

**REPUBLIC OF KENYA**

**COMPETENCY BASED CURRICULUM**

**FOR**

**FOREX AND SECURITIES**

**LEVEL 6**



TVET CDACC

P.O. BOX 15745-00100

NAIROBI

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# FOREWORD

The provision of quality education and training is fundamental to the Government’s overall strategy for social economic development. Quality education and training will contribute to achievement Kenya’s development blue print and sustainable development goals.

Reforms in the education sector are necessary for the achievement of Kenya Vision 2030 and meeting the provisions of the Constitution of Kenya 2010. The education sector had to be aligned to the Constitution and this resulted in the formulation of the Policy Framework for Reforming Education and Training (Sessional Paper No. 4 of 2016). A key feature of this policy is the radical change in the design and delivery of the TVET training. This policy document requires that training in TVET be competency based, curriculum development be industry led, certification be based on demonstration of competence and mode of delivery allows for multiple entry and exit in TVET programmes.

These reforms demand that Industry takes a leading role in curriculum development to ensure the curriculum addresses its competence needs. It is against this background that this Curriculum has been developed.

It is my conviction that this curriculum will play a great role towards development of competent human resource for the business growth and sustainable development.

**PRINCIPAL SECRETARY, VOCATIONAL AND TECHNICAL TRAINING**

**MINISTRY OF EDUCATION**

# PREFACE

Kenya Vision 2030 aims to transform the country into a newly industrializing, “middle-income country providing a high-quality life to all its citizens by the year 2030”. Kenya intends to create a globally competitive and adaptive human resource base to meet the requirements of a rapidly industrializing economy through life-long education and training. TVET has a responsibility of facilitating the process of inculcating knowledge, skills and attitudes necessary for catapulting the nation to a globally competitive country, hence the paradigm shift to embrace Competency Based Education and Training (CBET).

The Technical and Vocational Education and Training Act No. 29 of 2013 and the Sessional Paper No. 4 of 2016 on Reforming Education and Training in Kenya, emphasized the need toreform curriculum development, assessment and certification. This called for a shift to CBET to address the mismatch between skills acquired through training and skills needed by industry as well as increase the global competitiveness of Kenyan labour force.

The TVET Curriculum Development, Assessment and Certification Council (TVET CDACC), in conjunction with Finance and Sales Sector Skills Advisory Committee (SSAC) have developed Occupational Standards for Forex and Securities Trader. These standards will be the basis for development of competency-based curriculum for Forex and Securities level 6.

This curriculum has been developed following the CBET framework policy; the CBETA Standards and guidelines provided by the TVET Authority and the Kenya National Qualification framework designed by the Kenya National Qualification Authority.

This curriculum is designed and organized with an outline of learning outcomes; suggested delivery methods, training/learning resources and methods of assessing the trainee’s achievement. The curriculum is competency-based and allows multiple entry and exit to the course.

I am grateful to the Council Members, Council Secretariat, Finance and Sales SSAC, expert workers and all those who participated in the development of this curriculum.

**CHAIRPERSON, TVET CDACC**

# ACKNOWLEDGEMENT

This curriculum has been designed for competency-based training and has independent units of learning that allow the trainee flexibility in entry and exit. In developing the curriculum, significant involvement and support was received from various organizations.

I recognize with appreciation the role of the Finance and Sales Sectors kills Advisory Committee (SSAC) in ensuring that competencies required by the industry are addressed in the curriculum. I also thank all stakeholders in the business sector for their valuable input and all those who participated in the process of developing this curriculum.

I am convinced that this curriculum will go a long way in ensuring that workers in business sector acquire competencies that will enable them to perform their work more efficiently.

**COUNCIL SECRETARY/CEO**

**TVET CDACC**

**TABLE OF CONTENTS**

[FOREWORD ii](#_Toc76394606)

[PREFACE iii](#_Toc76394607)

[ACKNOWLEDGEMENT iv](#_Toc76394608)

[ABBREVIATION AND ACRONYMS vi](#_Toc76394609)

[KEY TO UNIT CODE vii](#_Toc76394610)

[COURSE OVERVIEW viii](#_Toc76394611)

[BASIC UNITS OF LEARNING 1](#_Toc76394612)

[COMMUNICATION SKILLS 2](#_Toc76394613)

[NUMERACY SKILLS 5](#_Toc76394614)

[DIGITAL LITERACY 10](#_Toc76394615)

[ENTREPRENEURIAL SKILLS 13](#_Toc76394616)

[EMPLOYABILITY SKILLS 17](#_Toc76394617)

[ENVIRONMENTAL LITERACY 23](#_Toc76394618)

[OCCUPATIONAL SAFETY AND HEALTH PRACTICES 27](#_Toc76394619)

[COMMON UNITS OF LEARNING 29](#_Toc76394620)

[FINANCIAL MARKETS 30](#_Toc76394621)

[CORE UNIT OF LEARNING 33](#_Toc76394622)

[TRADING SECURITIES IN FINANCIAL MARKETS 34](#_Toc76394623)

[FINANCIAL SECURITIES RISKS MANAGEMENT 36](#_Toc76394624)

[FINANCIAL PRODUCT MARKETS 39](#_Toc76394625)

[FINANCIAL INVESTMENTS MANAGEMENT 42](#_Toc76394626)

[FINANCIAL INFORMATION 45](#_Toc76394627)

[TRADING OPERATIONAL SYSTEMS 47](#_Toc76394628)

# ABBREVIATION AND ACRONYMS

A Control version

AIDS Acquired Immunodeficiency Syndrome

BC Basic Unit

BUS Business

CBET Competency Based Education and Training

CC Common unit

CDACC Curriculum Development Assessment Certification Council

CEO Council Secretary

CR Core Unit

CU Curriculum

FRX Forex

HIVAcquired Immunodeficiency Virus

KCSE Kenya Certificate of Secondary Education

KNQA Kenya National Qualifications Authority

LCD Liquid Crystal Display

OSH Occupational Safety and Health

PESTEL Political Environmental Social Technological Economic Legal

PPE Personal Protective Equipment

Q&A Questions and Answer

SSAC Sector Skills Advisory Committee

SWOT Strength Weakness Opportunity Threat

TVET Technical and Vocational Education and Training

# KEY TO UNIT CODE

 BUS/CU/FRX/BC/01/6/A

Industry or sector

Curriculum

Occupational area

Type of competency

Competency number

Competency level

Version control

#

# COURSE OVERVIEW

Forex and securities Level 6 consist of competencies that an individual must achieve to trade securities in financial market, manage financial security risks, develop financial product markets

, manage financial investments, communicate financial information and develop trading operational systems.

This qualification consists of the following basic, common and core units of learning as shown below:

**Basic Units of Learning**

|  |  |  |  |
| --- | --- | --- | --- |
| **Unit Code** | **Unit Title** | **Duration**  | **Credit factor**  |
| BUS/CU/FRX/BC/01/6/A | Communication Skills | 40 | 4.0 |
| BUS/CU/FRX/BC/02/6/A | Numeracy Skills | 60 | 6.0 |
| BUS/CU/FRX/BC/03/6/A | Digital Literacy | 60 | 6.0 |
| BUS/CU/FRX/BC/04/6/A | Entrepreneurial Skills | 100 | 10.0 |
| BUS/CU/FRX/BC/05/6/A | Employability Skills | 80 | 8.0 |
| BUS/CU/FRX/BC/06/6/A | Environmental Literacy | 40 | 4.0 |
| BUS/CU/FRX/BC/07/6/A | Occupational Safety and Health Practices | 40 | 4.0 |
| Subtotal 1 | 420 | 42.0 |

**Common Units of Learning**

|  |  |  |  |
| --- | --- | --- | --- |
| **Unit Code** | **Unit Title** | **Duration**  | **Credit factor**  |
| BUS/CU/FRX/CC/01/6/A | Financial Markets | 300 | 30.0 |
| Subtotal 2 | 300 | 30.0 |

**Core Units of Learning**

|  |  |  |  |
| --- | --- | --- | --- |
| **Unit Code** | **Unit Title** | **Duration**  | **Credit factor**  |
| BUS/CU/FRX/CR/01/6/A | Trading Securities in Financial Markets | 270 | 27.0 |
| BUS/CU/FRX/CR/02/6/A | Financial Securities & Risks Management  | 300 | 30.0 |
| BUS/CU/FRX/CR/03/6/A | Financial Product Markets | 280 | 28.0 |
| BUS/CU/FRX/CR/04/6/A | Financial Investments Management | 300 | 30.0 |
| BUS/CU/FRX/CR/05/6/A | Trading Operational Systems | 310 | 31.0 |
| BUS/CU/FRX/CR/06/6/A | Financial Information | 220 | 22.0 |
| BUS/CU/FRX/CR/07/6/A | Industrial attachment  | 480 | 48.0 |
| Subtotal 3 | 2160 | 216.0 |
| **Grand total**  | **2880** | **288.0** |

The total duration of the course is 2880 hours

**Industrial Attachment**

It is envisaged that the trainee will have undergone a field training and assessment with a recognized finance and sales firm and processing firm as a prerequisite for completion of this training course. At least 480 hours (12 weeks) will be spent on a supervised and assessed field attachment.

**Entry Requirements**

An individual entering this course should have any of the following minimum requirements:

1. Attained KCSE Qualification mean grade least C- (minus)

**Or**

1. Forex and Securities Certificate Level 5

**Or**

1. Equivalent qualifications as determined by Kenya National Qualifications Authority (KNQA)

**Trainer qualification**

A trainer of this course should have a higher qualification than the level of this course

**Assessment**

The course will be assessed at two levels: internally and externally. Internal assessment is continuous and is conducted by the trainer who is monitored by an accredited internal verifier while external assessment is conducted by accredited external assessors appointed by TVET CDACC.

**Certification**

A candidate will be issued with a Certificate of Competency on demonstration of competence in a unit of competency. To attain National Qualification Forex and Securities Level 6, the candidate must demonstrate competence in all the units of competency as given in qualification pack. These certificates will be issued by TVET CDACC in conjunction with training provider.

# BASIC UNITS OF LEARNING

# COMMUNICATION SKILLS

**UNIT CODE:** BUS/CU/FRX/BC/01/6/A

**Relationship to Occupational Standards**

This unit addresses the Unit of Competency: Demonstrate Communication Skills

**Duration of Unit:** 40 hours

**Unit Description**

This unit covers the competencies required to demonstrate communication skills. It involves, meeting communication needs of clients and colleagues; developing communication strategies, establishing and maintaining communication pathways, conducting interviews, facilitating group discussion and representing the organization.

**Summary of Learning Outcomes**

1. Meet communication needs of clients and colleagues
2. Develop communication strategies
3. Establish and maintain communication pathways
4. Promote use of communication strategies
5. Conduct interview
6. Facilitate group discussion
7. Represent the organization

**Learning Outcomes, Content and Suggested Assessment Methods**

|  |  |  |
| --- | --- | --- |
| **Learning Outcome** | **Content** | **Suggested Assessment Methods** |
| 1. Meet communication needs of clients and colleagues
 | * Communication process
* Modes of communication
* Medium of communication
* Effective communication
* Barriers to communication
* Flow of communication
* Sources of information
* Organizational policies
* Organization requirements for written and electronic communication methods
* Report writing
* Effective questioning techniques (clarifying and probing)
* Workplace etiquette
* Ethical work practices in handling communication
* Active listening
* Feedback
* Interpretation
* Flexibility in communication
* Types of communication strategies
* Elements of communication strategy
 | * Interview
* Written texts
 |
| 1. Develop communication strategies
 | * Dynamics of groups
* Styles of group leadership
* Openness and flexibility in communication
* Communication skills relevant to client groups
 | * Interview
* Written texts
 |
| 1. Establish and maintain communication pathways
 | * Types of communication pathways
 | * Interview
* Written texts
 |
| 1. Promote use of communication strategies
 | * Application of elements of communication strategies
* Effective communication techniques
 | * Interview
* Written texts
 |
| 1. Conduct interview
 | * Types of interview
* Establishing rapport
* Facilitating resolution of issues
* Developing action plans
 | * Interview
* Written texts
 |
| 1. Facilitate group discussion
 | * Identification of communication needs
* Dynamics of groups
* Styles of group leadership
* Presentation of information
* Encouraging group members participation
* Evaluating group communication strategies
 | * Interview
* Written texts
 |
| 1. Represent the organization
 | * Presentation techniques
* Development of a presentation
* Multi-media utilization in presentation
* Communication skills relevant to client groups
 | * Interview
* Written texts
 |

**Suggested Methods of Instruction**

* Discussion
* Role playing
* Simulation
* Direct instruction

**Recommended Resources**

* Desktop computers/laptops
* Internet connection
* Projectors
* Telephone

# NUMERACY SKILLS

**UNIT CODE:** BUS/CU/FRX/BC/02/6/A

**Relationship to Occupational Standards**

This unit addresses the Unit of Competency: Demonstrate Numeracy Skills.

**Duration of Unit:** 60 hours

**Unit Description**

This unit describes the competencies required to demonstrate numeracy skills. It involves applying a wide range of mathematical calculations for work; applying ratios, rates and proportions to solve problems; estimating, measuring and calculating measurement for work; using detailed maps to plan travel routes for work; using geometry to draw and construct 2D and 3D shapes for work; collecting, organizing and interpreting statistical data; using routine formula and algebraic expressions for work and using common functions of a scientific calculator.

**Summary of Learning Outcomes**

1. Apply a wide range of mathematical calculations for work
2. Apply ratios, rates and proportions to solve problems
3. Estimate, measure and calculate measurement for work
4. Use detailed maps to plan travel routes for work
5. Use geometry to draw and construct 2D and 3D shapes for work
6. Collect, organize and interpret statistical data
7. Use routine formula and algebraic expressions for work
8. Use common functions of a scientific calculator

**Learning Outcomes, Content and Suggested Assessment Methods**

|  |  |  |
| --- | --- | --- |
| **Learning Outcome** | **Content** | **Suggested Assessment Methods** |
| 1. Apply a wide range of mathematical calculations for work
 | * Fundamentals of mathematics
* Addition, subtraction, multiplication and division of positive and negative numbers
* Algebraic expressions manipulation
* Forms of fractions, decimals and percentages
* Expression of numbers as powers and roots
 | * Written tests
* Assignments
* Supervised exercises
 |
| 1. Apply ratios, rates and proportions to solve problems
 | * Rates, ratios and proportions
* Meaning
* Conversions into percentages
* Direct and inverse proportions determination
* Performing calculations
* Construction of graphs, charts and tables
* Recording of information
 | * Written tests
* Assignments
* Supervised exercises
 |
| 1. Estimate, measure and calculate measurement for work
 | * Units of measurements and their symbols
* Identification and selection of measuring equipment
* Conversion of units of measurement
* Perimeters of regular figures
* Areas of regular figures
* Volumes of regular figures
* Carrying out measurements
* Recording of information
 | * Assignments
* Supervised exercises
* Written tests
 |
| 1. Use detailed maps to plan travel routes for work
 | * Identification of features in routine maps and plans
* Symbols and keys used in routine maps and plans
* Identification and interpretation of orientation of map to North
* Demonstrate understanding of direction and location
* Apply simple scale to estimate length of objects, or distance to location or object
* Give and receive directions using both formal and informal language
* Planning of routes
* Calculation of distance, speed and time
 | * Written
* Practical test
 |
| 1. Use geometry to draw and construct 2D and 3D shapes for work
 | * Identify two dimensional shapes and routine three dimensional shapes in everyday objects and in different orientations
* Explain the use and application of shapes
* Use formal and informal mathematical language and symbols to describe and compare the features of two dimensional shapes and routine three dimensional shapes
* Identify common angles
* Estimate common angles in everyday objects
* Evaluation of unknown angles
* Use formal and informal mathematical language to describe and compare common angles
* Symmetry and similarity
* Use common geometric instruments to draw two dimensional shapes
* Construct routine three dimensional objects from given nets
 |  |
| 1. Collect, organize and interpret statistical data
 | * + Classification of data
* Grouped data
* Ungrouped data
	+ Data collection
* Observation
* Recording
	+ Distinguishing between sampling and census
	+ Importance of sampling
	+ Errors in sampling
	+ Types of sampling and their limitations e.g.
* Stratified random
* Cluster
* Judgmental
	+ Tabulation of data
* Class intervals
* Class boundaries
* Frequency tables
* Cumulative frequency
	+ Diagrammatic and graphical presentation of data e.g.
* Histograms
* Frequency polygons
* Bar charts
* Pie charts
* Cumulative frequency curves
* Interpretation of data
 | * Assignments
* Supervised exercises
* Written tests
 |
| 1. Use routine formula and algebraic expressions for work
 | * + Solving linear equations
	+ Linear graphs
* Plotting
* Interpretation
* Applications of linear graphs
* Curves of first and second degree
* Plotting
* Interpretation
 | * Assignments
* Supervised exercises
* Written tests
 |
| 8. Use common functions of a scientific calculator | * Identify and use keys for common functions on a calculator
* Calculate using whole numbers, money and routine decimals and percentages
* Calculate with routine fractions and percentages
* Apply order of operations to solve multi-step calculations
* Interpret display and record result
 | * Written
* Practical test
 |

**Suggested Methods of Instruction**

* Group discussions
* Demonstration by trainer
* Practical work by trainee
* Exercises

**Recommended Resources**

* Calculators
* Rulers, pencils, erasers
* Charts with presentations of data
* Graph books
* Dice

# DIGITAL LITERACY

**UNIT CODE:** BUS/CU/FRX/BC/03/6/A

**Relationship to Occupational Standards**

This unit addresses the Unit of Competency: Demonstrate Digital Literacy

**Duration of Unit:** 60 hours

**Unit Description**

This unit describes competencies required to demonstrate digital literacy. It involves in identifying computer software and hardware, applying security measures to data, hardware, software in automated environment, computer software in solving task, internet and email in communication at workplace, desktop publishing in official assignments and preparing presentation packages.

**Summary of Learning Outcomes**

1. Identify computer software and hardware
2. Apply security measures to data, hardware, software in automated environment
3. Apply computer software in solving tasks
4. Apply internet and email in communication at workplace
5. Apply desktop publishing in official assignments
6. Prepare presentation packages

**Learning Outcomes, Content and Suggested Assessment Methods**

|  |  |  |
| --- | --- | --- |
| **Learning Outcome** | **Content** | **Suggested Assessment Methods** |
| 1. Identify computer hardware and software
 | * Concepts of ICT
* Functions of ICT
* History of computers
* Components of a computer
* Classification of computers
 | * Written tests
* Oral presentation
 |
| 1. Apply security measures to data, hardware, software in automated environment
 | * Data security and control
* Security threats and control measures
* Types of computer crimes
* Detection and protection against computer crimes
* Laws governing protection of ICT
 | * Written tests
* Oral presentation
* Project
 |
| 1. Apply computer software in solving tasks
 | * Operating system
* Word processing
* Spread sheets
* Data base design and manipulation
* Data manipulation, storage and retrieval
 | * Oral questioning
* Project
 |
| 1. Apply internet and email in communication at workplace
 | * Computer networks
* Network configurations
* Uses of internet
* Electronic mail (e-mail) concept
 | * Oral questioning
* Written report
 |
| 1. Apply desktop publishing in official assignments
 | * Concept of desktop publishing
* Opening publication window
* Identifying different tools and tool bars
* Determining page layout
* Opening, saving and closing files
* Drawing various shapes using DTP
* Using colour pellets to enhance a document
* Inserting text frames
* Importing and exporting text
* Object linking and embedding
* Designing of various publications
* Printing of various publications
 | * Oral questioning
* Written report
* Project
 |
| 1. Prepare presentation packages
 | * Types of presentation packages
* Procedure of creating slides
* Formatting slides
* Presentation of slides
* Procedure for editing objects
 | * Oral questioning
* Written report
* Project
 |

**Suggested Methods of Instruction**

* Instructor led facilitation of theory
* Demonstration by trainer
* Practical work by trainee
* Viewing of related videos
* Project
* Group discussions

**Recommended Resources**

* Computers
* Printers
* Storage devices
* Internet access

# ENTREPRENEURIAL SKILLS

**UNIT CODE:** BUS/CU/FRX/BC/04/6/A

**Relationship to Occupational Standards**

This unit addresses the Unit of Competency: Demonstrate Entrepreneurial Skills

**Duration of unit:** 100 hours

**Unit Description**

This unit covers the competencies required to demonstrate understanding of entrepreneurship. It involves demonstrating understanding of an entrepreneur, entrepreneurship and self-employment. It also involves identifying entrepreneurship opportunities, creating entrepreneurial awareness, applying entrepreneurial motivation and developing business innovative strategies.

**Summary of Learning Outcomes**

* 1. Demonstrate understanding of who an entrepreneur
	2. Demonstrate knowledge of entrepreneurship and self-employment
	3. Identify entrepreneurship opportunities
	4. Create entrepreneurial awareness
	5. Apply entrepreneurial motivation
	6. Develop business innovative strategies
	7. Develop Business plan

|  |  |  |
| --- | --- | --- |
| **Learning Outcome** | **Content** | **Suggested Assessment Methods** |
| 1. Demonstrate knowledge of entrepreneurship and self-employment
 | * Importance of self-employment
* Requirements for entry into self-employment
* Role of an Entrepreneur in business
* Contributions of Entrepreneurs to National development
* Entrepreneurship culture in Kenya
* Born or made entrepreneurs
 | * Individual/group assignments
* Projects
* Written tests
* Oral questions
* Third party report
 |
| 1. Identify entrepreneurship opportunities
 | * Business ideas and opportunities
* Sources of business ideas
* Business life cycle
* Legal aspects of business
* Assessment of product demand
* Business environment
* Factors to consider when evaluating business environment
* Technology in business
 | * Individual/group assignments
* Projects
* Written tests
* Oral questions
* Third party report
* Interviews
 |
| 1. Create entrepreneurial awareness
 | * Forms of businesses
* Sources of business finance
* Factors in selecting source of business finance
* Governing policies on Small Scale Enterprises (SSEs)
* Problems of starting and operating SSEs
 | * Individual/group assignments
* Projects
* Written tests
* Oral questions
* Third party report
* Interviews
 |
| 1. Apply entrepreneurial motivation
 | * Internal and external motivation
* Motivational theories
* Self-assessment
* Entrepreneurial orientation
* Effective communications in entrepreneurship
* Principles of communication
* Entrepreneurial motivation
 | * Case studies
* Individual/group assignments
* Projects
* Written tests
* Oral questions
* Third party report
* Interviews
 |
| 1. Develop business innovative strategies
 | * Innovation in business
* Small business Strategic Plan
* Creativity in business development
* Linkages with other entrepreneurs
* ICT in business growth and development
 | * Case studies
* Individual/group assignments
* Projects
* Written tests
* Oral questions
* Third party report
* Interviews
 |
| 6. Develop Business Plan | * Business description
* Marketing plan
* Organizational/Management
* plan
* Production/operation plan
* Financial plan
* Executive summary
* Presentation of Business Plan
 | * Case studies
* Individual/group assignments
* Projects
* Written tests
* Oral questions
* Third party report
* Interviews
 |

**Suggested Methods of Instruction**

* Direct instruction
* Project
* Case studies
* Field trips
* Discussions
* Demonstration
* Question and answer
* Problem solving
* Experiential
* Team training

**Recommended Resources**

* Case studies
* Business plan templates
* Computers
* Overhead projectors
* Internet
* Mobile phone
* Video clips
* Films
* Newspapers and Handouts
* Business Journals
* Writing materials

# EMPLOYABILITY SKILLS

**UNIT CODE:** BUS/CU/FRX/BC/05/6/A

**Relationship to Occupational Standards**

This unit addresses the Unit of Competency: Demonstrate Employability Skills

**Duration of Unit:** 80 hours

**Unit Description**

This unit covers competencies required to demonstrate employability skills. It involves conducting self-management, demonstrating interpersonal communication, critical safe work habits, leading a workplace team, planning and organizing work, maintaining professional growth and development, demonstrating workplace learning, problem solving skills and managing ethical performance.

**Summary of Learning Outcomes**

1. Conduct self-management
2. Demonstrate interpersonal communication
3. Demonstrate critical safe work habits
4. Lead a workplace team
5. Plan and organize work
6. Maintain professional growth and development
7. Demonstrate workplace learning
8. Demonstrate problem solving skills
9. Manage ethical performance

**Learning Outcomes, Content and Suggested Assessment Methods**

|  |  |  |
| --- | --- | --- |
| **Learning Outcome** | **Content** | **Suggested Assessment Methods** |
| 1. Conduct self-management
 | * Self-awareness
* Formulating personal vision, mission and goals
* Strategies for overcoming life challenges
* Managing emotions
* Emotional intelligence
* Assertiveness versus aggressiveness
* Expressing personal thoughts, feelings and beliefs
* Developing and maintaining high self-esteem
* Developing and maintaining positive self-image
* Setting performance targets
* Monitoring and evaluating performance
* Articulating ideas and aspirations
* Accountability and responsibility
* Good work habits
* Self-awareness
* Values and beliefs
* Self-development
* Financial literacy
* Healthy lifestyle practices
* Adopting safety practices
 | * Written tests
* Oral questioning
* Interviewing
* Portfolio of evidence
* Third party report
 |
| 1. Demonstrate interpersonal communication
 | * Meaning of interpersonal communication
* Listening skills
* Types of audience
* Public speaking
* Writing skills
* Negotiation skills
* Reading skills
* Meaning of empathy
* Understanding customers’ needs
* Establishing communication networks
* Assertiveness
* Sharing information
 | * Written tests
* Oral questioning
* Interviewing
* Portfolio of evidence
* Third party report
 |
| 1. Demonstrate critical safe work habits
 | * Stress and stress management
* Time concept
* Punctuality and time consciousness
* Leisure
* Integratingpersonal objectives into organizational objectives
* Resources mobilization
* Resources utilization
* Setting work priorities
* Developing healthy relationships
* HIV and AIDS
* Drug and substance abuse
* Managing emerging issues
 | * Written tests
* Oral questioning
* Interviewing
* Portfolio of evidence
* Third party report
 |
| 1. Lead a workplace team
 | * Leadership qualities
* Power and authority
* Team building
* Determination of team roles and objectives
* Team parameters and relationships
* Individual responsibilities in a team
* Forms of communication
* Complementing team activities
* Gender and gender mainstreaming
* Human rights
* Developing healthy relationships
* Maintaining relationships
* Conflicts and conflict resolution
* Coaching and mentoring skills
 | * Written tests
* Oral questioning
* Interviewing
* Portfolio of evidence
* Third party report
 |
| 1. Plan and organize work
 | * Functions of management
* Planning
* Organizing
* Time management
* Decision making concept
* Task allocation
* Developing work plans
* Developing work goals/objectives and deliverables
* Monitoring work activities
* Evaluating work activities
* Resource mobilization
* Resource allocation
* Resource utilization
* Proactive planning
* Risk evaluation
* Problem solving
* Collecting, analysing and organising information
* Negotiation
 | * Written tests
* Oral questioning
* Interviewing
* Portfolio of evidence
* Third party report
 |
| 1. Maintain professional growth and development
 | * Avenues for professional growth
* Training and career opportunities
* Assessing training needs
* Mobilizing training resources
* Licenses and certifications for professional growth and development
* Pursuing personal and organizational goals
* Managing work priorities and commitments
* Recognizing career advancement
 | * Written tests
* Oral questioning
* Interviewing
* Portfolio of evidence
* Third party report
 |
| 1. Demonstrate workplace learning
 | * Managing own learning
* Mentoring
* Coaching
* Contributing to the learning community at the workplace
* Cultural aspects of work
* Networking
* Variety of learning context
* Application of learning
* Safe use of technology
* Taking initiative/proactivity
* Flexibility
* Identifying opportunities
* Generating new ideas
* Workplace innovation
* Performance improvement
* Managing emerging issues
* Future trends and concerns in learning
 | * Written tests
* Oral questioning
* Interviewing
* Portfolio of evidence
* Third party report
 |
| 1. Demonstrate problem solving skills
 | * Critical thinking process
* Data analysis tools
* Decision making
* Creative thinking
* Development of creative, innovative and practical solutions
* Independence in identifying and solving problems
* Solving problems in teams
* Application of problem-solving strategies
* Testing assumptions
* Resolving customer concerns
 | * Written tests
* Oral questioning
* Interviewing
* Portfolio of evidence
* Third party report
 |
| 1. Manage ethical performance
 | * Meaning of ethics
* Ethical perspectives
* Principles of ethics
* Ethical standards
* Organization code of ethics
* Common ethical dilemmas
* Organization culture
* Corruption, bribery and conflict of interest
* Privacy and data protection
* Diversity, harassment and mutual respect
* Financial responsibility/accountability
* Etiquette
* Personal and professional integrity
* Commitment to jurisdictional laws
* Emerging issues in ethics
 | * Written tests
* Oral questioning
* Interviewing
* Portfolio of evidence
* Third party report
 |

**Suggested Methods of Instruction**

1. Demonstrations
2. Simulation/Role play
3. Group Discussion
4. Presentations
5. Assignments
6. Q&A

**Recommended Resources**

* Computers
* Stationery
* Charts
* Video clips
* Audio tapes
* Radio sets
* TV sets
* LCD projectors

# ENVIRONMENTAL LITERACY

**UNIT CODE**:BUS/CU/FRX/BC/06/6/A

**Relationship to Occupational Standards**:

This unit addresses the Unit of Competency: Demonstrate Environmental Literacy

**Duration of Unit:** 40 hours

**Unit Description**

This unit describes the competencies required demonstrate environmental literacy.it involves controlling environmental hazard, controlling environmental pollution, complying with workplace sustainable resource use, evaluating current practices in relation to resource usage, identifying environmental legislations/conventions for environmental concerns, implementing specific environmental programs, monitoring activities on environmental protection/programs, analysing resource use and developing resource conservation plans.

**Summary of Learning Outcomes**

1. Control environmental hazard
2. Control environmental Pollution
3. Demonstrate sustainable resource use
4. Evaluate current practices in relation to resource usage
5. Identify Environmental legislations/conventions for environmental concerns
6. Implement specific environmental programs
7. Monitor activities on Environmental protection/Programs
8. Analyze resource use
9. Develop resource conservation plans

**Learning Outcomes, Content and Suggested Assessment Methods**

|  |  |  |
| --- | --- | --- |
| **Learning Outcome** |  **Content** | **Suggested Assessment Methods** |
| 1. Control environmental hazard
 | * Purposes and content of Environmental Management and Coordination Act 1999
* Storage methods for environmentally hazardous materials
* Disposal methods of hazardous wastes
* Types and uses of PPE in line with environmental regulations
* Occupational Safety and Health Standards (OSHS)
 | * Written questions
* Oral questions
 |
| 1. Control environmental Pollution control
 | * Types of pollution
* Environmental pollution control measures
* Types of solid wastes
* Procedures for solid waste management
* Different types of noise pollution
* Methods for minimizing noise pollution
 | * Written questions
* Oral questions
* Role play
 |
| 1. Demonstrate sustainable resource use
 | * Types of resources
* Techniques in measuring current usage of resources
* Calculating current usage of resources
* Methods for minimizing wastage
* Waste management procedures
* Principles of 3Rs (Reduce, Reuse, Recycle)
* Methods for economizing or reducing resource consumption
 | * Written questions
* Oral questions
* Role play
 |
| 1. Evaluate current practices in relation to resource usage
 | * Collection of information on environmental and resource efficiency systems and procedures,
* Measurement and recording of current resource usage
* Analysis and recording of current purchasing strategies.
* Analysis of current work processes to access information and data
* Identification of areas for improvement
 | * Written questions
* Oral questions
* Role play
 |
| 1. Identify Environmental legislations/conventions for environmental concerns
 | * Environmental issues/concerns
* Environmental legislations /conventions and local ordinances
* Industrial standard /environmental practices
* International Environmental Protocols (Montreal, Kyoto)
* Features of an environmental strategy
 | * Written questions
* Oral questions
 |
| 1. Implement specific environmental programs
 | * Community needs and expectations
* Resource availability
* 5s of good housekeeping
* Identification of programs/Activities
* Setting of individual roles /responsibilities
* Resolving problems /constraints encountered
* Consultation with stakeholders
 | * Written questions
* Oral questions
* Role play
 |
| 1. Monitor activities on Environmental protection/Programs
 | * Periodic monitoring and Evaluation of activities
* Gathering feedback from stakeholders
* Analyzing data gathered
* Documentation of recommendations and submission
* Setting of management support systems to sustain and enhance the program
* Monitoring and reporting of environmental incidents to concerned /proper authorities
 | * Oral questions
* Written tests
* Practical test
 |
| 1. Analyze resource use
 | * Identification of resource consuming processes
* Determination of quantity and nature of resource consumed
* Analysis of resource flow through different parts of the process.
* Classification of wastes for possible source of resources.
 | * Written tests
* Oral questions
* Practical test
 |
| 1. Develop resource Conservation plans
 | * Determination of efficiency of use/conversion of resources
* Causes of low efficiency of use of resources
* Plans for increasing the efficiency of resource use
 | * Written tests
* Oral questions
* Practical test
 |

**Suggested Methods of Instruction**

* Instructor led facilitation of theory
* Practical demonstration of tasks by trainer
* Practice by trainees
* Observations and comments and corrections by trainers

**Recommended Resources**

* Standard operating and/or other workplace procedures manuals
* Specific job procedures manuals
* Environmental Management and Coordination Act 1999
* Machine/equipment manufacturer’s specifications and instructions
* Personal Protective Equipment (PPE)
* ISO standards
* Company environmental management systems (EMS)
* Montreal Protocol
* Kyoto Protocol

# OCCUPATIONAL SAFETY AND HEALTH PRACTICES

**UNIT CODE:** BUS/CU/FRX/BC/07/6/A

**Relationship to Occupational Standards**

This unit addresses the Unit of Competency: Demonstrate Occupational Safety and Health Practices

**Duration of Unit:** 40 hours

**Unit Description**

This unit specifies the competencies required to demonstrate occupational health and safety practices. It involves identifying workplace hazards and risk, identifying and implementing appropriate control measures to hazards and risks and implementing OSH programs, procedures and policies/guidelines.

**Summary of Learning Outcomes**

1. Identify workplace hazards and risk
2. Control OSH hazards
3. Implement OSH programs

**Learning Outcomes, Content and Suggested Assessment Methods**

|  |  |  |
| --- | --- | --- |
| **Learning Outcome** | **Content** | **Suggested Assessment Methods** |
| 1. Identify workplace hazards and risks
 | * Identification of hazards in the workplace and/or the indicators of their presence
* Evaluation and/or work environment measurements of OSH hazards/risk existing in the workplace
* Gathering of OSH issues and/or concerns
 | * Oral questions
* Written tests
* Portfolio of evidence
* Third party report
 |
| 1. Control OSH hazards
 | * Prevention and control measures e.g. use of PPE
* Risk assessment
* Contingency measures
 | * Oral questions
* Written tests
* Portfolio of evidence
* Third party report
 |
| 1. Implement OSH

 programs | * Company OSH program, evaluation and review
* Implementation of OSH programs
* Training of team members and advice on OSH standards and procedures
* Implementation of procedures for maintaining OSH-related records
 | * Oral questions
* Written tests
* Portfolio of evidence
* Third party report
 |

**Suggested Methods of Instruction**

* Assigments
* Discussion
* Q&A
* Role play
* Viewing of related videos

**Recommended Resources**

* Standard operating and/or other workplace procedures manuals
* Specific job procedures manuals
* Machine/equipment manufacturer’s specifications and instructions
* Personal Protective Equipment (PPE) e.g.
* Mask
* Face mask/shield
* Safety boots
* Safety harness
* Arm/Hand guard, gloves
* Eye protection (goggles, shield)
* Hearing protection (ear muffs, ear plugs)
* Hair Net/cap/bonnet
* Hard hat
* Face protection (mask, shield)
* Apron/Gown/coverall/jump suit
* Anti-static suits
* High-visibility reflective vest

# COMMON UNITS OF LEARNING

# FINANCIAL MARKETS

**UNIT CODE:** BUS/CU/FRX/CC/01/6/A

**Relationship to Occupational Standards**

This unit addresses the unit of competency: Demonstrate Understanding of Financial Markets

**Duration of Unit:** 300 hours

**Unit Description**

This unit specifies the competencies required to demonstrate understanding of financial market. It involves; identifying financial institutions, developing financial products, managing financial market simulators, analysing financial market, managing financial business risks, managing financial markets compliance standards and preparing financial market compliance report.

**Summary of Learning Outcomes**

1. Identify financial institutions
2. Develop financial products
3. Manage financial market simulators
4. Analyse financial market
5. Manage financial business risks
6. Manage financial markets compliance standards
7. Prepare financial market compliance report

**Learning Outcomes, Content and Suggested Assessment Methods**

| **Learning Outcome** | **Content** | **Suggested Assessment Methods** |
| --- | --- | --- |
| 1. Identify financial institutions
 | * Introduction to finacial institutions
* Financial institutions in forex and securities
* Functions, roles and responsibilities of Financial institutions in forex and securities
* Financial institutions regulatory and compliance obligations in forex and securities
 | * Projects/practical (Individual/group assignment)
* Oral
* Written
* Direct observation
 |
| 1. Develop financial products
 | * Meaning of terms
* Classes of financial assests
* Purposes of Financial products
* Legal framework
 | * Projects/practical (Individual/group assignment)
* Oral
* Written
* Direct observation
 |
| 1. Manage financial market simulators

simulators | * Meaning of terms
* Types of market simulators
* Classification of market simulators
* Market simulators configuration
* Market simulators testing procedures
 | * Projects/practical (Individual/group assignment)
* Oral
* Written
* Direct observation
 |
| 1. Analyse financial market
 | * Financial market analysis structures
* Financial market strategies
* Financial market analysis procedures
* Financial market analysis
 | * Projects/practical (Individual/group assignment)
* Oral
* Written
* Direct observation
 |
| 1. Manage financial business risks
 | * Introduction to financial business risks
* Types of risks
* Risk monitoring and evaluation
* Risk mitigation
 | * Projects/practical (Individual/group assignment)
* Oral
* Written
* Direct observation
 |
| 1. Manage financial markets compliance standards
 | * Meaning of terms
* Compliance policies
* Compliance structures
* compliance standards implementation
* Monitoring and evaluation of market compliance
 | * Projects/practical (Individual/group assignment)
* Oral
* Written
* Direct observation
 |
| 1. Prepare financial market compliance report
 | * Meaning of terms
* Market compliance standards
* Procedures for market compliance reports
 | * Projects/practical (Individual/group assignment)
* Oral
* Written
* Direct observation
 |

**Suggested Methods of Instruction**

* Demonstration by trainer
* Direct instruction
* Project
* Discussions

**Recommended Resources**

* Computers
* Internet
* Trading simulators
* Stationery
* Recorders
* Dealing room (fully furnished)
* Administrative office

# CORE UNIT OF LEARNING

# TRADING SECURITIES IN FINANCIAL MARKETS

**UNIT CODE:** BUS/CU/FRX/CR/01/6/A

**Relationship to Occupational Standards**

This unit addresses the unit of competency: Trade securities in financial markets

**Duration of Unit:** 270 hours

**Unit Description**

This unit specifies the competencies required to trade securities in financial markets. It involves; developing financial securities trading plan, conducting financial securities trading, processing financial securities data and preparing financial securities trading reports.

**Summary of Learning Outcomes (elements)**

1. Develop financial securities trading plan
2. Conduct financial securities trading
3. Process financial securities data
4. Prepare financial securities trading reports

**Learning Outcomes, Content and Suggested Assessment Methods**

|  |  |  |
| --- | --- | --- |
| **Learning Outcome** | **Content** | **Suggested Assessment Methods** |
| * 1. Develop financial securities trading plan
 | * Introduction to trading securities in financial markets
* Financial instruments
* Trading plans
* Market Segment
* Rules and regulations
* Trading Reports
 | * Projects/practical (Individual/group assignment)
* Oral
* Written
* Direct observation
 |
| * 1. Conduct financial securities trading
 | * Categories of orders
* Characteristics of the order
* Clients’ orders
* Types of client
* Client needs etc
* Managing financial securities orders
* Order execution
 | * Projects/practical (Individual/group assignment)
* Oral
* Written
* Direct observation
 |
| * 1. Process financial securities data
 | * Generating financial securitiesdata
* Classifying financial securitiesdata
* Analysing financial securitiesdata
* Financial securitiesbusiness standards
* Generate financial securitiesreport
* Archiving financial securitiesdata
 | * Projects/practical (Individual/group assignment)
* Oral
* Written
* Direct observation
 |
| * 1. Process financial securities data
 | * Sources of data
* Methods of data collection
* Classification of data
* Comparative financial securities analysis
* Data presentation
 | * Projects/practical (Individual/group assignment)
* Oral
* Written
* Direct observation
 |

**Suggested Methods of Instruction**

* Demonstration by trainer
* Direct instruction
* Project
* Discussions

**Recommended Resources**

* Computers
* Internet
* Trading simulators
* Stationery
* Recorders
* Dealing room (fully furnished)
* Administrative office

#  FINANCIAL SECURITIES RISKS MANAGEMENT

**UNIT CODE:** BUS/CU/FRX/CR/02/6/A

**Relationship to Occupational Standards**

This unit addresses the unit of competency: Manage financial securities risks

**Duration of Unit:** 300 hours

**Unit Description**

This unit specifies the competencies required to manage financial securities risks. It involves; determining financial securities risks, developing financial securities risk strategies, enforcing risks mitigation and compliance, monitoring financial business processes and preparing financial risk report.

**Summary of Learning Outcomes**

1. Determine financial securities risks
2. Develop financial securities risk policies registers, rating cards and reporting strategies
3. Enforce risks mitigation and compliance
4. Monitor financial business processes and risk
5. Prepare financial risk report

**Learning Outcomes, Content and Suggested Assessment Methods**

| **Learning Outcome** | **Content** | **Suggested Assessment Methods** |
| --- | --- | --- |
| 1. Determine financial securities risks
 | * Introduction to financial securities risks management
* Classification of financial securities risks
* Documentation methods of Financial securities risks
 | * Projects/practical (Individual/group assignment)
* Oral
* Written
* Direct observation
 |
| 1. Develop financial securities risk strategies
 | * Meaning of terms
* Risk policies
* Types of risk strategies
* Risk management
* Financial securities risks registers
* Financial securities risks rating cards
* Financial securities risks reporting strategies
 | * Projects/practical (Individual/group assignment)
* Oral
* Written
* Direct observation
 |
| 1. Enforce risks mitigation and compliance
 | * Compliance policies and regulations
* Compliance levels of different risk
* Monitoring risk and compliance
* Risk mitigation and compliance matrix
* Risk compliance documenting and reporting
 | * Projects/practical (Individual/group assignment)
* Oral
* Written
* Direct observation
 |
| 1. Monitor business financial processes
 | * Financial business processes monitoring strategies
* Risk mitigation Monitoring matrices
* Risk monitoring and management strategies
 | * Projects/practical (Individual/group assignment)
* Oral
* Written
* Direct observation
 |
| 1. Prepare financial risk report
 | * Data collection methods
* Financial risk reporting
* Risk and compliance reporting
* Record maintenance
 | * Projects/practical (Individual/group assignment)
* Oral
* Written
* Direct observation
 |

**Suggested Methods of Instruction**

* Demonstration by trainer
* Direct instruction
* Project
* Discussions

**Recommended Resources**

* Computers
* Internet
* Trading simulators
* Stationery
* Recorders
* Dealing room (fully furnished)
* Administrative office

#  FINANCIAL PRODUCT MARKETS

**UNIT CODE:** BUS/CU/FRX/CR/03/6/A

**Relationship to Occupational Standards**

This unit addresses the unit of competency: Develop financial products and markets

**Duration of Unit:** 280 hours

**Unit Description**

This unit specifies the competencies required to develop financial product markets. It involves; identifying financial product market, developing financial product market, developing financial products pricing models, positioning financial product, marketing financial products and monitoring product performance.

**Summary of Learning Outcomes**

1. Identify financial product market
2. Develop financial product market
3. Develop financial products pricing models
4. Position financial product
5. Market financial products
6. Monitor product performance

**Learning Outcomes, Content and Suggested Assessment Methods**

|  |  |  |
| --- | --- | --- |
| **Learning Outcome** | **Content** | **Suggested Assessment Methods** |
| 1. Identify financial product market
 | * Introduction to financial markets
* Financial products and markets
* Financial product market analysis
* Benchmarking of financial products
* Customer feedback analysis
 | * Projects/practical (Individual/group assignment)
* Oral
* Written
* Direct observation
 |
| 1. Develop financial product market
 | * Introduction to financial product markets
* Types of Financial products markets
* Methods of developing of financial products
* Determinations of financial markets
* legal frame work
* Products markets
 | * Projects/practical (Individual/group assignment)
* Oral
* Written
* Direct observation
 |
| 1. Develop financial products pricing models
 | * Introduction to pricing models
* Methods of developing pricing model
* Testing pricing models
* Adopting pricing models
* Approving pricing models
* Pricing model reporting
 | * Projects/practical (Individual/group assignment)
* Oral
* Written
* Direct observation
 |
| 1. Position financial product
 | * Introduction to financial position
* Market targets
* Customer needs analysis
* Strategies of financial product positioning
 | * Projects/practical (Individual/group assignment)
* Oral
* Written
* Direct observation
 |
| 1. Market financial products
 | * Developing marketing strategy
* Resources Mobilization
* Marketing tools
 | * Projects/practical (Individual/group assignment)
* Oral
* Written
* Direct observation
 |
| 1. Monitor product performance
 | * Monitoring and evaluation strategies
* Evaluation of products and market performance
* Products and market performance Reporting.
 | * Projects/practical (Individual/group assignment)
* Oral
* Written
* Direct observation
 |

**Suggested Methods of Instruction**

* Demonstration by trainer
* Direct instruction
* Project
* Discussions

**Recommended Resources**

* Computers
* Internet
* Trading simulators
* Stationery
* Recorders
* Dealing room (fully furnished)
* Administrative office

# FINANCIAL INVESTMENTS MANAGEMENT

**UNIT CODE:** BUS/CU/FRX/CR/04/6/A

**Relationship to Occupational Standards**

This unit of learning addresses the unit of competency: Manage financial investments

**Duration of Unit:** 300 hours

**Unit Description**

This unit specifies the competencies required to manage financial investments. It involves; developing investment policy, determining financial investment compliance standards, carrying out financial investment strategy, managing financial investment risks, managing financial investment portfolio performance and preparing financial investments compliance report.

**Summary of Learning Outcomes**

1. Develop investment policy
2. Determine financial investment compliance standards
3. Carry out financial investment strategy
4. Manage financial investment risks
5. Manage financial investment portfolio performance
6. Prepare financial investments compliance report

**Learning Outcomes, Content and Suggested Assessment Methods**

|  |  |  |
| --- | --- | --- |
| **Learning Outcome** | **Content** | **Suggested Assessment Methods** |
| 1. Develop investment policy
 | * Introduction to investment policy
* Investment policy development process
* Structuring investment strategies
* Client information guidelines
* Approval of investment policy
 | * Projects/practical (Individual/group assignment)
* Oral
* Written
* Direct observation
 |
| 1. Determine financial investment compliance standards
 | * Meaning of terms
* Indicators of investment compliance
* Monitoring financial investment compliance standards
* Financialinvestment compliance reporting.
 | * Projects/practical (Individual/group assignment)
* Oral
* Written
* Direct observation
 |
| 1. Carry out financial investment strategy
 | * Meaning of terms
* Categories of financial investment strategies
* Implementation of financila strategies
* Monitoring investment stragies
 | * Projects/practical (Individual/group assignment)
* Oral
* Written
* Direct observation
 |
| 1. Manage financial investment risks
 | * Introduction of financial investment risks
* Types of investment risks
* Financialinvestments risk matrix
* Risk mitigation strategies
 | * Projects/practical (Individual/group assignment)
* Oral
* Written
* Direct observation
 |
| 1. Manage financial investment portfolio performance
 | * Introduction to financialinvestment portfolio performance reports
* Portfolio performance evaluation
* Portfolio performance analysis
 | * Projects/practical (Individual/group assignment)
* Oral
* Written
* Direct observation
 |
| 1. Prepare financial investments compliance report
 | * Meaning of terms
* Compliance standards
* Procedures for investment compliance reports
 | * Projects/practical (Individual/group assignment)
* Oral
* Written
* Direct observation
 |

**Suggested Methods of Instruction**

* Demonstration by trainer
* Direct instruction
* Project
* Discussions

**Recommended Resources**

* Computers
* Internet
* Trading simulators
* Stationery
* Recorders
* Dealing room (fully furnished)
* Administrative office

#  FINANCIAL INFORMATION

**UNIT CODE:** BUS/CU/FRX/CR/05/6/A

**Relationship to Occupational Standards**

This unit of learning addresses the unit of competency: Communicate Financial Information

**Duration of Unit:** 310 hours

**Unit Description**

This unit specifies competencies required to communicate financial information. It involves; developing communication policy, analysing financial information, developing communication standards, monitoring communication compliance and preparing financial communication reports.

**Summary of Learning Outcomes**

1. Develop communication policy
2. Analyse financial information
3. Develop communication standards
4. Monitor communication compliance
5. Prepare financial communication reports

**Learning Outcomes, Content and Suggested Assessment Methods**

|  |  |  |
| --- | --- | --- |
| **Learning Outcome** | **Content** | **Suggested Assessment Methods** |
| 1. Develop communication policy
 | * Introduction to financial information
* Financial information legal framework
* Financial information policies
* Communication guidelines
* Information dissemination guidelines.
 | * Projects/practical (Individual/group assignment)
* Oral
* Written
* Direct observation
 |
| 1. Analyse financial information
 | * Types of financial information
* Financial information structure
* Classification of Financial information
* Integrity of Financial information
 | * Projects/practical (Individual/group assignment)
* Oral
* Written
* Direct observation
 |
| 1. Develop communication standards
 | * Meaning of terms
* Formulation of Information communication standards
* Implementation of communication strategies
* Adoption procedures
 | * Projects/practical (Individual/group assignment)
* Oral
* Written
* Direct observation
 |
| 1. Monitor communication compliance
 | * Meaning of terms
* Monitoring and evaluation strategies
* Validation compliance procedures
 | * Projects/practical (Individual/group assignment)
* Oral
* Written
* Direct observation
 |
| 1. Prepare financial communication reports
 | * Meaning of terms
* Communication standards
* Procedures for communication reports
 | * Projects/practical (Individual/group assignment)
* Oral
* Written
* Direct observation
 |

**Suggested Methods of Instruction**

* Demonstration by trainer
* Direct instruction
* Project
* Group discussions

**Recommended Resources**

* Computers
* Internet
* Trading simulators
* Stationery
* Recorders
* Dealing room (fully furnished)
* Administrative office

# TRADING OPERATIONAL SYSTEMS

**UNIT CODE:** BUS/CU/FRX/CR/06/6/A

**Relationship to Occupational Standards**

This unit addresses the unit of competency: Develop trading and operational systems

**Duration of Unit:** 220 hours

**Unit Description**

This unit specifies the competencies required to develop trading operational systems. It involves; determining trading operational system, developing trading operational system, managing trading and operational systems performance, monitoring trading and operation systems’ risks, carrying out operational systems compliance assessment, maintaining trading operational systems and preparing trading operational system report.

**Summary of Learning Outcomes**

1. Determine trading operational system
2. Develop trading operational system
3. Manage trading and operational systems performance
4. Monitor trading and operation systems’ risks
5. Carry out operational systems compliance assessment
6. Maintain trading operational systems
7. Prepare trading operational system report

**Learning Outcomes, Content and Suggested Assessment Methods**

|  |  |  |
| --- | --- | --- |
| **Learning Outcome** | **Content** | **Suggested Assessment Methods** |
| 1. Determine trading operational system
 | * Introduction trading operational systems
* Trading and operational system standards
* Trading systems needs
* Operational systems need
* Trading and operational legal frame work
* Application of trading and operational systems
 | * Projects/practical (Individual/group assignment)
* Oral
* Written
* Direct observation
 |
| 1. Develop trading operational system
 | * Meaning of terms
* Criteria for development trading operational systems
* Process of developing trading and operational systems
* Methods of approval
 | * Projects/practical (Individual/group assignment)
* Oral
* Written
* Direct observation
 |
| 1. Manage trading and operational systems performance
 | * Meaning of terms
* Trading and operational systems management policy
* Trading and operational systems standards
* Monitoring and evaluation of trading operational systems performance
 | * Projects/practical (Individual/group assignment)
* Oral
* Written
* Direct observation
 |
| 1. Monitor trading operation systems risks
 | * Meaning of terms
* Trading and operational systems monitoring risk
* Trading and operational systems risk policy
* Monitoring and evaluation of trading operational systems risk
 | * Projects/practical (Individual/group assignment)
* Oral
* Written
* Direct observation
 |
| 1. Carry out operational systems compliance assessment
 | * Meaning of terms
* Compliance criteria
* Compliance standards
* Compliance assessment reporting
 | * Projects/practical (Individual/group assignment)
* Oral
* Written
* Direct observation
 |
| 1. Maintain trading operational systems
 | * Meaning of terms
* Maintenance operational system procedures
 | * Projects/practical (Individual/group assignment)
* Oral
* Written
* Direct observation
 |
| 1. Prepare trading operational system report
 | * Meaning of terms
* operational system standards
* Procedures for operational system reports
 | * Projects/practical (Individual/group assignment)
* Oral
* Written
* Direct observation
 |

**Suggested Methods of Instruction**

* Demonstration by trainer
* Direct instruction
* Project
* Group discussions

**Recommended Resources**

* Computers
* Internet
* Trading simulators
* Stationery
* Recorders
* Dealing room (fully furnished)
* Administrative office