organisation of:
	  ➢ customer behaviour
	  ➢ customer needs research
	  ➢ customer relations
	  ➢ ongoing product and/or service quality
	  ➢ problem identification and resolution
	  ➢ quality customer service delivery
	  ➢ record keeping and management methods
	  ➢ strategies for monitoring, managing and introducing ways to improve customer service relationships
	  ➢ Strategies to obtain customer feedback	

Underpinning Skills	Demonstrate skills of:
	• analytical skills to identify trends and positions of products and services
	• communication skills to:
	  ➢ coach and mentor staff and colleagues
	  ➢ monitor and advise on customer service strategies
	• literacy skills to:
	  ➢ edit and proofread texts to ensure clarity of meaning and accuracy of grammar and punctuation	

	➢ prepare general information and papers according to target audience
	➢ read and understand a variety of texts
	• problem solving skills to:
	➢ deal with customer enquiries or complaints
	➢ deal with complex and non-routine difficulties
	• technology skills to select and use technology appropriate to a task
	• self management skills to:
	➢ comply with policies and procedures
	➢ consistently evaluate and monitor own performance
	➢ Seek learning opportunities.
Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Business Governance Service Level V	
Unit Title	**Apply Legal Principles in Wills and Probate Matters**
Unit Code	**TRD BGS5 04 0714**
Unit Descriptor	This unit describes the performance outcomes, skills and knowledge required to apply legal principles in wills and probate matters, including preparing wills, powers of attorney and deceased estate documentation. A range of legislation, rules, regulations and codes of practice may apply to this unit at the time of endorsement, depending on job roles and jurisdictions. This unit applies to individuals who apply knowledge of legal principles in wills and probate matters when preparing documentation. Its application in the workplace will be determined by the job role of the individual and the legislation, rules, regulations and codes of practice relevant to different jurisdictions.

Elements	Performance Criteria
1. Identify laws and principles of wills and probate law	1.1 **Legislation**, **regulations and policies** relevant to wills, probate and administration are sourced.
	1.2 Key principles are interpreted as they apply to wills, probate and administration matters.
2. Enhance professional practice through application of relevant principles of wills and probate law	2.1 **Relevant information** is established in the context of the particular matter.
	2.2 **Client's needs**, testamentary, solicitor, deceased estate instructions and other details obtained are met.
3. Prepare and execute documentation	3.1 **Documentation** is drafted according to instructions of **designated individual**.
	3.2 Documentation is forwarded to designated individual for review and sign off in accordance with **organisation's policies and procedures**.
4. Process documentation	4.1 Documents are despatched to **appropriate agencies** according to instructions.
	4.2 Types of costs are determined in accordance with legislative and regulatory requirements for costing legal services
	4.3 Liaison and communication with the parties are facilitated.
	4.4 Files, noting critical dates and reminders are maintained.

Variable	Range
Legislation, regulations and policies	Relevant to will and probates may include: • state legislation • Government regulations and policies.
Relevant information	May include: • fees to be charged • information on available options • legislative requirements • organisational policies and procedures • roles and responsibilities of parties involved, e.g. solicitor, client, and personal trust officer • Taxation issues.
Client's needs	May include: • appointment of executor • custody and guardianship of minor children • details concerning assets and liabilities • details of beneficiaries • information held by notaries • legal and medical opinion • Testamentary capacity.
Documentation	May include: • letters of administration documentation • powers of attorney • probate documentation • Wills.
Designated individual	May include: • government representative or other individual charged with legal responsibilities related to wills and probate • legal manager • lawyer and legal advisors • practice manager • qualified legal practitioner • registrar of the Supreme Court (probate division) • Supervisor.
Organisation's policies and procedures	May include: • individual procedures adopted by instructing legal practitioner • protocol for accommodating client's needs, e.g. social worker or interpreter • recording information • security, confidentiality and privacy procedures • use of precedent bank • Verifying and authorising information.
Appropriate agencies	May include: • client • government organisations

	• Supreme Court (probate division)
	• Trust corporations.
	• other legal representatives

Evidence Guide	
Critical Aspects of Competence	Must demonstrate knowledge and skills competence to: • treat clients in a sensitive, discreet and professional manner • conduct all work within accepted codes of conduct that apply to the legal profession • apply the law and its consideration as it relates to wills and probate • Prepare appropriate documentation, including wills and probate matters.

Underpinning Knowledge and Attitudes	Demonstrate knowledge of:
	• scope of job role in the context of legislation, regulations and codes of practice in relevant jurisdictions
	• relevant court or tribunal processes, current legislation, legal processes and required documentation
	• organisation's required policies and procedures for the full range of tasks covered
	• legal terminology, including that specific to wills and probate law
	• accepted codes of practice relevant to the workplace including those relation to:
	  ➢ privacy and confidentiality
	  ➢ use of company property
	  ➢ duty of care
	  ➢ ethical behaviour
	  ➢ non-discriminatory practice
	  ➢ conflict of interest
	  ➢ compliance with reasonable direction
	• legislative requirements, which may relate to:
	  ➢ professional practice limitations
	  ➢ relevant commonwealth, state or territory legislation
	  ➢ schedule of fees and duties payable
	  ➢ trust accounts

Underpinning Skills	Demonstrate skills of:
	• communication skills to:
	  ➢ give and interpret instructions
	  ➢ clarify discussions
	  ➢ provide required information
	• literacy skills to:
	  ➢ follow complex legal procedures
	  ➢ complete documentation
	• research skills to:
	  ➢ locate necessary information from external sources

	• identify and evaluate status of information
	• organisational skills to make arrangements and appointments
	• technology skills to:
	    ➢ operate office equipment
	    ➢ use a range of software packages and precedent bank

Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Business Governance Service Level V	
Unit Title	**Integrate Customer Contact Operations in the Organisation**
Unit Code	**TRD BGS5 05 0714**
Unit Descriptor	This unit describes the performance outcomes, skills and knowledge required to integrate the customer contact operations fully within the organisation and to ensure that they maintain a high profile and significance within the organisation. Competence in this unit requires communication and cooperation between customer contact operations and the rest of the business operations. Regular contact, consultation and feedback with the organisation, alignment of objectives, and communication of performance and issues are also required. This unit applies to the integration of customer contact operations into the service and value chains of an organisation. This work is undertaken by staff with managerial responsibility

Elements	Performance Criteria
1. Identify and analyse interdependencies	1.1 **Interdependencies** between contact centre and other departments are identified within the organisation.
	1.2 The degree of interdependence is identified.
	1.3 The flow of transactions and information between other departments and the contact centre is mapped.
2. Analyse value and service chain and identify gaps	2.1 **Value and service chain** model is developed.
	2.2 **Stakeholders** are regularly consulted.
	2.3 Data is collected to support chain continuity and gap identification.
	2.4 Gaps in the value and service chain are identified.
3. Prepare plan to close value and service chain gaps	3.1 Service chain gaps are identified within the control of customer contact operations.
	3.2 Other gaps are communicated to stakeholders and relevant parties.
	3.3 Activities and resources needed are identified to close gaps.
	3.4 An action plan is prepared.
	3.5 A review and feedback processes are established.
	3.6 Internal networks are developed to ensure sound communication across organisation.
4. Integrate market intelligence capture into	4.1 Organisation marketing area or business unit is consulted.
	4.2 Desired market intelligence is identified and agreed.

operations	4.3 Data collection is integrated into contact guidelines.
	4.4 Data capture facilities are integrated into database.
	4.5 Information is integrated into existing contact centre strategy and operations.
5. Report market intelligence to other corporate departments	5.1 Captured intelligence information is retrieved.
	5.2 Market intelligence reports are prepared.
	5.3 Information is communicated to relevant parties in an effective and timely manner.

Variable	Range
Interdependencies	May include: • finance • human resources operations • resourcing • Technology and infrastructure.
Value and service chain	May include: • billing • components of the enterprise infrastructure contributing directly to the supply of goods or services to the customer • credit • customer service • field staff • order fulfilment • Sales support.
Stakeholders	May include: • administration and support • billing • credit and collections • marketing • finance • human resources • strategy and planning • Training.

Evidence Guide	
Critical Aspects of Competence	Must demonstrate knowledge and skills competence to: • analyse interdependencies, and value and service chain • prepare plans to close gaps in value and service chain • integrate and report market intelligence within a customer contact environment • Demonstrate knowledge of compliance policies and requirements applicable to the organisation.
Underpinning	Demonstrate knowledge of:

Knowledge and Attitudes	• analytical methods and techniques, such as:
	   ➢ Strengths, Weaknesses, Opportunities and Threats (SWOT)
	   ➢ balanced scorecard
	   ➢ Return on Investment (ROI)
	   ➢ economic value added
	• compliance policies and requirements applicable to organisation
	• corporate aims and objectives
	• market intelligence and data-gathering principles
	• information technology infrastructure, functionality and reporting capability
	• organisational communication methods
	• organisational structure and reporting lines, including key personnel required to effect change
	• principles of running effective meetings, and recording and distributing minutes
	• Risk assessment and management principles.

Underpinning Skills	Demonstrate skills of:
	• analytical skills to:
	   ➢ analyse workplace information and data
	   ➢ use observations of workplace tasks and interactions between people, their activities, equipment, environment and system
	• communication skills to:
	   ➢ articulate ideas and information
	   ➢ communicate effectively with personnel at all levels
	   ➢ conduct effective formal and informal meetings
	• consultation and negotiation skills to develop, implement and monitor strategies
	• interpersonal skills to:
	   ➢ establish rapport and build relationships with clients, team members and stakeholders
	   ➢ establish relevant networks
	• leadership skills to gain the trust and confidence of colleagues and stakeholders
	• literacy skills to develop reports that deal with complex ideas and concepts
	• numeracy skills to:
	   ➢ carry out statistical analysis
	   ➢ manage budgetary resources
	• planning and organising skills to manage own tasks within required timeframes
	• problem solving skills to create innovative solutions to problems that arise
	• research skills to access relevant information and consider available options
	• risk assessment and management skills to fully consider impacts of existing or new activities

	• self management skills to:
	     ➢ comply with policies and procedures
	     ➢ pay attention to detail when making observations and recording outcomes
	     ➢ seek learning and development opportunities
	 • Technology skills to organise manage and analyse data.

Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Business Governance Service Level V	
Unit Title	**Apply Legal Principles in Corporation Law Matters**
Unit Code	**TRD BGS5 06 0714**
Unit Descriptor	This unit describes the performance outcomes, skills and knowledge required to apply legal principles in corporation law matters, including establishing business structures and preparing associated documentation. A range of legislation, rules, regulations and codes of practice may apply to this unit at the time of endorsement, depending on job roles and jurisdictions. This unit applies to individuals who apply knowledge of a range of principles in corporation law matters. Its application in the workplace will be determined by the job role of the individual and the legislation, rules, regulations and codes of practice relevant to different jurisdictions.

Elements	Performance Criteria
1. Identify laws and principles of corporation law	1.1 Knowledge of corporation law and related **legislation** is sourced.
	1.2 **Different types of business structures** are identified and their structure, personnel, legal obligations, establishment procedures and purpose are clearly outlined.
	1.3 The differences between proprietary companies and public companies are identified and the legal obligations, criteria and purpose of each are clearly outlined.
2. Enhance professional practice through application of relevant corporation law principles to business structures	2.1 **Consequences of incorporation** are identified.
	2.2 Structure, contents and purposes of an organisation's memorandum of association and articles of association are identified.
	2.3 Other **specific activities** relevant to corporation law are identified.
3. Undertake administrative tasks associated with corporation law	3.1 **Forms**, documents and annexure are prepared at the appropriate time, presented to **designated person** for review and signed-off, and lodged with the appropriate government department.
	3.2 Arrangements are made for documents to be despatched, signed and witnessed by **appropriate parties**.
	3.3 Assistance is provided in preparing company prospectus where required.
	3.4 Meetings are arranged as necessary to discuss the nature of debenture and the assets underwriting the charge

	3.5	Appropriate searches are undertaken and **search documents** obtained from **relevant agencies**.
	3.6	**Forms and documents related to the administration of charges** are prepared at the appropriate time, presented to designated person for review and signed-off and lodged with the appropriate government department.
	3.7	Types of costs for legal services are determined in accordance with legislative and regulatory requirements.
	3.8	Arrangements are made for documents to be despatched, signed and witnessed by appropriate parties

Variable	Range
Legislation	May includes that relating to: • area of law • Taxation Office regulations • client and firm • relevant federal corporation law • relevant corporation law • schedules of fees and duties payable • taxation and banking requirements • tort, equity and statute law • Trust accounts.
Different types of business structures	May include: • association • company limited by guarantee • company limited by shares • company limited by shares and guarantee • franchise • holding company • no-liability company • partnerships, including joint ventures, formal and informal • registrable Ethiopian corporation • shelf company • subsidiary company • trusts, including express, discretionary and bare • Unlimited company.
Consequences of incorporation	May relate to: • formalities, publicity and expense • limited liability • perpetual succession • property • separate legal entity • suing and being sued • Transfer of shares.

Specified activities	May relate to: • annual general meeting • auditing • cessation of business • class meeting • extraordinary general meeting • liquidation • statutory meeting • take-overs • Winding up.

Forms	May include:
	• application for:
	   ➢ registration as a company
	   ➢ registration of a business name
	   ➢ reservation of a name
	• notice of resolution
	• notification of:
	   ➢ allotment of shares
	   ➢ consenting directors
	   ➢ initial appointment of office holders
	• Statement of change in certain particulars, such as persons in relation to whom the business name is registered.

Designated person	May include: • legal practitioner • practice manager • Supervisor.
Appropriate parties	May include: • company secretary • director • manager • shareholder • subscriber • witness • borrower's solicitor • company secretary • director • lender • lender's solicitor • manager • previous mortgagee or charge • previous mortgagee or charge's solicitor • shareholder • subscriber • Witness.
Search documents	May include: • certificate of incorporation • Certificate of title.

Relevant agencies	May include:
	• Securities and Investments offices to confirm company details and prior charges
	• Land titles office to check if borrower's property is subject to any outstanding dealings, charges and/or mortgages.
Forms and documents related to the administration of charges	May include:
	• charge document, which an organisation may have in its precedent bank
	• equitable charge document
	• mortgage document
	• notification of details of change
	• notification of discharge or release of property from a charge
	• prior charge documents
	• priority agreement with previous mortgagees or charges
	• prospectus
	• Stamp duty compliance form.

Evidence Guide	
Critical Aspects of Competence	Must demonstrate knowledge and skills competence to:
	• prepare and lodge appropriate and accurate information and documents at the required stages of the legal process
	• conduct all duties within accepted codes of conduct, including those relating to maintaining confidentiality, use of company property, duty of care, ethical behaviours, privacy, non-discriminatory practice, conflict of interest and compliance with reasonable direction
	• Apply knowledge of relevant court processes, current legislation, legal processes and required documentation.
Underpinning Knowledge and Attitudes	Demonstrate knowledge of:
	• scope of job role in the context of legislation, regulations and codes of practice in relevant jurisdictions
	• relevant court processes, current legislation, legal processes and required documentation
	• organisation's required policies and procedures for the full range of tasks covered
	• legal terminology, including that specific to corporation law
	• accepted codes of practice relevant to the workplace, including those relating to:
	➢ privacy and confidentiality
	➢ use of company property
	➢ duty of care
	➢ ethical behaviour
	➢ non-discriminatory practice
	➢ conflict of interest
	• compliance with reasonable direction
Underpinning Skills	Demonstrate skills of:

	• communication skills to provide clear and specific instructions about information required
	• literacy skills to:
	  ➢ follow complex legal procedures
	  ➢ consider aspects of context, purpose and audience when generating and formatting documents
	  ➢ edit and proofread to ensure accuracy, consistency, clarity of meaning and conformity to enterprise requirements
	• research skills to:
	  ➢ locate necessary information from external sources
	  ➢ identify and evaluate status of information
	• organisational skills to prepare, complete and despatch documents in a timely fashion
	• technology skills to:
	  ➢ operate office equipment
	  ➢ use a range of common software packages

Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Business Governance Service Level V	
Unit Title	**Document or Reconstruct a Business or Records System**
Unit Code	**TRD BGS5 07 0714**
Unit Descriptor	This unit describes the performance outcomes, skills and knowledge required to document or reconstruct a business or records system and its context over time. This unit applies to individuals who are required to demonstrate understanding of a broad knowledge base, incorporating theoretical concepts with substantial depth in some areas. The application is in relation to those who work closely with other members of an organisation and have individual responsibility for documenting or reconstructing systems, and to those who work in specialist recordkeeping environments, such as archives. The unit can be applied equally to all types of collections of records, although historically it has been understood to relate only to traditional archival work.

Elements	Performance Criteria
1. Establish activities and functions documented by records	1.1 Actions, activities and **jurisdiction** are identified and documented by which **records** are generated.
	1.2 Boundaries and relationships of activities and functions of records are established and checked against a functional analysis of the organisation.
	1.3 Creators of records are identified by mapping them to the parts of the organisation responsible for functions or activities.
	1.4 Changes are established and documented to functions or activities from the records, and verified against other appropriate **sources** over the time period of the records.
2. Analyse the context of records and systems	2.1 Previous or subsequent records or series are identified to place records in their **context** and described in accordance with organisational standards.
	2.2 Changes which have occurred over time, including any anomalies to the systemic order of records are identified to **business or records systems**.
	2.3 Creators of records including their accountabilities and functional responsibilities are identified and described.
	2.4 Specific records are identified by nature of their content, similar function, or systemic relationship.
	2.5 The system and records including identifying any changes and anomalies are identified and recorded in accordance with organisational standards.

3. Document reconstruction of the business or records system	3.1	Elements of the business or records system are identified and documented from records.
	3.2	Records series are identified and documented in accordance with organisational standards and procedures.
	3.3	**Control** is established where no system is apparent, or where system is inadequate to maintain control of records, by capturing records in accordance with organisational standards and procedures.

Variable	Range
Jurisdiction	May include: • government • non-profit • personal • private • profit • public sector

Records	May include:
	• different stages of use:
	  ➢ active
	  ➢ archival
	• digital:
	  ➢ remote drives
	  ➢ servers
	  ➢ CDs
	  ➢ DVDs
	  ➢ imaging systems
	  ➢ PC-based applications
	  ➢ mainframe
	• physical:
	  ➢ audio-visual or multimedia
	  ➢ graphic
	  ➢ microform
	  ➢ paper-based (acid free or multiple copies)
	• variety of sources:
	  ➢ already in the custody of the organisation
	  ➢ in the process of being transferred between organisations

Sources	May include:
	• information relating to public entities:
	  ➢ annual reports
	  ➢ gazettes
	  ➢ hand cards
	  ➢ interviews
	  ➢ legislation
	  ➢ minutes
	  ➢ news clippings

	- policies - related records - information relating to private entities: - company records - interviews - obituaries - personal letters - information from sources external to the entities: - administrative histories - annual reports and other corporate publications - biographies - literature - organisational histories
Context	May include: - chronological context: - complexity of records and changes over time - date of creation - date-range and size of records series - organisational or functional context: - complexity of system including anomalies and exception to system rules - industry sector - method of original records registration - multiplicity of activities - paper-based systems where the control records (registers, indexes, thesaurus) are discrete series - computerised systems in which the records are stored attached to their metadata (single series or systems to multiple series and multiple systems) - political or social environment - position of creator or range of creators of records within the organisation - records may be generated in a business system for a variety of functions and activities, or they may be part of a records management system
Business or records systems	May include: - archival control systems - business systems - cash register-based systems - characteristics relating to: - aggregations - context - entities - metadata - current business or records systems - electronic records and document management system (ERDMS) - informal - paper-based accumulation and card systems

	• PC-based accounting systems, employee and tax records systems • proprietary recordkeeping package • storage facilities systems
Control	May include: • archival control systems • current business or records systems • storage facilities systems

Evidence Guide	
Critical aspects of Competence	Must demonstrate knowledge and skills competence of: • interpreting the concepts of records series and records systems • applying the concepts of records systems and series to an analysis of information about records in relation to organisational activities • Knowledge of different systems for creating and managing records in the reconstruction of records systems.

Underpinning Knowledge and Attitudes	Demonstrate knowledge of:
	• construction and use of language in the organisation in relation to recordkeeping (past and present)
	• key provisions of relevant legislation from all forms of government, regulations, standards and documentation that may affect aspects of business operations, such as:
	  ➢ ethical principles
	  ➢ codes of practice
	  ➢ privacy and freedom of information
	  ➢ archives and records legislation
	  ➢ occupational health and safety
	• general principles and processes of records management and records management systems, such as:
	  ➢ systems of control
	  ➢ records continuum theory
	  ➢ mandate and ownership of business process
	• organisational business functions, structure and culture
	• Organisational policies, strategies and procedures, particularly those relating to records access and security

Underpinning Skills	Demonstrate skills of: • communication skills to consult with practitioners, staff members, customers, and others to elicit relevant • information for analysis • literacy skills to read and interpret nature of record content, functions and problems • problem-solving and analysis skills to interpret and apply principles of business or records systems

	• Self management skills to accurately record metadata.
Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Business Governance Service Level V	
Unit Title	**Lead the Organisation's Strategic Planning Cycle**
Unit Code	**TRD BGS5 08 0714**
Unit Descriptor	This unit describes the performance outcomes, skills and knowledge required to lead the strategic planning process of an organisation and to assist board members to develop and implement a strategic planning cycle. Some aspects of governance activities may be subject to legislation, rules, regulations and codes of practice relevant to different job roles and jurisdictions.

Elements	Performance Criteria	
1. Establish the strategic planning process	1.1	A documented **strategic planning process** is agreed with other board members.
	1.2	**Resources** are identified and allocated to undertake strategic planning.
2. Develop and review the organisation's values, vision and purpose	2.1	Board members, management, staff, community and key stakeholders are consulted regarding the values, vision and purpose of the organisation.
	2.2	The agreed **values**, **vision and purpose** of the organisation are identified with other board members
	2.3	The organisation's values, vision and purpose are documented and endorsed by the board.
3. Analyse the internal and external factors that could impact on the organisation's strategic plan	3.1	The previous strategic plan is reviewed and evaluated.
	3.2	Community aspirations, interests and needs are identified and analysed.
	3.3	Changing government policy and funding are identified and analysed that might affect the organisation
	3.4	**Emerging and predicted trends** are identified and analysed.
	3.5	The potential is identified and analysed for **strategic alliances and partnerships**.
	3.6	Advice is sought from appropriate experts when necessary.
4. Establish strategic objectives and strategies	4.1	**Strategies** and **SMART** objectives that are consistent with the outcome of the research and analysis undertaken are developed and agreed with other board members.
	4.2	Objectives and strategies that are achievable and benchmarked against industry and community standards are ensured.

	4.3	**Factors** that may affect achievement of objectives are identified and documented.
5. Monitor and evaluate strategic performance	5.1	An implementation plan is developed with other board members to identify targets, **key performance indicators**, performance standards, timelines and reporting requirements for the strategic planning period.
	5.2	Progress reports are monitored and evaluated against the plan to identify successes and performance gaps.
	5.3	Strategic objectives and strategies are reviewed and revised with other board members where necessary.

Variable	Range

Strategic planning process	May include:
	• establishment of working group or subcommittee
	• review of previous strategic plan
	• consultation with elders, traditional owners, members and community
	• information collection and documentation
	• development of:
	  ➢ values, vision and purpose
	  ➢ objectives of strategic plan
	  ➢ strategies for achieving goals
	  ➢ performance measures
	• Review of draft strategic plan.

Resources	May relate to: • board member support • community members • development of working group or subcommittee • external consultants • finances • identified partnerships • information and communication technologies • network contacts • planning expertise • Staff.
Values	May include: • business practices • culture • community • community control • family • heritage • self-determination • service and product standards • Staff management.

Vision and purpose	May relate to: • long-term community goals • Organisational goals.
Emerging and predicted trends	May include: • business and social enterprise possibilities • community needs and issues • demographic change • funding priorities • government legislation and policy • local expenditure • new and changing competitors • Social trends.
Strategic alliances and partnerships	May refer to: • businesses • local, state or territory, and federal governments • individuals • Other organisations.
Strategies	May involve: • culture • community involvement • Programs.

SMART	May include:
	• Objectives are specific, measurable, achievable, realistic and time bound
	May relate to:
	  ➢ board practices
	  ➢ community development
	  ➢ finances
	  ➢ human resources
	  ➢ Services and products.

Factors	May include: • community • cultural • political • social • resources • Technical.
Key performance indicators	May include: • measures for monitoring or evaluating the efficiency or effectiveness of the plan's implementation • Measures used to demonstrate success and identify areas for improvement.

Evidence Guide	
Critical Aspects of Competence	Must demonstrate knowledge and skills competence to: • establish and maintain a strategic planning cycle with the

	board
	• work with board, members and community to formulate strategic objectives and strategies
	• Ensure strategic performance is reviewed and monitored.
Underpinning Knowledge and Attitudes	Demonstrate knowledge of:
	• benchmarking principles and approaches
	• community consultation and engagement strategies
	• components of the strategic planning cycle
	• concept of community control of organisations and how it may impact on the strategic planning process and content of plans
	• cultural context in which Aboriginal and Torres Strait Islander boards operate, including their role in upholding traditional and cultural values, and how that could impact on organisational planning
	• data collection methods
	• geographic, social, economic and political contexts in which particular organisations operate and how these may impact on organisational planning
	• organisational policies and procedures relevant to planning
	• provisions of federal, state or territory legislation and funding body requirements that may influence decision making
	• relevant protocols and cultural responsibilities that impact on the planning process
	• roles and responsibilities of board and management in organisational planning
	• strategic planning principles, approaches and strategies, including setting objectives
	• values, vision and purpose of the organisation
Underpinning Skills	Demonstrate skills of:
	• communication and negotiation skills to work cooperatively with other board members, management and staff of the organisation, members, community and key stakeholders
	• culturally appropriate communication skills to relate to people from diverse backgrounds and with diverse abilities
	• evaluation skills to monitor the progress of the strategic plan and analyse gaps in performance
	• research skills to ensure accurate and current information is available for review and analysis

	• strategic thinking skills to collate data from a number of different sources and make recommendations to the board about strategic organisational objectives and strategies • time-management and planning skills to ensure that strategic plans meet realistic timeframes and are regularly monitored
Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Business Governance Service Level IV	
Unit Title	**Undertake Organisational Training Needs Analysis**
Unit Code	**TRD BGS5 09 0714**
Unit Descriptor	This unit describes the performance outcomes, skills and knowledge required to undertake a Training Needs Analysis (TNA) to identify the training and assessment needs of an organisation.

Elements	Performance Criteria
1. Identify the organisation's needs	1.1 **Objectives**, expectations and organisational requirements are discussed with relevant staff from the organisation.
	1.2 Appropriate communication and interpersonal skills are used to develop a professional relationship with the organisation.
	1.3 Any existing or potential issues that may impact on the organisation's objectives and requirements are identified, analysed and addressed.
	1.4 Resources are identified and accessed in accordance with organisational requirements.
	1.5 A project plan is developed with relevant persons to be negotiated and agreed by the organisation.
2. Conduct training needs analysis	2.1 Reliable, appropriate and efficient methods are used for collecting information and data on current, emerging and future training needs.
	2.2 The organisation's work roles are analysed to determine skills and competencies needed for effective performance.
	2.3 Legal, organisational and ethical requirements are followed to gather information and data to assess the current skills and competencies of staff.
	2.4 Reliable and valid data analysis methods are used to determine current and emerging organisational training needs.
3. Provide advice to the organisation	3.1 The organisation is provided with clear advice and recommendations on training and assessment needs.
	3.2 The organisation is provided with **options** for meeting identified training needs.
	3.3 Feedback and comments on the suitability and sufficiency of advice and recommendations are obtained from the organisation.
	3.4 Legal requirements are used to process, complete and present final report to the organisation.

Variable	Range
Objectives	May include: • improved individual and group learning outcomes for new or existing staff • access to government training incentives and funding • productivity improvement • developing administration and records management systems • compliance with, or knowledge of, legislative or government regulatory requirements • Individualised organisational training and skill requirements
Options	May include: • developing in-house capacity to meet identified needs • identifying training and/or assessment organisations to meet needs • identifying specific units of competency, qualifications/courses to meet needs • Consultancy services

Evidence Guide	

Critical Aspects of Competence	Must demonstrate knowledge and skills competence to:
	• research, conduct and provide advice through a training needs analysis
	• prepare at least two training needs analyses for one or more organisations
	• collect evidence that demonstrates:
	  ➢ processes that were used to determine the organisation's needs
	  ➢ details of research methods undertaken to identify suitable training and/or assessment
	  ➢ planning for the training needs analysis
	• Presentations that outline advice and recommendations. research, conduct and provide advice through a training needs analysis
	• prepare at least two training needs analyses for one or more organisations
	• collect evidence that demonstrates:
	  ➢ processes that were used to determine the organisation's needs
	  ➢ details of research methods undertaken to identify suitable training and/or assessment
	  ➢ planning for the training needs analysis
	  ➢ Presentations that outline advice and recommendations.

Underpinning Knowledge and Attitudes	Demonstrate knowledge of: • competency standards and Training Packages/accredited courses

	• Ethiopian Quality Training Framework requirements and standards • risk identification and management strategies • industry and enterprise knowledge • evaluation and research methodologies • relevant social, political, economic and technological developments • principles of intellectual property • training and development strategies • change management concepts/strategies • Occupational Health and Safety (OHS) relating to undertaking an organisational training needs analysis.
Underpinning Skills	Demonstrate skills of: • cognitive skills to analyse and interpret research and conceptualise and synthesise issues around training needs • communication and interpersonal skills to consult with client and relevant people, to discuss client needs and provide observations and recommendations for training development • literacy skills to critically evaluate information and prepare reports providing advice and recommendations • negotiation and facilitation skills for research, presenting and discussing recommendations and obtaining feedback • numeracy skills to analyse data and present statistical information • problem solving skills to apply effective approaches to training needs research skills to collect information around training needs, including observation and consultation.
Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Business Governance Service Level V	
Unit Title	**Manage Compliance within the Marketing Legislative Framework**
Unit Code	**TRD BGS5 10 0714**
Unit Descriptor	This unit describes the performance outcomes, skills and knowledge required to comply with the marketing legislative framework, and use this framework for competitive advantage. This unit applies to individuals working in a marketing supervisory or management role within a marketing team. They may work in small, medium or large enterprises and in a variety of industries. Within their role they will be required to understand the legal environment in which marketing decisions are made in the organisation so that the organisation can avoid litigation, as well as use the legislative framework to assist marketing strategies. Individuals in these roles will need to competently discuss legal issues with specialists, but will not be making legal decisions independently.

Elements	Performance Criteria
1. Identify and interpret the legislative framework relating to marketing	1.1 Current information about **legislation** is identified and located as it relates to marketing decision making in the industry context. 1.2 **Codes of practice** are identified as they relate to marketing, and their implications analysed for the industry context. 1.3 How legislation relating to marketing can protect is analysed and the trader, consumer and competitive process are assisted. 1.4 **Sources of information and advice** about the legislative framework relating to marketing are identified and analysed for usefulness in the industry context.
2. Promote a culture of compliance with the legislative framework relating to marketing	2.1 **Benefits** and essential components of the legal compliance program relating to marketing and how they fit with the whole of organisation compliance program are identified. 2.2 A marketing compliance audit and recommendations are made participatory to address identified gaps. 2.3 Possible **implications of non-compliance** are identified and used to recommend changes to practice. 2.4 A training program is designed to educate staff on compliance as it relates to marketing.
3. Recommend	3.1 A range of **methods** are identified to protect the

strategies to use the legislative framework relating to marketing for competitive advantage	organisation's products and services being marketed and analysed against intellectual property breaches.
	3.2 Recommendations on strategies are made for protection of intellectual property rights and presented to key stakeholders.
	3.3 Recommendations are made to implement systems to identify intellectual property infringement by **third parties**.
	3.4 Remedies which could have an impact on the organisation are identified for own and other organisations' breaches of marketing legislation.
	3.5 Others' intellectual property is accessed and effectively used within legal guidelines for business advantage.

Variable	Range

Legislation	May include:
	• door-to-door sales legislation
	• legislation around intellectual property, including:
	    ➢ Copyright Act
	    ➢ Designs Act
	    ➢ passing off
	    ➢ Patents Act
	    ➢ state or territory Business Names Acts
	    ➢ Trade Marks Act
	• lotteries and gaming legislation
	• packaging and labelling legislation
	• sale of goods legislation
	• state or territory competition codes
	• Fair Trading Acts
	• Trade measures legislation.

Codes of practice	May include: • Association of National Advertisers Code of Ethics • Direct Marketing Code of Practice • E Marketing Code of Practice • Therapeutic Goods Advertising Code • Individual organisation's marketing codes of practice.
Sources of information and advice	May include: • Attorney-General's Department • Ethiopian Communication and Media Authority • Ethiopian Competition and Consumer Commission • Ethiopian Legal Research Institute (ELRI) • Ethiopian Marketing Agency • Ethiopian consumers Association • Ethiopian Common Law) • lawyers specialising in intellectual property and marketing • The Marketing Association of Ethiopia

Benefits	May include:
	• opportunity to improve marketing performance and competitive advantage
	• incentive to make positive marketing decisions rather than reactive and risky decisions
	• assisting organisation to become a good corporate citizen
	• preventing damage to reputation
	• Preventing consequences of breaking the law, such as penalties and costs.
Implications of non-compliance	May include:
	• loss of reputation
	• monetary and criminal penalties
	• cost of legal advice
	• liability for damages
	• diversion of resources away from core business activities
	• Negative effect on staffing.
Methods	May include:
	• copyright
	• patents
	• registration of designs
	• Trade marks.
Third parties	May include:
	• competitors
	• Suppliers.

Evidence Guide	
Critical Aspects of Competence	Must demonstrate knowledge and skills competence to:
	• identification and application of legislation and codes of practice as they relate to marketing
	• promotion of a culture of compliance with the legislative framework relating to marketing
	• Development of strategies to use the legislative framework for competitive advantage.
Underpinning Knowledge and Attitudes	Demonstrate knowledge of:
	• components of a compliance program and compliance audit
	• different methods to protect intellectual property
	• key provisions of legislation as it relates to marketing, including:
	➢ door-to-door sales legislation
	➢ legislation around intellectual property, including:
	• Copyright Act
	• Designs Act
	• passing off
	• Patents Act
	• state or territory Business Names Acts
	• Trade Marks Act

	- lotteries and gaming legislation - packaging and labelling legislation - sale of goods legislation - state or territory competition codes - state or territory Fair Trading Acts - Therapeutic Goods Act - trade measures legislation • key provisions of codes of practice relating to marketing, including: - Association of National Advertisers Code of Ethics - Direct Marketing Code of Practice - Communications and Media Agency (CMA) - Ethiopian e Marketing Code of Practice - Therapeutic Goods Advertising Code - individual organisation's marketing codes of practice - sources of information and advice about marketing law
Underpinning Skills	Demonstrate skills of: • analytical skills to interpret how legislation around marketing could impact on the business • initiative and enterprise skills to identify opportunities to use the legislative framework for competitive advantage • learning skills to design training programs that are suitable for a range of people with different learning styles • literacy skills to produce complex reports and recommendations around compliance • research skills to: - locate legislation and codes of practice relating to marketing - participate in a compliance audit • technology skills to research the legislative framework • verbal communication skills to: - negotiate with legal advisers - train staff on compliance
Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Business Governance Service Level V	
Unit Title	**Identify and Interpret Compliance Requirements**
Unit Code	**TRD BGS5 11 0714**
Unit Descriptor	This unit describes the performance outcomes, skills and knowledge required to identify and interpret the range of internal and external compliance requirements and obligations that must be fulfilled by an organisation. A range of legislation, rules, regulations and codes of practice may apply to this unit at the time of endorsement, depending on job roles and jurisdictions. This unit applies to individuals working as a chief executive or manager in a small organisation (where it would be part of their broad role) or as a member of a compliance management team within a larger organisation. These individuals require a sound theoretical knowledge of compliance and well established skills in identifying and interpreting compliance requirements relevant to the operations and sphere of business of the organisation and/or industry sector concerned. The unit also applies to internal or external consultants as part of a broader advisory role to the chief executive or management team of a large or small organisation on compliance management policies and systems.

Elements	Performance Criteria
1. Clarify the scope of operations	1.1 The relevant **range of operations** and the sphere of business arrangements of the organisation are identified and reviewed.
	1.2 An analysis of the operations and business arrangements of the organisation is conducted and the functions, that may be subjected to **compliance requirements** products and services are identified.
	1.3 Work activity plans are developed and documented for determining relevant compliance requirements.
	1.4 Approval of plans is obtained from **relevant personnel**.
2. Identify compliance requirements	2.1 A **search of information** on internal and external compliance requirements including relevant **Ethiopian and international standards** is conducted using appropriate search resources.
	2.2 The search of compliance requirements scans across all relevant **jurisdictions of laws, regulations, and industry and organisational codes and standards** are ensured and pertinent compliance requirements identified.
	2.3 Information collected is progressively reviewed in terms of its relevance to the organisation's operations, services and

		products.
	2.4	Gathered information on relevant compliance requirements is organized and stored in an appropriate format for further analysis.
3. Interpret, analyse and prioritise identified compliance requirements	3.1	Collected information is reviewed and interpreted in terms of its relevance to the organisation's functions, services and products.
	3.2	Relevant internal or external personnel ambiguities, uncertainties and problems are discussed and clarified with experienced interpreting identified compliance information.
	3.3	Relevant compliance requirements are identified, analysed and prioritized in terms of critical implications for the organisation and risks and consequence of possible breaches.
	3.4	Pertinent compliance requirements are grouped into those that are critical and central to the organisation's operations, those that are important in some circumstances but are not central to the organisation's operations and those that are pertinent but are incidental to the organisation's operations.
4. Document compliance requirements	4.1	Outcomes of the identification and interpretation activities are organized and documented.
	4.2	Reports of relevant compliance requirements and assessment of implications are prepared and communicated to relevant personnel performing specific compliance management functions.

Variable	Range
Range of operations	May include: • full range of operations of an organisation at a particular site • full range of operations of an organisation distributed across multiple sites • full range of operations of an organisation, including mobile units such as vehicles, railway trains, maritime vessels and aircraft • Operations of a particular section or organisational unit.
Compliance requirements	May include: • cross-industry, industry-specific and internal organisational compliance requirements in such areas as (examples in alphabetical groupings): ➢ anti-discrimination, including discrimination by race, sex, disability, religion, etc.; alcohol licensing, including licensing regulations covering clubs, pubs, licensed premises, etc.; aviation

	• bankruptcy • chemical use, child protection, construction, conveying/real estate, copyright, corporate governance, customs, credit • education, electricity, environmental protection, equal opportunity • financial services, including banking; fire; food hygiene; freedom of information; freight forwarding • gambling, gene technology • health, human rights • insurance, immigration, intellectual property • land management • maritime, mining • pharmaceuticals, patents, privacy • quarantine • racing, rail transport, road transport • safety, including cross-industry generic regulations as well as industry, equipment or product-specific subcategories, e.g. marine safety, rail safety, food safety, aviation safety, road safety, dangerous goods, construction safety, mine safety, etc.; security; sewage; superannuation • taxation, telecommunications, tobacco, trade practices and consumer protection • water supply, workers compensation, workers rehabilitation • different types of internal and external compliance requirements, including: • accreditation requirements of an institute, professional organisation or registration body • internal policies, procedures, standards or codes of practice of an organisation • regulations of a state or territory, national or international regulatory authority • requirements for certification under statutory licensing systems • Statutory standards or codes of practice.
Relevant personnel	May include: • internal policies, standard operating procedures, standards, and codes of practice • published material relevant to compliance held in either internal or external libraries • Relevant legislation, regulations and licensing requirements pertinent to the organisation's operations and sphere of business. • compliance management consultants • compliance management officers • compliance managers • legal personnel specialising in compliance management

	• Line managers with specific compliance functions • board of directors • chief executive officer • compliance management team • compliance specialists at the operational level • frontline managers • Senior management team. • legal and business advisors and consultants with expertise in compliance management • representatives of professional associations and institutes relevant to the organisation's operations and sphere of business • Representatives of relevant authorities in pertinent compliance areas.
Search of information	May include: • computer terminals linked to data sources either via the internet, internal networks, or CDs • library resources and materials, including compliance-related books, journals, manuals, standards, CDs and other multimedia resources • Published information on such things as relevant legislation, regulations, licensing requirements, codes of practice and Ethiopian standards.
Information	May include: • correspondence, emails and other written information provided by internal and external personnel contacted during search activities • information downloadable from relevant websites • newsletters, bulletins and information sheets and other similar periodic documentation distributed by relevant regulatory authorities and standards bodies • Published information on legislation, regulations, codes of practice, standards, licensing requirements, standard operating procedures, etc. • Records of conversations and meetings with relevant internal and external personnel.

Relevant Ethiopian and international standards	May include:
	• Compliance programs
	  ➢ Customer satisfaction - guidelines for complaints handling in organizations
	  ➢ Records management
	  ➢ Risk management.

Jurisdictions of laws, regulations, industry and organisational codes and standards	May include: • global • industry • local • national • Organisational.

Evidence Guide	
Critical Aspects of Competence	Must demonstrate knowledge and skills competence to: • document processes used to identify, analyse and interpret organisational compliance requirements • Apply knowledge of elements of compliance programs and related management systems.

Underpinning Knowledge and Attitudes	Demonstrate knowledge of:
	 • elements of compliance programs and related management systems, including:
	     ➢ documentation of compliance requirements relevant to the organisation
	     ➢ specification of compliance management functions, accountabilities and responsibilities within the organisation
	     ➢ compliance-related management information systems
	     ➢ record-keeping systems required for compliance management
	     ➢ liaison procedures with relevant internal and external personnel on compliance-related matters
	     ➢ breach management policies and processes, including the identification, classification, investigation, rectification and reporting of breaches in compliance requirements
	     ➢ compliance reporting procedures
	     ➢ corporate induction and training processes related to compliance management
	     ➢ processes for the internal and external distribution and promotion of information on compliance requirements, and compliance programs and management systems
	     ➢ complaints handling systems
	     ➢ continuous improvement processes for compliance, including monitoring, evaluation and review
	     ➢ strategies for developing a positive compliance culture within the organisation
	     ➢ techniques and performance indicators for monitoring the operation of a compliance program or management system
	     ➢ reporting processes on compliance management, including reports on breaches and rectification action
	 • relevant organisational policies and procedures, including:
	     ➢ compliance plans and policies in various compliance areas
	     ➢ organisational standards for operations and ethics
	 • relevant Ethiopian and international standards, including:
	     ➢ Compliance programs
	     ➢ Customer satisfaction - guidelines for complaints handling in organizations
	     ➢ Records management

	➢ Risk management
	• relevant organisational policies and procedures, including:
	   ➢ plans and policies in various compliance areas
	   ➢ organisational standards for operations and ethics

Underpinning Skills	Demonstrate skills of:
	• interpersonal skills to:
	   ➢ contribute to the development of a positive culture of compliance within an organisation
	   ➢ work with internal and external personnel with an interest in an organisation's compliance program and management system
	• interpersonal and communication skills to relate to internal and external personnel, including those representing relevant regulatory authorities, professional institutes and organisations, including standards' organisations
	• literacy skills to read and interpret various types of documents and to write reports containing complex concepts
	• organisational and time-management skills to conduct compliance management activities
	• project management skills to:
	   ➢ scope and plan the conduct of compliance requirement identification activities
	   ➢ manage other personnel involved in the identification and interpretation of compliance management activities
	• research and analytical skills to identify and interpret compliance requirements
	• technical skills to use communications technology effectively

Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Business Governance Service Level V	
Unit Title	**Evaluate and Review Compliance**
Unit Code	**TRD BGS5 12 0714**
Unit Descriptor	This unit describes the performance outcomes, skills and knowledge required to evaluate and review an organisation's compliance program/management system and how it is fulfilling its obligations and responsibilities under applicable compliance requirements. This unit applies to managers with responsibility for evaluating and reporting on the operation and effectiveness of an organisation's planned compliance program/management system to ensure that compliance is an integral part of normal business operations. It also applies to individuals working as an owner-manager (where it would be part of their broad role), as a senior manager in a small organisation, as an external consultant or as a section or frontline manager in an operational unit within the organisation. In addition, it applies to members of a compliance management team or a frontline manager within a larger organisation.

Elements	Performance Criteria
1. Develop the evaluation plan	1.1 Details of the organisation's compliance policies, objectives and assessment criteria are obtained.
	1.2 Information on current **compliance requirements** applicable are obtained and interpreted to the organisation.
	1.3 A suitable **evaluation methodology** is developed to enable sufficiently valid and reliable outcomes for the required research and suitable arrangements for both internal and external monitoring processes.
	1.4 The **evaluation plan** including the detailing of established evaluation criteria and the data to be collected is prepared for the proposed project.
	1.5 Approval of plan is obtained from relevant internal and/or external personnel.
2. Gather required evaluation data	2.1 Relevant **evaluation data** on how the organisation is fulfilling its compliance requirements are collected using appropriate techniques and sources in accordance with the agreed evaluation plan.
	2.2 Collected data including those specified in relevant Ethiopian and international standards are organised, interpreted and reviewed against established evaluation criteria.
	2.3 Ambiguities, uncertainties and problems experienced

		while interpreting collected data are discussed and addressed appropriately in conjunction with **relevant internal and/or external personnel**.
	2.4	Interpreted evaluation data is organized for later analysis.
3. Analyse the collected data	3.1	Evaluation data is analysed in accordance with planned methodology.
	3.2	Outcomes and findings of the analysis are reviewed and discussed with relevant internal and/or external personnel.
4. Determine evaluation findings and outcomes	4.1	Preliminary findings and any identified issues are developed and discussed with relevant internal and/or external personnel.
	4.2	Any additional data collection and analysis required are undertaken to clarify aspects of findings, issues and related action options if necessary.
	4.3	Recommendations for any action are prepared in conjunction with relevant internal and/or external personnel to improve identified deficiencies.
5. Document and disseminate the outcomes and recommendations of the evaluation	5.1	A draft report of the outcomes, findings and recommendations of the compliance evaluation are prepared in accordance with the agreed structure and format and distributed to relevant internal and/or external personnel for comment and feedback.
	5.2	The report is edited based on the feedback obtained.
	5.3	The report is proofread in preparation for publishing.
	5.4	Report of outcomes, findings and recommendations of the evaluation is signed off by **authorised personnel**.
	5.5	The report is produced and disseminated to nominate internal and external personnel in accordance with agreed arrangements.

Variable	Range
Compliance requirements	May include: • different types of external and internal compliance requirements including: ➢ accreditation requirements of an institute, professional organisation or registration body ➢ internal policies, procedures, standards or codes of practice of an organisation ➢ regulations of a state/territory, national or international regulatory authority ➢ requirements for certification under statutory licensing systems ➢ statutory standards or codes of practice

	• cross-industry, industry-specific and internal organisational compliance requirements in such areas as (examples in alphabetical groupings): ➢ anti-discrimination (including discrimination by race, sex, disability, religion, etc.), alcohol licensing (licensing regulations covering clubs, pubs, licensed premises, etc.), aviation ➢ bankruptcy ➢ chemical use, child protection, construction, conveyance/real estate, copyright, corporate governance, customs, credit ➢ education, electricity, environmental protection, equal opportunity ➢ financial services (including banking), fire, food hygiene, freedom of information, freight forwarding ➢ gambling, gene technology ➢ health, human rights ➢ insurance, immigration, intellectual property ➢ land management ➢ maritime, mining ➢ pharmaceuticals, patents, privacy ➢ quarantine ➢ racing, rail transport, road transport ➢ safety (including cross-industry generic regulations as well as industry, equipment or product-specific sub-categories e.g. marine safety, rail safety, food safety, aviation safety, road safety, dangerous goods, construction safety, mine safety, road safety, etc.), security, sewage, superannuation ➢ taxation, telecommunications, tobacco, trade practices and consumer protection ➢ water supply, workers compensation, workers rehabilitation
Evaluation methodology	May include: • analysis of complaints recorded involving compliance requirements • analysis of feedback from clients, suppliers, internal managers and personnel • assessment of information contained in the organisation's management information system • collection of operational data • desk analysis • drafting and editing of the evaluation report • literature searches including internet searches • review of reports from relevant compliance authorities and organisations • surveys of relevant internal and external personnel including interviews, focus groups, questionnaires

Evaluation plan	May include:
	• details of the applicable compliance requirement and related evaluation criteria
	• evaluation methodology
	• milestones
	• personnel required including evaluation project manager, the evaluation team and those who may be consulted during the course of the evaluation activities
	• resource requirements and related costs
	• timelines
Evaluation data	May include:
	• completed survey questionnaires
	• documentation on feedback and complaints involving compliance requirements
	• operational data pertinent to the fulfilment of compliance requirements
	• published documents including papers, standards, regulations
	• quantitative data collected from various sources
	• records of interviews, meetings or focus group workshop outcomes
	• records of telephone conversations
	• written correspondence including letters, faxes, emails
Relevant internal and external personnel	May include:
	• board of directors
	• chief executive officer
	• compliance management team (where relevant)
	• compliance specialists at the operational level
	• frontline managers
	• senior management team
	• chief executive officers and managers in organisations with an interest in the compliance issues being researched
	• legal and business advisors and consultants with expertise and interest in compliance requirements and related management systems
	• representatives of professional associations and institutes relevant to the organisation's operations and sphere of business
	• representatives of relevant authorities in pertinent compliance areas
Authorised personnel	May include:
	• chief executive officer or manager in an organisation
	• evaluation project manager
	• evaluation steering committee (where applicable)
	• nominated representative of educational institution/s or organisation/s
	• nominated representative of professional association/s or institute/s

	• nominated representative of regulatory authority

Evidence Guide	
Critical Aspects of Competence	Must demonstrate knowledge and skills competence of: • completion of project work which comprehensively evaluates how an organisation is fulfilling its compliance requirements • Knowledge of evaluation methods and techniques suitable for compliance related evaluation and review.

Underpinning Knowledge and Attitudes	Demonstrate knowledge of:
	• evaluation methods and techniques suitable for compliance related evaluation and review
	• sources of data relevant to compliance related evaluation and review
	• elements of compliance program/management systems including:
	  ➢ documentation of compliance requirements relevant to the organisation
	  ➢ compliance management functions, accountabilities and responsibilities within the organisation
	  ➢ compliance related management information systems
	  ➢ record keeping systems required for compliance management
	  ➢ liaison procedures with relevant internal and external personnel on compliance related matters
	  ➢ breach management policies and processes including the identification, classification, investigation, rectification and reporting of breaches in compliance requirements
	  ➢ compliance reporting procedures
	  ➢ corporate induction and training processes related to compliance management
	  ➢ processes for the internal and external promulgation and promotion of information on compliance requirements and compliance program/management system
	  ➢ compliance complaints handling systems
	  ➢ continuous improvement processes for compliance including monitoring, evaluation and review
	  ➢ strategies for developing a positive compliance culture within the organisation
	  ➢ techniques and performance indicators for monitoring the operation of a compliance program/management system
	  ➢ reporting processes on compliance management including reports on breaches and rectification action
	• relevant organisational policies and procedures including:
	  ➢ compliance plans and policies in various compliance

	areas ➤ Organisational standards for operations and ethics.

Underpinning Skills	Demonstrate skills of:
	• interpersonal skills to contribute to a positive culture of compliance within an organisation
	• investigative skills to evaluate and review compliance
	• project management skills to:
	  ➤ develop project plans
	  ➤ manage other personnel involved in the evaluation activity
	  ➤ meet project timelines
	  ➤ mange project finances
	• interpersonal skills to relate to internal and external personnel and in particular those representing relevant regulatory authorities, professional institutes and organisations, standards organisations
	• research and evaluation skills to:
	  ➤ conduct literature searches and internet searches
	  ➤ analyse and organise evaluation data using appropriate techniques
	  ➤ conduct various types of evaluation surveys
	  ➤ conduct quantitative data analysis using appropriate techniques
	  ➤ Technical skills to use communications technology effectively.

Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Business Governance Service Level V	
Unit Title	**Manage Conflict**
Unit Code	**TRD BGS5 13 0714**
Unit Descriptor	This unit describes the performance outcomes, skills and knowledge required to manage conflict, both within the board and the organisation, and between the organisation and community and the wider community. Some aspects of governance activities may be subject to legislation, rules, regulations and codes of practice relevant to different job roles and jurisdictions. This unit applies to individuals who contribute their skills and knowledge to monitoring and guiding the activities of organisations in situations where there may be conflict between individuals or groups.

Elements	Performance Criteria
1. Identify existing and potential conflict	1.1 Conflict is determined if exists and its possible **causes**. 1.2 Potential **situations of future conflict** are identified. 1.3 Strategies are developed to prevent and manage conflict.
2. Consider the conflict situation	2.1 The **implications of the conflict** occurring are identified. 2.2 Responsibilities within the conflict are identified. 2.3 **Resolution strategies** are developed in consultation with the conflicting parties 2.4 Professional advice is sought where needed and discretion and confidentiality are maintained. 2.5 The wellbeing of individuals and the organisation is considered when developing resolution strategies.
3. Use strategies to resolve conflict	3.1 Strategies that respect the cultures of the parties involved are promptly, appropriately and impartially implemented. 3.2 Sufficient time is allowed for the conflict to be resolved. 3.3 The process used is monitored and evaluated to resolve the conflict.

Variable	Range
Causes of conflict	May include: • competing group, family or personal interests or needs • cross-cultural issues • differences between cultural groups • dissatisfaction in the community • government policies • interference from outside individuals or organisations, including government

	• lack of communication
	• lack of funding
	• conflict of interest
	• personality clashes
	• power and control issues
	• Unclear roles and responsibilities.
Situations of future conflict	May include:
	• between the organisation and the community
	• between the organisation and the wider community
	• within the board
	• Within the organisation.
Implications of the conflict	May include:
	• community divisions
	• breakdown in social cohesion
	• economic crisis
	• impacts on service delivery or business operations
	• individual and family health and wellbeing
	• legal implications, such as breach of contract, duty of care
	• Personal actions.
Resolution strategies	May include:
	• codes of conduct
	• community and family meetings
	• cultural resolution strategies
	• grievance policy and procedure
	• listening and respect
	• mediation
	• negotiation
	• Memorandums of understanding.

Evidence Guide	
Critical aspects of Competence	Must demonstrate knowledge and skills competence to:
	• recognise causes of conflict
	• apply conflict-resolution strategies
	• Manage conflict effectively.
Underpinning Knowledge and Attitudes	Demonstrate knowledge of:
	• concept of community control of organisations and how it may impact on how conflict is resolved
	• conflict resolution theories and strategies, including negotiation and mediation strategies
	• cultural context in which Aboriginal and Torres Strait Islander boards operate, including their role in upholding traditional and cultural values, and how that might impact on how conflict is resolved
	• geographic, social, economic and political contexts in which particular organisations operate and how these may impact on how conflict is resolved
	• how equity and diversity principles might apply to the way

	• conflict is resolved • organisational policies, procedures and code of conduct relevant to the conflict situation • potential causes of conflict that board members may need to address when undertaking board duties • professional support available to assist in conflict resolution • provisions of federal, state or territory legislation and funding body requirements that may impact on decisions made to resolve conflict • relevant protocols and cultural responsibilities that impact on how conflict is resolved • provisions of the constitution relevant to the conflict situation
Underpinning Skills	Demonstrate skills of: • communication, teamwork and negotiation skills to listen to differences of opinion and work cooperatively with other board members, management and staff of the organisation, members, community and key stakeholders • culturally appropriate communication skills to relate to people from diverse backgrounds and with diverse abilities • evaluation, decision-making and problem-solving skills to monitor and review information presented to the board and to develop conflict-resolution strategies
Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Business Governance Service Level V	
Unit Title	**Plan or Review Administrative Systems**
Unit Code	**TRD BGS5 14 0714**
Unit Descriptor	This unit describes the performance outcomes, skills and knowledge required to plan or review the requirements of effective administration systems and procedures for implementing, monitoring and reviewing the system. This unit applies to individuals employed in a range of work environments who are required to plan or review administrative systems. They may work as senior administrative staff or may have been delegated responsibility for planning or reviewing administrative systems.

Elements	Performance Criteria
1. Plan or review administration systems	1.1 **System requirements**, modifications , **administration system** are identified through consultation with **system users** and other stakeholders in accordance with organisational and budgetary requirements.
	1.2 Quotations are obtained from **suppliers**/**developers** of system in accordance with organisational policy and procedures.
	1.3 Selection of supplier or developer is made in accordance with organisational policy and procedures.
2. Implement new or modified administration system	2.1 **Implementation strategies** are identified and developed in consultation with staff.
	2.2 Staffs are encouraged to participate in all stages of the implementation process.
	2.3 System is implemented in accordance with organisational requirements.
	2.4 **Procedures** are defined and communicated to staff for using the system.
	2.5 **Training and support** on the use of the new or modified system are provided for staff.
	2.6 **Contingencies** are dealt with to ensure minimal impact on users.
3. Monitor administration system	3.1 **System is monitored** for usage, **security** and output in accordance with organisational requirements
	3.2 System is modified to meet **changing needs** in accordance with organisational requirements
	3.3 **Further modifications** are clearly identified and users notified.

	3.4 **Staff training needs are monitored** and new staff is trained on administration system.

Variable	Range
System requirements	May include: • components of the system • number and type of users • organisation/staff requirements • purpose and nature of system • purpose and nature of organisation • size of system • skills of existing staff • staff training needs • type of system • work practices
Administration system	May include: • electronic system • paper-based system
System users	May include: • casual personnel • external clients • organisation's personnel
Suppliers/developers	May include: • administration system consultants • computer/software suppliers • efficiency consultants • equipment suppliers • information technology technicians • information technology trainers • internal staff/clients • office equipment suppliers
Implementation strategies	May include: • boosting staff confidence • change management strategies • changing team/organisational culture • ensuring system functions correctly • external consultants • informing relevant persons • modifying system • providing staff training/information sessions • re-defining staff roles • re-distributing office tasks • team goal setting • temporary reduction of workload • testing • trialling

Communicating procedures	May include: • email messages • facsimile messages • telephone • internal newsletter • meetings • office memorandum • photocopied instructions • professional development time • training days
Training and support for staff	May include: • coach, mentor and/or buddy systems • online tutorials • on-the-job trainers • professional development • skills assessment • training handbooks • videos
Contingencies	May include: • loss of staff confidence • need for additional training • need to modify system • temporary reduction of work output
Monitoring of system	May include: • extra administrative support and back-up • feedback from internal/external client/s • observation by trained technician/s • utilising monitoring tools and processes
Security	May include: • confidentiality agreements • passwords • safeguards against computer viruses
Changing needs	May include: • change in the nature and purpose of the system/organisation • change in user requirements • growth or decline in system size • technological advances in administration systems
Further modifications	May include: • additional equipment, training • negotiation of timeframes for system implementation • redefinition of administrative roles and duties • specialised software
Monitoring staff training needs	May include: • ongoing assessment of staff skills • ongoing feedback opportunities • providing professional development opportunities

Evidence Guide	
Critical Aspects of Competence	Must demonstrate knowledge and skills competence to: • documenting requirements or modifications to administration system • developing appropriate activities to support system implementation • Working with staff to identify system improvements.

Underpinning Knowledge and Attitudes	Demonstrate knowledge of:
	• key provisions of relevant legislation from all forms of government, standards and codes that may affect aspects of business operations, such as:
	  ➢ anti-discrimination legislation
	  ➢ ethical principles
	  ➢ codes of practice
	  ➢ privacy laws
	  ➢ copyright
	  ➢ occupational health and safety
	• Organisational policies and procedures relating to the tasks required.

Underpinning Skills	Demonstrate skills of: • communication skills to recommend alternative ways of completing tasks, to discuss changes in routines and procedures, and to monitor and define objectives • literacy skills to write detailed procedural text, including alternative courses of action • planning and organising skills to implement system smoothly with a minimum of disruption, to anticipate modifications, to plan system overhauls and to allow sufficient time for training • problem-solving skills to choose appropriate solutions from a range of possible solutions, to use processes flexibly and interchangeably, and to anticipate problems and modify systems accordingly • Research skills to assemble evidence and to evaluate information for accuracy and relevance.
Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Business Governance Service Level V	
Unit Title	**Manage and Monitor Business or Records Systems**
Unit Code	**TRD BGS5 15 0714**
Unit Descriptor	This unit describes the performance outcomes, skills and knowledge required to set the operational frameworks for the creation, capture and use of records and to monitor and review these frameworks and activities within a business or records system of a specific business domain. This unit applies to individuals who are required to demonstrate understanding of a broad knowledge base, incorporating theoretical concepts with substantial depth in some areas. The application is in relation to managing and monitoring business and records systems or work carried out in specialist recordkeeping environments, such as archives. While these people will work closely with other staff members throughout an organisation, they may also have a degree of individual responsibility and autonomy.

Elements	Performance Criteria
1. Determine requirements or modifications	1.1 Core business, supporting activities, **resources**, **business and social context** are identified and **documented** using observation and **consultation**.
	1.2 Security is determined and requirements for business or records system content are accessed from analysis of organisation's activities.
	1.3 Organisational reporting and accountability requirements are analysed in the context of the business documentation.
	1.4 **Organisational functions and activities** are identified for which records must be kept from analysis of business and context documentation.
	1.5 Nature, detail, and format of records (content and **metadata**) for each organisational function are determined from analysis of the business and its context.
2. Devise an appropriate recordkeeping system	2.1 Metadata needed is determined to manage records (store, locate and retrieve) in a business or records system.
	2.2 Scale and number of **business or records systems** appropriate to scale and nature of business operations are selected.
	2.3 Technological requirements of business or records systems appropriate to scale and nature of business operations are selected.
	2.4 Cost structure appropriate to scale, nature, and organisational cash flow requirements is selected for

		business or records systems.
	2.5	Maintenance, disposal and updating requirements of business or records system are ensured and conformed to scale, nature, and culture of the organisation.
	2.6	Business or records system suited to the projected growth of the organisation is selected.
3. Develop an implementation plan	3.1	Recordkeeping responsibilities of individual personnel or organisational units are identified and documented.
	3.2	**Measurable performance indicators** are developed for recordkeeping activities.
	3.3	**Procedures and guidelines** are developed for capturing and controlling records.
	3.4	An implementation plan is communicated to users of the system and other relevant organisational staff.
4. Monitor and review business or records system	4.1	Staffs are **monitored** and notified in accordance with approved timeframes, frequency, and **organisational policies and guidelines** where applicable.
	4.2	Details of **variation** are recorded from business or records system's rules, standards and procedures that exceed agreed limits.
	4.3	Required **reports** relating to use and maintenance of records are provided to **appropriate authority**.
	4.4	Responsibilities for record creation are designated to staff and activities captured in accordance with organisational policies.
5. Identify and respond to problems and changes	5.1	Any **problems and changes** that require a **systemic response** are identified using the monitoring reports and external events.
	5.2	Recommendations are made for **revisions** to systems, procedures, and strategic plans in response to identified variations, changes and problems.
	5.3	Amendments to systems and implementation or other plans are devised where required.
	5.4	Recommendations for system amendments, planning and implementation are prepared.
	5.5	Procedures are authorized and gained for using the business or records systems, and for any subsequent alterations and amendments to the procedures.

Variable	Range
Resources	May include: • human resources and their availability • location of resources currently in operation • physical resources • technological resources • those available for purchase or development

Business and social context	May include:
	• clients or customers and their expectation
	• codes of ethics and codes of professional conduct specific to industry sector
	• industry sector characteristics and reporting requirements of that sector
	• internal and external accountability requirements
	• internal and external stakeholders whose interests must be taken into account
	• other relevant legislation and regulations, including those covering:
	  ➢ business activity reporting
	  ➢ business and income (pay) taxation
	  ➢ corporation law reporting requirements
	  ➢ environmental protection and waste management
	  ➢ goods and services tax collection
	  ➢ industrial relations
	  ➢ occupational health and safety
	  ➢ privacy protection
	  ➢ statutory access rights and freedom of information
	  ➢ superannuation
	• internal and external stakeholders whose interests must be taken into account
	• social and ethical standards the community expects the organisation to meet

Documenting core business	May involve identifying: • diagrammatic representations • formal documents • hand written documents • informal communications • online instructions or computer-based format instructions that can be updated • paper-based manuals • other texts
Consultation	May include organisation's: • head office • local management • principals • staff

Organisational functions and activities	May include: • asset management • conventional and email correspondence • customer relationship management • human resources management • invoicing and sales • legislative, regulatory and licensing compliance • marketing and promotion • purchasing and expenditure • research and development • risk management • stock control
Metadata	Are those records which are maintained about the records themselves and may include: • activity classification terms • date ,year, time, and location of record creation or registration into the system • identity of record creator • indexing and descriptive terms • record format • security and access information • unique identifiers for each record

Business or records systems	May include:
	• archival control systems
	• business systems
	• cash register-based systems
	• characteristics relating to:
	  ➢ aggregations
	  ➢ context
	  ➢ entities
	  ➢ metadata
	• current business or records systems
	• electronic records and document management system (ERDMS)
	• informal
	• paper-based accumulation and card systems
	• PC-based accounting systems, employee and tax records systems
	• proprietary recordkeeping package
	• storage facilities systems

Measurable performance indicators	May be developed: • from a strategic plan • in consultation with those who will undertake the specific tasks May include: • disposal (percentage of records, un sentenced records, those overdue for disposal action and functions or records not covered by disposal schedules)

	• parameters for tracking of records • retrieval and access (security and access rules, response to request time limits, service levels for requests) • records creation and capture performance
Procedures and guidelines	May include: • acceptable range of variation for compliance • system requirements
Monitoring	May relate to: • broad accumulation and growth monitoring • checking spelling, spacing and numbering • continuing relevance of classification • disposal schedule applicability • examining titling and indexing at item level • new records specifications • number of systems • observation of localised rules and continuing relevance of classification • records creation and capture performance targets • single records management system
Organisational policies and guidelines	May include: • actions in relation to freedom of information legislation • actions or accumulations of records above or below anticipated levels • audit trail or log of users and activity in systems • changes in use of classification and indexing terms • access rules • disposal procedures • procedures in relation to disparity, sentencing difficulties or gaps in retention and disposal schedule coverage • procedures in relation to disputes arising from any matters, particularly access questions • failures in tracking or increases in lost items • input of metadata requirements • legal precedents requiring changes to systems • privacy requirements • quality of recordkeeping about records • records of authorisation of destruction • procedures in relation to reliability of optical character recognition techniques • retention of records in relation to a schedule • scanned images • security requirements • specified access restrictions, in the public sector • storage standards and maintenance schedules
Variations	May include: • increases or decreases in the use of particular technologies • variations from the business or records system's

	performance or capacity • variations within the agreed limit which are inconsistent
Reports	May include: • compliance • maintenance • record capture • record creation • records use
Appropriate authority	May include: • audit committee • board of directors • committee of management • business owner • chief executive officer • delegated individual • external public authority • nominated senior management representative • recordkeeping professionals • senior management team
Problems and changes	May include: • case-law precedents • changes in administrative changes to functions and activities • changes of government • changes to organisational structures • closures and bankruptcy • legislative or other regulatory changes • outsourcing and privatisation • takeovers, amalgamations or relocation • technological change and implementation
Systemic responses	May include: • amendment/s to the classification system • bulk movement of records to control • migration of systems • new classification and controlled language • new disposal classes or retention periods • new legal liabilities and other risks identified requiring changes to records specifications • new organisational or business unit functions
Revisions	May be made to: • access rules and procedures • classification and indexing schemes • disposal schedules • records specifications • storage projections and requirements

Evidence Guide	
Critical Aspects of Competence	Must demonstrate knowledge and skills competence of: • translating organisational needs into a business or records system • developing business or records system specifications and performance indicators to monitor and address system effectiveness • Knowledge of relevant organisational policies, strategies and procedures.
Underpinning Knowledge and Attitudes	Demonstrate knowledge of: • construction and use of language in the organisation in relation to recordkeeping (past and present) • key provisions of relevant legislation from all forms of government, regulations, standards and documentation that may affect aspects of business operations, such as: ➢ ethical principles ➢ codes of practice ➢ privacy and freedom of information ➢ archives and records legislation ➢ occupational health and safety • general principles and processes of records management and records management systems, such as: ➢ systems of control ➢ records continuum theory ➢ mandate and ownership of business process • organisational business functions, structure and culture • Organisational policies, strategies and procedures, particularly those relating to records access and security
Underpinning Skills	Demonstrate skills of: • communication skills to explain and clarify procedures, and to interview users to identify their records or information needs • literacy skills to read and interpret nature of record content, functions and problems • negotiation skills to achieve suitable results for the organisation's recordkeeping practices • problem-solving and analysis skills to interpret and apply recordkeeping principles and practices • research skills to investigate changes and innovation in design and operation of business or records system • Self management skills to accurately record metadata.
Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration with Oral Questioning
Context of	Competence may be assessed in the work place or in a

Assessment	simulated work place setting.

Occupational Standard: Business Governance Service Level V	
Unit Title	**Manage Intellectual Property to Protect and Grow Business**
Unit Code	**TRD BGS5 16 0714**
Unit Descriptor	This unit describes the performance outcomes, skills and knowledge required to protect, secure and effectively use intangible assets of value to an organisation. It focuses on establishing and maintaining systems to protect and exploit an organisation's intellectual property to ensure business growth. This unit applies to managers or coordinators who take an active role in recognising, securing and commercialising intangible assets which contribute to the organisation's profitability, productivity, product or service delivery, and market leadership. These managers and coordinators may work in a range of industry or other contexts and may have responsibility for managing people, systems or processes.

Elements	Performance Criteria
1. Identify the organisation's intellectual property assets and rights	1.1 The ***intangible assets*** residing within the organisation and how they can be protected are identified.
	1.2 The ***sections of the organisation*** are identified in which ***intellectual property*** is created, procured or transferred and for which management is required.
	1.3 ***Intellectual property rights*** appropriate to the organisation are researched according to ***legislative requirements.***
	1.4 ***Sources of information and advice*** are identified and accessed for protection of the organisation's intellectual property.
	1.5 A cost-benefit analysis of protecting intellectual property is conducted and risks are determined.
	1.6 Appropriate intellectual property professionals are identified and used to initiate processes to protect intellectual property, according to the type of intellectual property protection required.
2. Create a strategy to manage the organisation's intellectual property	2.1 An organisational strategy is reviewed and created and policies and procedures are reviewed and developed for protection, management and use of intellectual property as part of the organisation's business strategy.
	2.2 An ***intellectual property audit*** is planned and implemented and the value and use of the organisation's ***intangible assets*** inventory are established and reviewed.

		2.3	Recommendations are planned and made for implementation of a strategy for business growth through use of organisation's intellectual property.
		2.4	**Strategies** are planned and implemented to ensure employees, partners and contractors protect the organisation's and others' intangible assets.
		2.5	Procedures are established and reviewed to securely record, and **documentation** related to the organisation's intangible assets is stored.
3.	Monitor and maintain organisational strategies for the protection and use of intellectual property	3.1	Strategies, policies and procedures are monitored and reviewed for the identification, protection and intellectual property is used regularly to ensure they are working effectively and changes are made if required.
		3.2	The identification of potential **infringement** of organisation's intellectual property rights is managed and appropriate action is taken.
		3.3	A culture of **compliance** is promoted for other organisations' and individuals' intellectual property rights are respected.
4.	Manage the commercialisation of the organisation's intellectual property to ensure business growth	4.1	The role intellectual property is researched to play in the strategic plans of the organisation.
		4.2	The implementation of the **commercialisation** of the organisation's intellectual property is contributed.
		4.3	The review of the activities of existing or potential competitors is managed and their impact on the organisation's intangible assets assessed.
		4.4	Others' intellectual property is assessed and intellectually used within legal guidelines for business advantage.

Variable	Range
Intangible assets	May include: • brand • business name • customer/client list • computer systems software • confidential information • copyrights • core technology • database/customer list • design • distribution agreements • domain name • employees' specialist knowledge • goodwill

	- ideas - innovation - invention - logo - packaging - patent - practical application of a good idea - process - product - promotional materials - secret recipe, process, formula - standard of service/unique service technique - trade mark - trade secret - training manuals

Sections of the organisation	May include:
	- any section of the organisation that creates products or services that may be protected by intellectual property rights, or that is responsible for the management of intellectual property, including:
	  ➢ design department
	  ➢ marketing department
	  ➢ research and development department
	  ➢ product development group
	  ➢ human resource department
	  ➢ production, administration or service delivery
	- legal services unit

Intellectual property	Refers to:
	- The output of the mind or intellect rather than tangible objects. It includes:
	  ➢ copyright
	  ➢ trade marks
	  ➢ patents
	  ➢ designs
	  ➢ plant breeder's rights
	  ➢ circuit layout rights
	  ➢ confidential information/trade secrets

Intellectual property rights	May refer to: - the exclusive rights associated with the relevant intangible asset - the right to prevent use by others of the intangible asset
Legislative requirements	May include: - Business Names legislation - Copyright Act 1968 - Designs Act 2003
Sources of information and advice	May include: - government agencies - lawyers specialising in intellectual property

	• trade mark attorneys and patent attorneys • accountants • business advisors • marketing consultants • branding consultants • publications • websites, Internet • databases, e.g. local and international trade mark databases

Intellectual property audit	May involve:
	• a systematic review of the intellectual property owned, used or acquired by a person or organisation, including:
	  ➢ products or services that are key to the organisation
	  ➢ intangible assets and the legal rights that constitute them in relation to the goods or services
	  ➢ what market advantage these rights give the organisation
	  ➢ rights under which the organisation uses intellectual property
	  ➢ gaps or weaknesses in the organisation's intellectual property and rights
	• the valuation and recording of such intangible assets in accordance with accepted accounting standards

Intangible assets	Refer to: • registered forms of intellectual property, such as patents and trade marks • un registrable forms of intellectual property, such as copyright, client lists, know how, staff and training programs

Strategies	May include:
	• preparation of employer, contractor and supplier contracts which protect the organisation's intellectual property, so that:
	  ➢ the organisation's intellectual property is not introduced into other organisations
	  ➢ ownership of the intellectual property is established, e.g. external contractors designing training materials for an organisation
	• licensing, assignment or transfer of the organisation's intellectual property to other parties for the benefit of the organisation or its stakeholders
	• conducting appropriate clearance searches and investigations

Documentation	May include: • deeds • registration certificates • licence agreements • contract and end user licence agreements • employment contracts

Infringement	Occurs when:
	• someone consciously or inadvertently uses another party's intellectual property without their permission
Compliance	Is important to:
	• identify and where necessary take action to prevent breaches of laws and regulations in relation to intellectual property, to:
	➢ avoid costly legal decisions
	➢ be a good corporate citizen
Commercialisation	May include:
	• utilising intellectual property with the aim of producing financial or other commercial gain, and/or public benefit, including:
	➢ adapting
	➢ applying
	➢ assigning
	➢ copying
	➢ developing
	➢ licensing
	➢ making
	➢ publishing
	➢ selling
	➢ using

Evidence Guide	
Critical Aspects of Competence	Must demonstrate knowledge and skills competence to:
	• identification of the types of intellectual property within the organisation and the relevant legislation protecting them
	• establishment or review of strategies, policies and procedures for the management and use of own and others' intellectual property
	• identification of commercialisation potential of an organisation's intellectual property
Underpinning Knowledge and Attitudes	Demonstrate knowledge of:
	• types of intellectual property protection and time restraints on protection
	• relevant legislation and regulations relating to intellectual property rights
	• potential sources of information and advice about intellectual property
	• business and marketing advantages of intellectual property protection
	• strategic and business planning
	• options for commercialisation
Underpinning Skills	Demonstrate skills of:
	• communication and analytical skills to conduct audits and make recommendations for compliance and commercialisation of intellectual property

	• interpersonal skills to foster a positive culture of compliance within the organisation • marketing skills to contribute to the commercialisation of the organisation's intellectual property • problem solving skills to address intellectual property compliance issues • research skills to find and interpret relevant legislation in relation to the particular types of intellectual property
Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Business Governance Service Level V	
Unit Title	**Develop Processes for the Management of Breaches in Compliance Requirements**
Unit Code	**TRD BGS5 17 0714**
Unit Descriptor	This unit describes the performance outcomes, skills and knowledge required to develop and monitor the processes for managing identified breaches in the fulfilment of compliance requirements within an organisation. This unit applies to individuals working as a chief executive or manager in a small organisation (where it would be part of their broad role), or as a compliance officer or senior manager within a larger organisation with responsibility for identifying, classifying, investigating, rectifying and reporting breaches in compliance requirements.

Elements	Performance Criteria
1. Develop procedures for responding to breaches in internal and external compliance requirements	1.1 Information on current **compliance requirements** applicable to the organisation are obtained and interpreted. 1.2 Each area of compliance requirement is reviewed to establish potential breaches. 1.3 Appropriate procedures are developed for identifying, classifying, investigating, rectifying and reporting breaches and documented in compliance requirements.
2. Monitor adherence to compliance requirements	2.1 Organisation operations are monitored and evaluated to identify incidences of breaches in compliance requirements. 2.2 Complaints and other **sources of information** on potential breaches in compliance requirements are reviewed and evaluated. 2.3 Compliance management information system is interrogated to identify any indication of breaches in compliance requirements.
3. Manage the identification and rectification of breaches in compliance	3.1 Appropriate staff is assigned to take the required action to identify, classify, investigate and rectify breaches in compliance requirements. 3.2 Senior management team within the organisation is informed of all breaches in compliance requirements.
4. Liaise with relevant personnel and organisations during breach	4.1 Liaison is maintained with **relevant regulatory authorities and other organisations** with an interest in compliance in regard to breaches in requirements and related action being taken. 4.2 Advice on the management of breaches in compliance

	management	requirements is taken from **relevant internal and external personnel** and this advice is acted upon appropriately.
5.	Evaluate the response to and rectification of, breaches in compliance	5.1 Action taken is monitored to manage and rectify an identified breach in compliance requirements in terms of the organisation's compliance policy.
		5.2 Success in rectification of compliance breaches is confirmed and relevant internal and external personnel are notified.
		5.3 Problems in the rectification of compliance breaches are recognized and appropriate action is initiated to ensure that management of the breach is maintained.
		5.4 Reports of systemic and recurring problems of non-compliance are referred to sufficient authority to correct them.
6.	Document and disseminate the breach management activities and outcomes	6.1 Identified breaches in compliance requirements are documented and reported in accordance with relevant internal and external requirements.
		6.2 Records of breaches are maintained and stored in compliance requirements.
		6.3 The action in compliance requirements is taken and the outcomes are reported to rectify identified breaches.
		6.4 Reports on breach management are disseminated to relevant internal and external personnel.

Variable	Range
Compliance requirements	May include: • different types of external and internal compliance requirements including: ➢ accreditation requirements of an institute, professional organisation or registration body ➢ internal policies, procedures, standards or codes of practice of an organisation ➢ regulations of a state/territory, national or international regulatory authority ➢ requirements for certification under statutory licensing systems ➢ statutory standards or codes of practice • cross-industry, industry-specific and internal organisational compliance requirements in such areas as (examples in alphabetical groupings): ➢ anti-discrimination (including discrimination by race, sex, disability, religion, etc.), alcohol licensing (licensing regulations covering clubs, pubs, licensed premises, etc.), aviation ➢ bankruptcy ➢ chemical use, child protection, construction,

	conveyance/real estate, copyright, corporate governance, customs, credit ➢ education, electricity, environmental protection, equal opportunity ➢ financial services (including banking), fire, food hygiene, freedom of information, freight forwarding ➢ gambling, gene technology ➢ health, human rights ➢ insurance, immigration, intellectual property ➢ land management ➢ pharmaceuticals, patents, privacy ➢ quarantine ➢ racing, rail transport, road transport ➢ safety (including cross-industry generic regulations as well as industry, equipment or product-specific sub-categories e.g. marine safety, rail safety, food safety, aviation safety, road safety, dangerous goods, construction safety, mine safety, road safety, etc.), security, sewage, superannuation ➢ taxation, telecommunications, tobacco, trade practices and consumer protection ➢ water supply, workers compensation, workers rehabilitation
Sources of information	May include: • external reviews of organisation operations • feedback from clients, suppliers • feedback from organisation managers and operations personnel • internal audit reports • reports from regulatory authorities and other organisations with an interest in compliance
Relevant regulatory authorities and other organisations	May include: • educational institutions and organisations • government departments • internal audit managers within the organisation • professional associations and institutes • regulatory authorities
Relevant internal and external personnel	May include: • board of directors • chief executive officer • chief executives and managers in organisations with an interest in the compliance issues being researched • compliance management team (where relevant) • compliance specialists at the operational level • frontline managers • legal and business advisors and consultants with expertise and interest in compliance requirements and related management systems • representatives of professional associations and institutes

	relevant to the organisation's operations and sphere of business • representatives of relevant authorities in pertinent compliance areas • senior management team

Evidence Guide	
Critical Aspects of Competence	Must demonstrate knowledge and skills competence to: • development of processes for managing organisational compliance breaches • Knowledge of compliance requirements applicable to the organisation.

Underpinning Knowledge and Attitudes	Demonstrate knowledge of:
	 • analysis techniques relevant to the review and interpretation of an identified breach in compliance requirements
	 • compliance requirements applicable to the organisation
	 • elements of compliance program/management system including:
	   ➢ documentation of compliance requirements relevant to the organisation
	   ➢ specification of compliance management functions, accountabilities and responsibilities within the organisation
	   ➢ compliance related management information systems
	   ➢ record keeping systems required for compliance management
	   ➢ liaison procedures with relevant internal and external personnel on compliance related matters
	   ➢ breach management policies and processes including the identification, classification, investigation, rectification and reporting of breaches in compliance requirements
	   ➢ compliance reporting procedures
	   ➢ corporate induction and training processes related to compliance management
	   ➢ processes for the internal and external promulgation and promotion of information on compliance requirements and compliance program/management system
	   ➢ compliance complaints handling systems
	   ➢ continuous improvement processes for compliance including monitoring, evaluation and review
	   ➢ strategies for developing a positive compliance culture within the organisation
	   ➢ techniques and performance indicators for monitoring the operation of a compliance/program management system

	• internal and external personnel with an interest in compliance
	• organisational responsibilities for compliance
	• planning processes of the organisation
	• potential breaches in compliance requirements
	• relevant organisational policies and procedures including:
	   ➢ procedures for breaches in compliance requirements
	   ➢ compliance plans and policies in various compliance areas
	   ➢ organisational standards for operations and ethics
	• reporting processes on compliance management including reports on breaches and rectification action

Underpinning Skills	Demonstrate skills of:
	• interpersonal skills to contribute to a positive culture of compliance within an organisation
	• investigative skills to gather information on how breaches in compliance requirements occurred
	• organisational skills to develop and monitor processes to manage breaches in compliance requirements, including:
	   ➢ determining compliance requirements applicable to the organisation
	   ➢ sourcing information on breach management systems suitable for the organisation
	   ➢ developing a breach management system and related procedures
	   ➢ managing other personnel dealing with identified breaches in compliance requirements
	   ➢ documenting breach management procedures
	   ➢ applying investigative skills to the level required
	• Communication and interpersonal skills to relate to internal and external personnel and in particular those representing relevant regulatory authorities, professional institutes and organisations, standards organisations, etc.
	• Technical skills to use communications technology effectively.

Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Business Governance Service Level V	
Unit Title	**Develop Workplace Policy and Procedures for Sustainability**
Unit Code	**TRD BGS5 18 0714**
Unit Descriptor	This unit describes the performance outcomes, skills and knowledge required to develop and implement a workplace sustainability policy, including the modification of the policy to suit changed circumstances. This unit requires the ability to access industry information, applicable legislative and Occupational Health and Safety (OHS) guidelines. This unit addresses the knowledge, processes and techniques necessary to develop approaches to sustainability within workplaces, including the development and implementation of policy.

Elements	Performance Criteria
1. Develop workplace sustainability policy	1.1 **Scope** of sustainability policy is defined.
	1.2 Information is gathered from a range of **sources** to plan and develop policy.
	1.3 **Stakeholders** are identified and consulted as a key component of the policy development process.
	1.4 Appropriate **strategies** are included in policy at all stages of work for minimising resource use, reducing toxic material and hazardous chemical use, and employing life cycle management approaches.
	1.5 Recommendations are made for policy options based on likely effectiveness, timeframes and cost.
	1.6 Policy that reflects the organisation's commitment to sustainability is developed as an integral part of business planning and as a business opportunity.
	1.7 Appropriate methods of implementation are agreed.
2. Communicate workplace sustainability policy	2.1 Workplace sustainability policy is promoted by including its expected outcome to key stakeholders.
	2.2 Those involved in implementing the policy are informed as to outcomes expected, activities to be undertaken and responsibilities assigned.
3. Implement workplace sustainability policy	3.1 Procedures are developed and communicated to help implementing workplace sustainability policy.
	3.2 Strategies are implemented for continuous improvement in resource efficiency.
	3.3 Responsibility is established and assigned to use recording systems for tracking continuous improvements

	in sustainability approaches.
4. Review workplace sustainability policy implementation	4.1 Outcomes are documented and feedback is provided to key personnel and stakeholders.
	4.2 Successes or otherwise of policy are/is investigated.
	4.3 Records are monitored to identify trends that may require remedial action and used to promote continuous improvement of performance.
	4.4 Policy and/or procedures are modified as required to ensure improvements are made.

Variable	Range

Scope	May include:
	• addressing sustainability initiatives through reference to standards, guidelines and approaches such as:
	   ➢ ecological foot printing
	   ➢ Global Reporting Initiative
	   ➢ green office program
	   ➢ green purchasing
	   ➢ Environmental management systems life cycle analyses
	   ➢ life cycle analyses
	   ➢ product stewardship
	   ➢ supply chain management
	   ➢ sustainability covenants/compacts
	   ➢ triple bottom line reporting
	• integrated approach to sustainability which includes environmental, economic and social aspects, or a specific approach that focuses on each aspect individually
	• investigating particular business and market context of the industry/organisation
	• meeting relevant laws, by laws and regulations or best practice to support compliance in environmental performance and sustainability at each level as required (such as Environmental Protection or Biodiversity Conservation Act):
	   ➢ international
	   ➢ common wealth
	   ➢ state/territory
	   ➢ industry
	   ➢ organisation
	• Parts of the organisation to which it is to apply, including whether it is for the whole organisation, one site, one work area or a combination of these.

Sources	May include: • regulatory sources • relevant personnel • Organisational specifications.

Stakeholders	May include:
	• individuals and groups both inside and outside the organisation who have some direct interest in the organisation's conduct, actions, products and services, including:
	➢ customers
	➢ employees at all levels of the organisation
	➢ government
	➢ investors
	➢ local community
	➢ regulators
	➢ suppliers
	➢ other organisations
	• Key personnel within the organisation and specialists outside the organisation who may have particular technical expertise.
Strategies	May include:
	• promotional activities
	• raising awareness among stakeholders
	• Training staff in sustainability principles and techniques.

Evidence Guide	
Critical Aspects of Competence	Must demonstrate knowledge and skills competence to:
	• candidate's involvement as a key person in planning, developing and implementing organisational policy and that the developed policy complies with legislative requirements
	• implementation strategy, as part of the policy, that has been devised, implemented and reviewed showing a measurable improvement utilising the chosen benchmark indicators
	• communicating with stakeholders to discuss possible approaches to policy development and implementation, and contributing to the resolution of disputes among stakeholders
	• developing and monitoring policies for analysing data on enterprise resource consumption
	• using software systems for recording and filing documentation for measurement of current usage and using word processing and other basic software for interpreting charts, flowcharts, graphs and other visual data and information
	• Reviewing and improving policies by identifying improvements and benchmarking against industry best practice and attempting new approaches continuously over time.
Underpinning Knowledge and Attitudes	Demonstrate knowledge of:
	• best practice approaches relevant to own work area
	• environmental or sustainability legislation, regulations and

	codes of practice applicable to industry and organisation
	• equal employment opportunity, equity and diversity principles and occupational health and safety implications of policy being developed
	• policy development processes and practices
	• principles, practices and available tools and techniques of sustainability management relevant to the particular industry context
	• quality assurance systems relevant to own organisation
	• relevant industry competency
	• relevant organisational policies, procedures and protocols
	• relevant systems and procedures to aid in the achievement of workplace sustainability
Underpinning Skills	Demonstrate skills of: • communication skills to adjust communication to suit different audiences; to respond effectively to diversity; to work as a member of a team to consult on and validate policy • literacy skills to read and evaluate complex and formal documents such as policy and legislation • problem skills to effectively manage different points of view and dissenting stakeholders • research, analytical and writing skills to research, analyse and present information; to prepare written reports requiring precision of expression and language and structures suited to the intended audience
Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Business Governance Service Level V	
Unit Title	**Manage Business Document Design and Development**
Unit Code	**TRD BGS5 19 0714**
Unit Descriptor	This unit describes the performance outcomes, skills and knowledge required to establish standards for the design and production of organisational documents and to manage document design and production processes to ensure agreed standards are met. This unit applies to individuals employed in a range of work environments who require well developed skills in the use of a range of software packages. They use these skills to establish, document and implement consistent standards of document design with an organisation.

Elements	Performance Criteria
1. Establish documentation standards	1.1 Organisational requirements are identified for information entry, storage, output, and quality of **document** design and production.
	1.2 Organisation's present and future information technology capability is evaluated in terms of its effect on document design and production
	1.3 Types of documents used and required by the organisation are identified.
	1.4 Documentation **standards and design tasks** are established for organisational documents in accordance with information, budget and technology requirements.
2. Manage template design and development	2.1 Standard formats and templates are ensured to suit the purpose, audience and information requirements of each document.
	2.2 Document templates are ensured to enhance readability and appearance and organisational requirements are met for style and layout.
	2.3 Templates are obtained, organisational and user feedback is tested and amendments are made as necessary to ensure maximum efficiency and quality of presentation.
3. Develop standard text for documents	3.1 **Complex technical functions** of software are evaluated for their usefulness in automating aspects of standard document production.
	3.2 Requirements of each document are matched with software functions to allow efficient production of documents.
	3.3 Macros are tested to meet the requirements of each document in accordance with documentation standards.

4. Develop and implement strategies to ensure the use of standard documentation	4.1 Explanatory notes are prepared for the use of standard templates and macros using content, format and language style to suit existing and future users.
	4.2 Training on the use of standard templates and macros is developed and implemented and the content and level of detail are adjusted to suit user needs.
	4.3 Master files and printed copies of templates and macros are produced, circulated, named and stored in accordance with organisational requirements.
5. Develop and implement strategies for maintenance and continuous improvement of standard documentation	5.1 Use of standard documentation templates and macros is monitored and the quality of documents produced evaluated against documentation standards.
	5.2 Documentation standards are reviewed against the changing needs of the organisation and improvements are planned and implemented in accordance with organisational procedures.

Variable	Range
Document	May be created: • using a range of commercial or organisational software packages: ➢ databases ➢ desktop publishing ➢ spreadsheets ➢ word processing
Standards and design tasks	May include: • binding • binding media • checking final print copy • client requirements • colour photocopy • copying • creating templates and style or procedures manual • drafting • drawing • editing • electronic or paper-based • enterprise policies and procedures • enterprise templates or house style conventions for margins, fonts, use of colour • final document presentation • formatting • language and style of document • liaison with external personnel • locating and collecting appropriate information or

	precedents
	• print quality
	• production of graphics
	• production of multiple and subsequent copies
	• quality standards
	• use of page layout software
	• writing
Complex technical functions	May include:
	• data transfer
	• display features
	• embedding
	• exporting
	• fields
	• form fields
	• formulae
	• importing
	• index
	• linking
	• macros
	• merge criteria
	• sort criteria
	• table of contents

Evidence Guide	
Critical Aspects of Competence	Must demonstrate knowledge and skills competence to:
	• designing templates or style sheets for use in document design
	• Documenting processes and strategies to ensure implementation.
Underpinning Knowledge and Attitudes	Demonstrate knowledge of:
	• cost constraints
	• document production processes
	• functions of range of software applications, including desktop publishing, word processing and spreadsheets
	• key provisions of relevant legislation and regulations from all forms of government, codes and standards that may affect aspects of business operations, such as:
	➢ anti-discrimination legislation
	➢ ethical principles
	➢ codes of practice
	➢ privacy laws
	• organisational policies and procedures relating to document design and formatting
	• Sources of expertise external to the organisation or workgroup

Underpinning Skills	Demonstrate skills of: • communication skills to present complex instructions orally, to communicate ideas logically, and to explain technical concepts and designs to others • literacy skills to: • read and interpret policies and procedures • review and select technological designs • consider aspects of context, purpose and audience when designing and formatting texts • research and analysis skills to evaluate content, structure and purpose of technical texts, and to adapt task instructions to suit changes in technology • Technological skills to manage design requirements and layouts.
Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Business Governance Service Level V	
Unit Title	**Manage Project Quality**
Unit Code	**TRD BGS5 20 0714**
Unit Descriptor	This unit specifies the outcomes required to manage quality within projects. It covers determining quality requirements, implementing quality assurance processes, and using review and evaluation to make quality improvements in current and future projects.

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

	3.2 Project outcomes are reviewed against performance criteria to determine the effectiveness of quality management processes and procedures
	3.3 Lessons learned and recommended **improvements** are identified, documented and passed on to a higher project authority for application in future projects

Variable	Range
Quality objectives	May include but not limited to: • requirements from the client and other stakeholders • requirements from a higher project authority • negotiated trade-offs between cost, schedule and performance • those quality aspects which may impact on customer satisfaction
Quality management plan	May include but not limited to: • established processes • authorizations and responsibilities for quality control • quality assurance • continuous improvement
Quality management methods, techniques and tools	May include but not limited to: • brainstorming • benchmarking • charting processes • ranking candidates • defining control • undertaking benefit/cost analysis • processes that limit and/or indicate variation • control charts • flowcharts • histograms • pareto charts • scatter gram • run charts
Quality control	May include but not limited to: • monitoring conformance with specifications • recommending ways to eliminate causes of unsatisfactory • performance of products or processes • monitoring of regular inspections by internal or external agents
Improvements	May include but not limited to: • formal practices, such as total quality management or continuous improvement • improvement by less formal processes which enhance both the product quality and processes of the project, for example client surveys to determine client satisfaction with project team performance

Evidence Guide	
Critical Aspects of Competence	Demonstrates skills and knowledge in: • lists of quality objectives, standards, levels and measurement criteria • records of inspections, recommended rectification actions and quality outcomes • management of quality management system and quality management plans • application of quality control, quality assurance and continuous improvement processes • records of quality reviews • lists of lessons learned and recommended improvements Processes that could be used as evidence include: • how quality requirements and outcomes were determined for projects • how quality tools were selected for use in projects • how team members were managed throughout projects with respect to quality within the project • how quality was managed throughout projects • how problems and issues with respect to quality and arising during projects were identified and addressed • how projects were reviewed with respect to quality management • how improvements to quality management of projects have been acted upon

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

Underpinning Skills	Demonstrate skills of: • ability to relate to people from a range of social, cultural and ethnic backgrounds, and physical and mental abilities • project management • quality management

	• planning and organizing • communication and negotiation • problem-solving • leadership and personnel management • monitoring and review skills
Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Business Governance Service Level V	
Unit Title	**Facilitate and Capitalize on Change and Innovation**
Unit Code	**TRD BGS5 21 0714**
Unit Descriptor	This unit specifies the outcomes required to plan and manage the introduction and facilitation of change; particular emphasis is on the development of creative and flexible approaches, and on managing emerging opportunities and challenges.

Elements	Performance Criteria
1. Participate in planning the introduction and facilitation of change	1.1 Concept, nature importance and objective of change are understood.
	1.2 Steps tools and approaches of changes are planned and made in consultation with **appropriate stakeholders**.
	1.3 The relationship among innovation, quality, change and cost is understood.
	1.4 Environments that facilitate the expedition of change are understood.
	1.5 **Change resistance reducing techniques** are identified and implemented.
2. Manage growth and transition of business	2.1 **Needs for growth** are identified.
	2.2 **Growth strategies** are identified.
	2.3 Selected growth strategies are implemented.
3 Develop creative and flexible approaches and solutions	3.1 Concepts, types and nature of problem are understood.
	3.2 Variety of problem solving techniques and approaches are identified and analyzed to manage workplace issues.
	3.3 **Risks** are identified and assessed, and action initiated to manage these to achieve a recognized benefit or advantage to the organization.
	3.4 Workplace is managed in a way which promotes the development of innovative approaches and outcomes.
	3.5 Creative and responsive approaches to resource management are used to improve productivity and services, and/or reduce costs.
4 Manage emerging challenges and opportunities	4.1 Future challenges and opportunities are identified in reference to global business situation
	4.2 The role of technology and its value additions are explained.
	4.3 Technology and innovation based system is introduced and implemented

	4.4 Individuals and teams are supported to respond effectively and efficiently to changes in the organization's goals, plans and priorities.
	4.5 Coaching and mentoring are made to assist individuals and teams to develop competencies to handle change efficiently and effectively.
	4.6 Opportunities are identified and taken as appropriate to make adjustments and respond to the changing needs of customers and the organization.
	4.7 **Information needs** of individuals and teams are anticipated and facilitated as part of change implementation and management.
	4.8 Recommendations are identified, evaluated and negotiated for improving the methods to manage change with appropriate individuals and groups.

Variables	Range
Appropriate stakeholders	May include but not limited to: • Organization directors and other relevant managers • Teams and individual employees who are both directly and indirectly involved in the proposed change • Union/employee representatives or groups • OHS committees • Other people with specialist responsibilities • External stakeholders where appropriate - such as clients, suppliers, industry associations, regulatory and licensing agencies
Change resistance reducing techniques	May include but not limited to: • Education and communication • Participation and involvement • Facilitation and support • Negotiation and agreement • Manipulation and cooptation • Explicit and implicit coercion
Needs for growth	May include but not limited to: • Survival • Economies of scale • Expansion of market • Owners mandate • Technology • Government policy • Self sufficiency
Growth Strategies	May include but not limited to: • Franchising • Outsourcing • Sub-contracting

	• Merging
Risks	May include but not limited to: • Financial and non-financial risks
Information needs	May include but not limited to: • New and emerging workplace issues • Implications for current work roles and practices including training and development • Changes relative to workplace legislation, such as OHS, workplace data such as productivity, inputs/outputs and future projections • Planning documents • Reports • Market trend data • Scenario plans • Customer/competitor data

Evidence Guide	
Critical Aspects of Competence	Demonstrates skills and knowledge to: • Participate in planning the introduction and facilitation of change • Manage growth and transition of business • Develop creative and flexible approaches and solutions • Manage emerging challenges and opportunities

Underpinning Knowledge and Attitudes	Demonstrate knowledge of:
	 • Relevant legislation from all levels of government that affects business operation, especially in regard to occupational health and safety and environmental issues, equal opportunity, industrial relations and anti-discrimination
	 • Growth strategies
	 • The principles and techniques involved in:
	   ➢ Change and innovation management
	   ➢ Development of strategies and procedures to implement and facilitate change and innovation
	 • Use of risk management strategies:
	   ➢ Identifying hazards,
	   ➢ Assessing risks and implementing risk control measures
	   ➢ Problem identification and resolution
	   ➢ Leadership and mentoring techniques
	   ➢ Management of quality customer service delivery
	   ➢ Consultation and communication techniques
	   ➢ Record keeping and management methods
	   ➢ The sources of change and how they impact
	   ➢ Factors which lead/cause resistance to change
	   ➢ Approaches to managing workplace issues

Underpinning Skills	Demonstrate skills on: • Communication skills • Planning skills • Managing risk • Team work

Resources Implication	Access is required to real or appropriately simulated situations, including work areas, materials and equipment, and to information on workplace practices and OHS practices.
Methods of Assessment	Competence may be assessed through: • Interview / Written Test • Observation / Demonstration with Oral Questioning
Context of Assessment	Competence may be assessed in the work place or in a simulated work place setting.

Occupational Standard: Business Governance Service Level V	
Unit Title	**Manage Continuous Improvement Process (Kaizen)**
Unit Code	**TRD BGS5 22 0714**
Unit Descriptor	This unit describes the performance, outcomes, knowledge, attitude and skills required to sustain and develop an environment in which continuous improvement, innovation and learning are promoted, rewarded and managed.

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

	effectively.
	4.7 Continuous improvement systems and processes are evaluated regularly.
	4.8 Improvements are communicated to all relevant groups and individuals.
	4.9 Opportunities are explored for further development of value stream improvement processes.
5. Establish direction and control.	5.1 A **system audit tool** is defined and implemented.
	5.2 The kaizen management system is deployed across all company levels and functions.
	5.3 Results are checked and corrections made.
	5.4 **Standard operating procedures** are developed and maintained.
	5.5 The recruit, training and evaluation systems are improved and **HR practices** compensated.

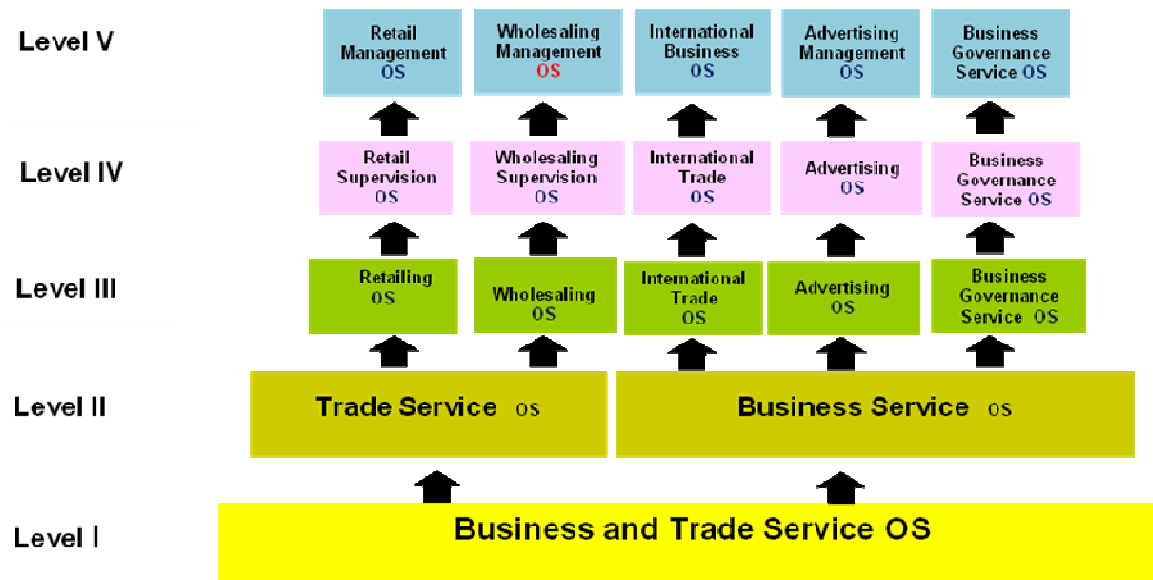| Variable	Range

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

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

Kaizen tools	May include but not limited to: • 5S (a visual workplace management) • 7 QC tools(Cause and Effect Diagram, Check Sheet , Pareto Diagram , Histogram, Scatter Diagram, Control Chart and Flow Chart) • Brainstorming • Basic Industrial Engineering (IE) tools such as time study, motion study, line balancing, work sampling • JIT(JUST IN TIME principles) • MUDA identification and elimination tools • Kanban • Poka-yoke • Takt- time

Gemba activities	May include but not limited to: • Value-adding activities to satisfy the customer • Employee autonomous operations (participating in team to identify nonconformity, propose solutions and implement them autonomously)
Individual leadership capability	May include but not limited to: • Personal and interpersonal skills • Courage • Honour and integrity • Energy and drive • Strategic skills • Operating skills • Organizational positioning skills

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

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

Standard operating procedure	May include but not limited to:
	• Administrative standards for:
	  ➢ Managing the business
	  ➢ Administration
	  ➢ Personnel Guidelines
	  ➢ Job Descriptions
	  ➢ Guidelines for preparing cost information
	• Operation standards for:
	  ➢ Describing the way a job is done.
	  ➢ Help realising Quality, cost, delivery.
	  ➢ Addressing the need to satisfy customers.
	  ➢ Using the process that's the best.
	  ➢ Producing work in the most cost effective manner.
	  ➢ Assuring total quality for the customer.

HR practices	May include but not limited to: • Resources may include:

	➢ Recruit and retain high quality people with innovative skills and a good track, record in innovation
	• HR development is used for:
	➢ strategic capability and provide encouragement and facilities for enhancing innovating skills and enhancing the intellectual capital of the organization
	• Reward will:
	➢ Provide financial incentives and rewards and recognition for successful innovation

Evidence Guide	
Critical Aspects of Assessment	Demonstrates skills and knowledge competencies to: • Establish policy and cross-functional goals for kaizen • Deploy and implement goals as directed through policy deployment and cross-functional management. • Realize goals through deployment and audits. • Build systems, procedures, and structures conducive to kaizen. • Use kaizen in functional capabilities. • Introduce Kaizen as a corporate strategy • Provide support and direction between allocating resources • Establish, maintain and upgrade standards. • Make employees conscious through training programs. • Assist employees develop skills and tools for problem solving.

Underpinning Knowledge and Attitude	Demonstrates knowledge of:
	 • Quality management and continuous improvement theories
	 • creativity/innovation theories/concepts
	 • competitive systems and practices tools, including:
	    ➢ 5S
	    ➢ JUST IN Time (JIT)
	    ➢ mistake proofing
	    ➢ process mapping
	    ➢ establishing customer pull
	    ➢ setting of KPIs/metrics
	    ➢ SOP
	    ➢ Kaizen elements/targets.
	    ➢ identification and elimination of waste/MUDA
	    ➢ continuous improvement processes including implementation, monitoring and evaluation strategies for a whole organization and its value stream
	    ➢ Difference between breakthrough improvement and continuous improvement
	    ➢ organizational goals, processes and structure
	    ➢ approval processes within organization
	    ➢ methods of determining the impact of a change
	    ➢ customer perception of value
	    ➢ Define, Measure, Analyze, Improve and Control (DMAIC) to sustain process

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

TRADE SERVICE

	Level V				
Level V	Retail Management OS	Wholesaling Management OS	International Business OS	Advertising Management OS	Business Governance Service OS
Level IV	Retail Supervision OS	Wholesaling Supervision OS	International Trade OS	Advertising OS	Business Governance Service OS
Level III	Retailing OS	Wholesaling OS	International Trade OS	Advertising OS	Business Governance Service OS
Level II	Trade Service OS		Business Service OS		
Level I	Business and Trade Service OS				

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