

**REPUBLIC OF KENYA**

**NATIONAL OCCUPATIONAL STANDARDS**

**FOR**

**CERTIFIED PENSIONS MANAGER**

**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 of Kenya’s development blueprint 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 to 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 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 these occupational standards have been developed.

It is my conviction that these occupational standards will play a great role towards development of competent human resource for the Pension Management Sector’s growth and development.

**PRINCIPAL SECRETARY**

**VOCATIONAL AND TECHNICAL TRAINING**

# 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 Sessional Paper No. 4 of 2016 on Reforming Education and Training in Kenya, emphasized the need to reform 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 labor force.

TVET Curriculum Development, Assessment and Certification Council (TVET CDACC) in conjunction with Supply Chain Sector Skills Advisory Committee (SSAC) have developed these occupational standards. The occupational standards are designed and organized with clear performance criteria for each element of a unit of competency. These standards also outline the required knowledge and skills as well as evidence guide.

I am grateful to the Council Members, Council Secretariat, Supply Chain SSAC, expert workers and all those who participated in the development of these occupational standards.

**CHAIRPERSON,**

**TVET CDACC**

**ACKNOWLEDGMENT**

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

I recognize with appreciation the role of the Pension Management Sector Skills Advisory Committee (SSAC) in ensuring that competencies required by the industry are addressed in the standards. I also thank all stakeholders in the Pension Management Sector for their valuable input and all those who participated in the process of developing these occupational standards.

I am convinced that these occupational standards will go a long way in ensuring that workers in Pension Management Sector acquire competencies that will enable them to perform their work more efficiently.

**COUNCIL SECRETARY/CEO**

**TVET CDACC**

# ABBREVIATION AND ACRONYMS

BC Basic Competency

CC Common Competency

CDACC Curriculum Development Assessment and Certification Council

CR Core Competency

CU Curriculum

FIFO First in First Out

LIFO Last in First Out

LPO Local Purchase Order

LSO Local Service Order

OSHA Occupational Safety and Health A

PPE Personal Protective Equipment

SSAC Sector Skills Advisory Committee

TVET Technical and Vocational Education and Training

# KEY TO UNIT CODE

** TR / CU/MC/ BC/CO/ CC /01/ 3**

Industry or sector

Curriculum

Occupational area

Type of competency

Type of competency

Type of competency

Competency number

Competence level

# OVERVIEW

The Pension Management Level Sixconsists of competencies that a person must achieve to manage pension in organizations’ Auditing Retirement Benefits, Scheme (RBS) Books of Accounts, Retirement Benefit Scheme (RBS) Actuarial Services, Retirement Benefits Scheme (RBS) Investment Management, Retirement Benefit Scheme (RBS) Custody Services Retirement Benefits Scheme (RBS) Accounting Services, Retirement Benefits Scheme (RBS) Administration Services, Provide Retirement Benefits Scheme (RBS) Trust Secretariat and Services Retirement Benefits Scheme (RBS) Legal Services within the institutions.

**Units of Learning**

This course consists of basic, core competencies as indicated below:

**Basic Competencies**

1. Demonstrate communication skills
2. Demonstrate occupational safety and health practices
3. Demonstrate numeracy skills
4. Demonstrate digital literacy
5. Demonstrate entrepreneurial skills
6. Demonstrate employability skills
7. Demonstrate environmental literacy

**Core Competencies**

This course consists of Eight (8) Units of learning as shown below:

1. Auditing Retirement Benefits Scheme (RBS) Books of Accounts
2. Retirement Benefit Scheme (RBS) Actuarial Services.
3. Retirement Benefits Scheme (RBS) Investment Management
4. Retirement Benefit Scheme (RBS) Custody Services
5. Retirement Benefits Scheme (RBS) Accounting Services
6. Retirement Benefits Scheme (RBS) Administration Services
7. Provide Retirement Benefits Scheme (RBS) Trust Secretariat Services
8. Retirement Benefits Scheme (RBS)

#  BASIC UNITS OF COMPETENCY

# DEMONSTRATE COMMUNICATION SKILLS

**UNIT CODE:** TEX/OS/LT/BC/01/6/A

**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.

**ELEMENTS AND PERFORMANCE CRITERIA**

|  |  |
| --- | --- |
| **ELEMENT** These describe the key outcomes which make up workplace function | **PERFORMANCE CRITERIA**These are assessable statements which specify the required level of performance for each of the elements.***Bold and italicized terms are elaborated in the Range*** |
| 1. Meet communication needs of clients and colleagues
 | 1. Specific communication needs of clients and colleagues are identified and met based on workplace requirements
2. Different communication approaches are identified and applied according to clients’ needs
3. Conflict is identified and addressed as per the standards of the organization
 |
| 1. Develop communication strategies
 | * 1. Strategies for effective internal and external dissemination of information are developed as per organization’s requirements
	2. Special communication needs are considered in developing strategies according workplace procedures
	3. ***Communication strategies*** are analyzed, evaluated and revised based the workplace needs
 |
| 1. Establish and maintain communication pathways
 | * 1. Pathways of communication are established as per organization policy
	2. Pathways are maintained and reviewed according to organization procedures
 |
| 1. Promote use of communication strategies
 | * 1. Information is provided to all areas of the organization as per strategy requirements
	2. Effective communication techniques are articulated and modeled according work requirements
	3. Personnel are given guidance about adapting communication strategies as per organization procedures
 |
| 1. Conduct interview
 | 1. A range of appropriate communication strategies are employed in ***interview situations*** based on the workplace requirements
2. Records of interviews are made and maintained in accordance with organizational procedures
3. Effective questioning, listening and nonverbal communication techniques are used as per needs
 |
| 1. Facilitate group discussion
 | 1. Mechanisms to enhance ***effective group interaction*** are identified and implemented according to workplace requirements
2. Strategies to encourage group participation are identified and used as per organizations’ procedures
3. Meetings objectives and agenda are set and followed based on workplace requirements
4. Relevant information is provided and feedback obtained according to set protocols
5. Evaluation of group communication strategies is undertaken in accordance with workplace guidelines
6. Specific communication needs of individuals are identified and addressed as per individual needs
 |
| 1. Represent the organization
 | 1. 7Relevant presentation are researched and presented based on internal or external communication forums requirements
2. Presentation is delivered in a clear and sequential manner as per the predetermined time
3. Presentation is made as per appropriate media
4. Difference views are respected based on workplace procedures
5. Written communication is done as per organizational standards
6. Inquiries are responded according to organizational standard
 |

**RANGE**

This section provides work environment and conditions to which the performance criteria apply. It allows for different work environment and situations that will affect performance.

|  |  |
| --- | --- |
| **Variable** | **Range** |
| 1. Communication strategies may include but not limited to:
 | * Language switch
* Comprehension check
* Repetition
* Asking confirmation
* Paraphrase
* Clarification request
* Translation
* Restructuring
* Approximation
* Generalization
 |
| 1. Effective group interaction may include but not limited to:
 | * Identifying and evaluating what is occurring within an interaction in a nonjudgmental 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
 |
| 1. Situations may include but not limited to:
 | * Establishing rapport
* Eliciting facts and information
* Facilitating resolution of issues
* Developing action plans
* Diffusing potentially difficult situations
 |

**REQUIRED SKILLS AND KNOWLEDGE**

This section describes the skills and knowledge required for this unit of competency.

**Required Skills**

The individual needs to demonstrate the following skills:

* Communication
* Active listening
* Interpretation
* Negotiation
* Writing

**Required Knowledge**

The individual needs to demonstrate knowledge of:

* Communication process
* Dynamics of groups
* Styles of group leadership
* Key elements of communications strategy

**EVIDENCE GUIDE**

This provides advice on assessment and must be read in conjunction with the performance criteria, required skills and knowledge and range.

|  |  |
| --- | --- |
| 1. Critical aspects of Competency
 | Assessment requires evidence that the candidate: 1. Developed communication strategies to meet the organization requirements and applied in the workplace
2. Established and maintained communication pathways for effective communication in the workplace
3. Used communication strategies involving exchanges of complex oral information
 |
| 1. Resource Implications
 | The following resources should be provided: 1. Access to relevant workplace or appropriately simulated environment where assessment can take place
2. Materials relevant to the proposed activity or tasks
 |
| 1. Methods of Assessment
 | Competency in this unit may be assessed through: 1. Direct observation
2. Oral questioning
3. Written texts
 |
| 1. Context of Assessment
 | Competency may be assessed:1. On-the-job
2. Off-the –job
3. During Industrial attachment
 |
| 1. Guidance information for assessment
 | Holistic assessment with other units relevant to the industry sector, workplace and job role is recommended. |

# DEMONSTRATE NUMERACY SKILLS

**UNIT CODE:** TEX/OS/LT/BC/02/6/A

**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.

**ELEMENTS AND PERFORMANCE CRITERIA**

|  |  |
| --- | --- |
| **ELEMENT** These describe the key outcomes which make up workplace function. | **PERFORMANCE CRITERIA**These are assessable statements which specify the required level of performance for each of the elements.***Bold and italicized terms*** ***are elaborated in the Range.*** |
| 1. Apply a wide range of mathematical calculations for work
 | * 1. Mathematical information embedded in a range of workplace tasks and texts is extracted as per workplace procedures.
	2. Mathematical information is interpreted and comprehended as per job specifications
	3. A range of mathematical and problem solving processes are selected and used as per job specification
	4. Different forms of fractions, decimals and percentages are flexibly used as per SOPs
	5. Calculation performed with positive and negative numbers as per SOPs
	6. Numbers are expressed as powers and roots and are used in calculations as per SOPs
	7. Calculations done using routine formulas as per SOPs
	8. Estimation and assessment processes are used to check outcome as per workplace procedures
	9. Mathematical language is used to discuss and explain the processes, results and implications of the task as per workplace procedures
 |
| 1. Use and apply ratios, rates and proportions for work
 | * 1. Information regarding ratios, rates and proportions extracted from a range of workplace tasks and texts as per SOPs
	2. Mathematical information related to ratios, rate and proportions is analysed as per SOPs
	3. Problem solving processes are used to undertake the task as per workplace procedures
	4. Equivalent ratios and rates are simplified as per SOPs
	5. Quantities are calculated using ratios, rates and proportions as per SOPS
	6. Graphs, charts or tables are constructed to represent ratios, rates and proportions as per SOPs
	7. The outcomes reviewed and checked as per job specifications
	8. Information is record using mathematical language and symbols as per workplace procedures
 |
| 1. Estimate, measure and calculate measurement for work
 | * 1. Measurement information embedded in workplace texts and tasks are extracted and interpreted as per job specifications
	2. Appropriate workplace measuring equipment are identified and selected as per job specifications
	3. Accurate measurements are estimated and made as per SOPs
	4. The area of ***2D shapes*** including compound shapes are calculated as per SOPs
	5. The volume of 3D shapes is calculated using relevant formulas as per SOPs
	6. Sides of right angled triangles are calculated using Pythagoras’ theorem as per SOPs
	7. conversions are perform between units of measurement as per job specification
	8. Problem solving processes are used to undertake the task as per workplace Procedures
	9. The measurement outcomes are reviewed and checked as per workplace procedures
	10. Information is recorded using mathematical language and symbols appropriate for the task as per workplace procedures
 |
| 1. Use detailed maps to plan travel routes for work
 | * 1. Different types of maps are identified and interpreted as per job requirements
	2. Key features of maps are identified as per job requirements
	3. Scales are identified and interpreted as per job requirements
	4. Scales are applied to calculate actual distances
	5. Positions or locations are determined using directional information as per job requirements
	6. Routes are planned by determining directions and calculating distances, speeds and times as per job requirements
	7. Information is gathered and identified and relevant factors related to planning a route checked as per job requirements
	8. Relevant equipment is select and checked for accuracy and operational effectiveness as per job requirements
	9. Task is planned and recorded using specialized mathematical language and symbols appropriate for the task as per job requirements
 |
| 1. Use geometry to draw 2D shapes and construct 3D shapes for work
 | * 1. A range of 2D shapes and 3D shapes and their uses in work contexts is identified as per job specifications
	2. Features of 2D and 3D shapes are named and described as per job specifications
	3. Types of angles in 2D and 3D shapes are identified as per job specifications
	4. Angles are drawn, estimated and measured using geometric instruments as per job requirements
	5. Angle properties of 2D shapes are named and identified as per SOPs
	6. Angle properties are used to evaluate unknown angles in shapes as per SOPs
	7. Properties of perpendicular and parallel lines are applied to shapes as per SOPs
	8. Understanding and use of symmetry is demonstrated as per SOPs
	9. Understanding and use of similarity is demonstrated as per SOPs
	10. The workplace tasks and mathematical processes required are identified as per workplace procedures
	11. 2D shapes is drawn for work as per job specification
	12. 3D shapes is constructed for work as per job specification
	13. The outcomes are reviewed and checked as per workplace procedures
	14. Specialized mathematical language and symbols appropriate for the task are used as per SOPs
 |
| 1. Collect, organize, and interpret statistical data for work
 | * 1. Workplace issue requiring investigation are identified as per workplace procedures
	2. Audience / population / sample unit is determined as per workplace procedures as per workplace procedures
	3. Data to be collected is identified as per workplace procedures
	4. Data collection method is selected as per workplace procedures
	5. Appropriate statistical data is collected and organized as per SOPs
	6. Data is illustrated in appropriate formats as per SOPs
	7. The effectiveness of different types of graphs are compared as per SOPs
	8. The summary statistics for collected data is calculated as per SOPs
	9. The results / findings are interpreted as per SOPs
	10. Data is checked to ensure that it meets the expected results and content as per workplace procedures
	11. Information from the results including tables, graphs and summary statistics is extracted and interpreted as per workplace procedure
	12. Mathematical language and symbols are used to report results of investigation as per workplace procedure
 |
| 1. Use routine formula and algebraic expressions for work
 | * 1. Understanding of informal and symbolic notation, representation and conventions of algebraic expressions is demonstrated as per SOPs
	2. Simple algebraic expressions and equations are developed as per job specification
	3. Operate on algebraic expressions as per job requirement
	4. Algebraic expressions are simplified as per job requirement
	5. Substitution into simple routine equations is done as per SOPs
	6. Routine formulas used for work tasks are identified and comprehended as per SOPs
	7. Routine formulas are evaluate by substitution as per SOPs
	8. Routine formulas transposed as per SOPs
	9. Appropriate formulas are identified and used for work related tasks as per workplace procedures
	10. Outcomes are checked and result of calculation used as per workplace procedures
 |
| 1. Use common functions of a scientific calculator for work
 | * 1. Required numerical information to perform tasks is located as per job specification
	2. The order of operations and function keys necessary to solve mathematical calculation are determined as per job specification
	3. Function keys on a scientific calculator are identified and used as per SOPs
	4. Estimations are referred to check reasonableness of problem solving process as per workplace procedures
	5. Appropriate mathematical language, symbols and conventions are used to report results as per workplace procedures
 |

**RANGE**

This section provides work environments and conditions to which the performance criteria apply. It allows for different work environments and situations that will affect performance.

|  |  |
| --- | --- |
| **Variable** | **Range** |
| 1. 2D shapes may include but not limited may include but not limited to:
 | * Triangles
* Square
* Rectangle
* Triangle
 |

**REQUIRED SKILLS AND KNOWLEDGE**

This section describes the skills and knowledge required for this unit of competency.

**Required Skills**

The individual needs to demonstrate the following skills:

* Measuring
* Logical thinking
* Computing
* Drawing of graphs
* Applying mathematical formulas
* Analytical

**Required knowledge**

The individual needs to demonstrate knowledge of:

* Types of common shapes
* Differentiation between two dimensional shapes / objects
* Formulae for calculating area and volume
* Types and purpose of measuring instruments
* Units of measurement and abbreviations
* Fundamental operations (addition, subtraction, division, multiplication)
* Rounding techniques
* Types of fractions
* Different types of tables and graphs
* Meaning of graphs, such as increasing, decreasing, and constant value
* Preparation of basic data, tables & graphs

**EVIDENCE GUIDE**

This provides advice on assessment and must be read in conjunction with the performance criteria, required skills and knowledge and range.

|  |  |
| --- | --- |
| 1. Critical aspects of Competency
 | Assessment requires evidence that the candidate:1. Developed communication strategies to meet the organization requirements and applied in the workplace
2. Established and maintained communication pathways for effective communication in the workplace
3. Used communication strategies involving exchanges of complex oral information
 |
| 1. Resource Implications
 | The following resources should be provided:1. Access to relevant workplace or appropriately simulated environment where assessment can take place
2. Materials relevant to the proposed activity or tasks
 |
| 1. Methods of Assessment
 | Competency in this unit may be assessed through:1. Observation
2. Oral questioning
3. Written test
4. Portfolio of Evidence
5. Interview
6. Third party report
 |
| 1. Context of Assessment
 | Competency may be assessed:1. On-the-job
2. Off-the –job
3. During Industrial attachment
 |
| 1. Guidance information for assessment
 | Holistic assessment with other units relevant to the industry sector, workplace and job role is recommended. |

**DEMONSTRATE DIGITAL LITERACY**

**UNIT CODE:** TEX/OS/LT/BC/03/6/A

**UNIT DESCRIPTION**

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

**ELEMENTS AND PERFORMANCE CRITERIA**

|  |  |
| --- | --- |
| **ELEMENT** These describe the key outcomes which make up workplace function | **PERFORMANCE CRITERIA**These are assessable statements which specify the required level of performance for each of the elements.***Bold and italicized terms are elaborated in the Range*** |
| 1. Identify appropriate computer software and hardware
 | * 1. Concepts of ICT are determined in accordance with computer equipment
	2. Classifications of computers are determined in accordance with manufacturers specification
	3. Appropriate computer software is identified according to manufacturer’s specification
	4. Appropriate computer hardware is identified according to manufacturer’s specification
	5. Functions and commands of operating system are determined in accordance with manufacturer’s specification
 |
| 1. Apply security measures to data, hardware, software in automated environment
 | * 1. ***Data security and privacy are classified*** in accordance with the prevailing technology
	2. ***Security threats*** reidentified ***and control measures*** are applied in accordance with laws governing protection of ICT
	3. Computer threats and crimes are detected in accordance to Information Management security guidelines
	4. Protection against computer crimes is undertaken in accordance with laws governing protection of ICT
 |
| 1. Apply computer software in solving tasks
 | * 1. ***Word processing concepts*** are applied in resolving workplace tasks, report writing and documentation as per the job requirements
	2. ***Word processing utilities*** are applied in accordance with workplace procedures
	3. Worksheet layout is prepared in accordance with work procedures
	4. Worksheet is built and data manipulated in the worksheet in accordance with workplace procedures
	5. Continuous data manipulated on worksheet is undertaken in accordance with work requirements
	6. Database design and manipulation is undertaken in accordance with office procedures
	7. Data sorting, indexing, storage, retrieval and security is provided in accordance with workplace procedures
 |
| 1. Apply internet and email in communication at workplace
 | * 1. Electronic mail addresses are opened and applied in workplace communication in accordance with office policy
	2. Office internet functions are defined and executed in accordance with office procedures
	3. ***Network configuration*** is determined in accordance with office operations procedures
	4. Official World Wide Web is installed and managed according to workplace procedures
 |
| 1. Apply Desktop publishing in official assignments
 | * 1. Desktop publishing functions and tools are identified in accordance with manufactures specifications
	2. Desktop publishing tools are developed in accordance with work requirements
	3. Desktop publishing tools are applied in accordance with workplace requirements
	4. Typeset work is enhanced in accordance with workplace standards
 |
| 1. Prepare presentation packages
 | * 1. Types of presentation packages are identified in accordance with office requirements
	2. Slides are created and formulated in accordance with workplace procedures
	3. Slides are edited and run-in accordance with work procedures
	4. Slides and handouts are printed according to work requirements
 |

**RANGE**

This section provides work environments and conditions to which the performance criteria apply. It allows for different work environments and situations that will affect performance.

|  |  |
| --- | --- |
| **Variable** | **Range** |
| 1. Appropriate computer hardware may include but not limited to:
 | Collection of physical parts of a computer system such as:* Computer case, monitor, keyboard, and mouse
* All the parts inside the computer case, such as the hard disk drive, motherboard and video card
 |
| 1. Data security and privacy may include but not limited to:
 | * Confidentiality of data
* Cloud computing
* Integrity -but-curious data surfing
 |
| 1. Security and control measures may include but not limited to:
 | * Counter measures against cyber terrorism
* Risk reduction
* Cyber threat issues
* Risk management
* Pass-wording
 |
| 1. Security threats may include but not limited to:
 | * Cyber terrorism
* Hacking
 |

**REQUIRED SKILLS AND KNOWLEDGE**

This section describes the skills and knowledge required for this unit of competency.

**Required Skills**

The individual needs to demonstrate the following skills:

* Analytical skills
* Interpretation
* Typing
* Communication
* Computing (applying fundamental operations such as addition, subtraction, division and multiplication)
* Using calculator
* Basic ICT skills

**Required Knowledge**

The individual needs to demonstrate knowledge of:

* Software concept
* Functions of computer software and hardware
* Data security and privacy
* Computer security threats and control measures
* Technology underlying cyber-attacks and networks
* Cyber terrorism
* Computer crimes
* Detection and protection of computer crimes
* Laws governing protection of ICT
* Word processing;
* Functions and concepts of word processing.
* Documents and tables creation and manipulations
* Mail merging
* Word processing utilities
* Spread sheets;
* Meaning, formulae, function and charts, uses and layout
* Data formulation, manipulation and application to cells
* Database;
* Database design, data manipulation, sorting, indexing, storage retrieval and security
* Desktop publishing;
* Designing and developing desktop publishing tools
* Manipulation of desktop publishing tools
* Enhancement of typeset work and printing documents
* Presentation Packages;
* Types of presentation Packages
* Creating, formulating, running, editing, printing and presenting slides and handouts
* Networking and Internet;
* Computer networking and internet.
* Electronic mail and world wide web
* Emerging trends and issues in ICT;
* Identify and integrate emerging trends and issues in ICT
* Challenges posed by emerging trends and issues

**EVIDENCE** **GUIDE**

This provides advice on assessment and must be read in conjunction with the performance criteria, required skills and knowledge and range.

|  |  |
| --- | --- |
| 1. Critical Aspects of Competency
 | Assessment requires evidence that the candidate:* 1. Identified and controlled security threats
	2. Detected and protected computer crimes
	3. Applied word processing in office tasks
	4. Designed, prepared work sheet and applied data to the cells in accordance to workplace procedures
	5. Opened electronic mail for office communication as per workplace procedure
	6. Installed internet and World Wide Web for office tasks in accordance with office procedures
	7. Integrated emerging issues in computer ICT applications
	8. Applied laws governing protection of ICT
 |
| 1. Resource Implications
 |  The following resources should be provided:* 1. Access to relevant workplace where assessment can take place
	2. Appropriately simulated environment where assessment can take place
 |
| 1. Methods of Assessment
 | Competency may be assessed through:* 1. Observation
	2. Oral questioning
	3. Written test
	4. Portfolio of Evidence
	5. Interview
	6. Third party report
 |
| 1. Context of Assessment
 | Competency may be assessed:1. On-the-job
2. Off-the –job
3. During Industrial attachment
 |
| 1. Guidance information for assessment
 | Holistic assessment with other units relevant to the industry sector, workplace and job role is recommended. |

**DEMONSTRATE ENTREPRENEURIAL SKILLS**

**UNIT CODE :** TEX/OS/LT/BC/04/6/A

**UNIT DESCRIPTION**

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

**ELEMENTS AND PERFORMANCE CRITERIA**

|  |  |
| --- | --- |
| **ELEMENT** | **PERFORMANCE CRITERIA**  |
| 1. Demonstrate understanding of an Entrepreneur
 | 1. Entrepreneurs and Business persons are distinguished as per principles of entrepreneurship
2. ***Types of entrepreneurs*** are identified as per principles of entrepreneurship
3. Ways of becoming an Entrepreneur are identified as per principles of Entrepreneurship
4. ***Characteristics of Entrepreneurs*** are identified as per principles of Entrepreneurship
5. Factors affecting Entrepreneurship development are explored as per principles of Entrepreneurship
 |
| 1. Demonstrate understanding of Entrepreneurship and self-employment
 | 1. Entrepreneurship and self-employment are distinguished as per principles of entrepreneurship
2. Importance of self-employment is analysed based on business procedures and strategies
3. ***Requirements for entry into self-employment*** are identified according to business procedures and strategies
4. Role of an Entrepreneur in business is determined according to business procedures and strategies
5. Contributions of Entrepreneurs to National development are identified as per business procedures and strategies
6. Entrepreneurship culture in Kenya is explored as per business procedures and strategies
7. Born or made Entrepreneurs are distinguished as per entrepreneurial traits
 |
| 1. Identify Entrepreneurship opportunities
 | 1. Sources of business ideas are identified as per business procedures and strategies
2. Business ideas and opportunities are generated as per business procedures and strategies
3. Business life cycle is analysed as per business procedures and strategies
4. Legal aspects of business are identified as per procedures and strategies
5. Product demand is assessed as per market strategies
6. Types of ***business environment*** are identified and evaluated as per business procedures
7. Factors to consider when evaluating business environment are explored based on business procedure and strategies
8. Technology in business is incorporated as per best practice
 |
| 1. Create entrepreneurial awareness
 | 1. ***Forms of businesses*** are explored as per business procedures and strategies
2. Sources of business finance are identified as per business procedures and strategies
3. Factors in selecting source of business finance are identified as per business procedures and strategies
4. ***Governing policies*** on Small Scale Enterprises (SSEs) are determined as per business procedures and strategies
5. Problems of starting and operating SSEs are explored as per business procedures and strategies
 |
| 1. Apply entrepreneurial motivation
 | 1. ***Internal and external motivation*** factors are determined in accordance with motivational theories
2. Self-assessment is carried out as per entrepreneurial orientation
3. Effective communications are carried out in accordance with communication principles
4. Entrepreneurial motivation is applied as per motivational theories
 |
| 1. Develop innovative business strategies
 | 1. Business innovation strategies are determined in accordance with the organization strategies
2. Creativity in business development is demonstrated in accordance with business strategies
3. ***Innovative business strategies*** are developed as per business principles
4. Linkages with other entrepreneurs are created as per best practice
5. ICT is incorporated in business growth and development as per best practice
 |
| 1. Develop Business Plan
 | 1. Identified Business is described as per business procedures and strategies
2. Marketing plan is developed as per business plan format
3. Organizational/Management plan is prepared in accordance with business plan format
4. Production/operation plan in accordance with business plan format
5. Financial plan is prepared in accordance with the business plan format
6. Executive summary is prepared in accordance with business plan format
7. Business plan is presented as per best practice
 |

**RANGE**

This section provides work environment and conditions to which the performance criteria apply. It allows for different work environment and situations that will affect performance.

|  |  |
| --- | --- |
| **Variable** | **Range**  |
| 1. Types of entrepreneurs may include but not limited to:
 | * Innovators
* Imitators
* Craft
* Opportunistic
* Speculators
 |
| 1. Characteristics of Entrepreneurs may include but not limited to:
 | * Creative
* Innovative
* Planner
* Risk taker
* Networker
* Confident
* Flexible
* Persistent
* Patient
* Independent
* Future oriented
* Goal oriented
 |
| 1. Requirements for entry into self-employment may include but not limited to
 | * Technical skills
* Management skills
* Entrepreneurial skills
* Resources
* Infrastructure
 |
| 1. Internal and external motivation may include but not limited to:
 | * Interest
* Passion
* Freedom
* Prestige
* Rewards
* Punishment
* Enabling environment
* Government policies
 |
| 1. Business environment may include but not limited to:
 | * External
* Internal
* Intermediate
 |
| 1. Forms of businesses may include but not limited to:
 | * Sole proprietorship
* Partnership
* Limited companies
* Cooperatives
 |
| 1. Governing policies may include but not limited to:
 | * Increasing scope for finance
* Promoting cooperation between entrepreneurs and private sector
* Reducing regulatory burden on entrepreneurs
* Developing IT tools for entrepreneurs
 |
| 1. Innovative business strategies may include but not limited to:
 | * New products
* New methods of production
* New markets
* New sources of supplies
* Change in industrialization
 |

**REQUIRED SKILLS AND KNOWLEDGE**

This section describes the skills and knowledge required for this unit of competency.

**Required Skills**

The individual needs to demonstrate the following skills:

* Analytical
* Management
* Problem-solving
* Root-cause analysis
* Communication

**Required Knowledge**

The individual needs to demonstrate knowledge of:

* Decision making
* Business communication
* Change management
* Competition
* Risk
* Net working
* Time management
* Leadership
* Factors affecting entrepreneurship development
* Principles of Entrepreneurship
* Features and benefits of common operational practices, e. g., continuous improvement (kaizen), waste elimination,
* Conflict resolution
* Health, safety and environment (HSE) principles and requirements
* Customer care strategies
* Basic financial management
* Business strategic planning
* Impact of change on individuals, groups and industries
* Government and regulatory processes
* Local and international market trends
* Product promotion strategies
* Market and feasibility studies
* Government and regulatory processes
* Local and international business environment
* Relevant developments in other industries
* Regional/ County business expansion strategies

**EVIDENCE GUIDE**

This provides advice on assessment and must be read in conjunction with the performance criteria, required skills and knowledge and range.

|  |  |
| --- | --- |
| 1. Critical Aspects of Competency
 | 1. Assessment requires evidence that the candidate:
2. Distinguished entrepreneurs and businesspersons correctly
3. Identified ways of becoming an entrepreneur appropriately
4. Explored factors affecting entrepreneurship development appropriately
5. Analysed importance of self-employment accurately
6. Identified requirements for entry into self-employment correctly
7. Identified sources of business ideas correctly
8. GeneratedBusiness ideas and opportunities correctly
9. Analysed business life cycle accurately
10. Identified legal aspects of business correctly
11. Assessed product demand accurately
12. Determined Internal and external motivation factors appropriately
13. Carried out communications effectively
14. Identified sources of business finance correctly
15. Determined Governing policy on small scale enterprise appropriately
16. Explored problems of starting and operating SSEs effectively
17. Developed Marketing, Organizational/Management, Production/Operation and Financial plans correctly
18. Prepared executive summary correctly
19. Determined business innovative strategies appropriately
20. Presented business plan effectively
 |
| 1. Resource Implications
 | The following resources should be provided:1. Access to relevant workplace where assessment can take place
2. Appropriately simulated environment where assessment can take place
 |
| 1. Methods of Assessment
 | 1. Written tests
2. Oral questions
3. Third party report
4. Interviews
5. Portfolio of Evidence
 |
| 1. Context of Assessment
 | Competency may be assessed 1. On-the-job
2. Off-the –job
3. During Industrial attachment
 |
| 1. Guidance information for assessment
 | Holistic assessment with other units relevant to the industry sector, workplace and job role is recommended. |

#

# DEMONSTRATE EMPLOYABILITY SKILLS

**UNIT CODE:** TEX/OS/LT/BC/05/6/A

**UNIT DESCRIPTON**

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.

**ELEMENTS AND PERFORMANCE CRITERIA**

|  |  |
| --- | --- |
| **ELEMENT**These describe the key outcomes which make up workplace function. | **PERFORMANCE CRITERIA**These are assessable statements which specify the required level of performance for each of the elements.***Bold and italicized terms are elaborated in the Range*** |
| 1. Conduct self-management
 | 1. Personal vision, mission and goals are formulated based on potential and in relation to organization objectives
2. Emotional intelligence is demonstrated as per workplace requirements.
3. Individual performance is evaluated and monitored according to the agreed targets.
4. Assertiveness is developed and maintained based on the requirements of the job.
5. Accountability and responsibility for own actions are demonstrated based on workplace instructions.
6. Self-esteem and a positive self-image are developed and maintained based on values.
7. Time management, attendance and punctuality are observed as per the organization policy.
8. Goals are managed as per the organization’s objective
9. Self-strengths and weaknesses are identified based on personal objectives
 |
| 1. Demonstrate interpersonal communication
 | 1. Writing skills are demonstrated as per communication policy
2. Negotiation and persuasion skills are demonstrated as per communication policy
3. Internal and external stakeholders’ needs are identified and interpreted as per the communication policy
4. Communication networks are established based on workplace policy
5. Information is shared as per communication policy

  |
| 1. Demonstrate critical safe work habits
 | * 1. Stress is managed in accordance with workplace policy.
	2. Punctuality and time consciousness is demonstrated in line with workplace policy.
	3. Personal objectives are integrated with organization goals based on organization’s strategic plan.
	4. ***Resources*** are utilized in accordance with workplace policy.
	5. Work priorities are set in accordance to workplace goals and objectives.
	6. Leisure time is recognized and utilized in line with personal objectives.
	7. ***Drugs and substances of abuse*** are identified and avoided based on workplace policy.
	8. HIV and AIDS prevention awareness is demonstrated in line with workplace policy.
	9. Safety consciousness is demonstrated in the workplace based on organization safety policy.
	10. ***Emerging issues*** are identified and dealt with in accordance with organization policy.
 |
| 1. Lead a workplace team
 | 1. Performance targets for the ***team*** are set based on organization’s objectives
2. Duties are assigned in accordance with the organization policy.
3. ***Forms of communication*** in a team are established according to organization’s policy.
4. Team performance is evaluated based on set targets as per workplace policy.
5. Conflicts are resolved between team members in line with organization policy.
6. Gender related issues are identified and mainstreamed in accordance workplace policy.
7. Human rights and fundamental freedoms are identified and respected as Constitution of Kenya 2010.
8. Healthy relationships are developed and maintained in line with workplace.
 |
| 1. Plan and organize work
 | 1. Work plans are prepared based on activities and budget.
2. Assigned tasks are interpreted and expectations identified as per the workplace instructions.
3. Task occupational safety and health requirements are identified and observed regulations.
4. Work resources are identified, mobilized, allocated and utilized based on organization work plans.
5. Work activities are monitored and evaluated in line with work plans and workplace policy.
6. Work plans are reviewed based on target and available resources.
 |
| 1. Maintain professional growth and development
 | * 1. Personal training needs are identified and assessed in line with the requirements of the job.
	2. ***Training and career opportunities*** are identified and utilized based on job requirements.
	3. Resources for training are mobilized and allocated based organizations and individual skills needs.
	4. Licensees and certifications relevant to job and career are obtained and renewed as per policy.
	5. Work priorities and personal commitments are balanced and managed based on requirements of the job and personal objectives.
	6. Recognitions are sought as proof of career advancement in line with professional requirements.
 |
| 1. Demonstrate workplace learning
 | * 1. Learning opportunities are sought and managed based on job requirement and organization policy.
	2. Improvement in performance is demonstrated based on courses attended.
	3. Application of learning is demonstrated in both technical and non-technical aspects based on requirements of the job
	4. Time and effort is invested in learning new skills based on job requirements
	5. Initiative is taken to create more effective and efficient processes and procedures in line with workplace policy.
	6. New systems are developed and maintained in accordance with the requirements of the job.
	7. Awareness of personal role in workplace ***innovation*** is demonstrated based on requirements of the job.
 |
| 1. Demonstrate problem solving skills
 | * 1. Creative, innovative and practical solutions are developed based on the problem
	2. Independence and initiative in identifying and solving problems is demonstrated based on requirements of the job.
	3. Team problems are solved as per the workplace guidelines
	4. Problem solving strategies are applied as per the workplace guidelines
	5. Problems are analyzed and assumptions tested as per the context of data and circumstances
 |
| 1. Manage ethical performance
 | * 1. Policies and guidelines are observed as per the workplace requirements
	2. Self-worth and professionalism is exercised in line with personal goals and organizational policies
	3. Code of conduct is observed as per the workplace requirements
	4. Integrity is demonstrated as per legal requirement
 |

**RANGE**

This section provides work environment and conditions to which the performance criteria apply. It allows for different work environment and situations that will affect performance.

|  |  |
| --- | --- |
| **Variable** | **Range** |
| 1. Drug and substance abuse may include but not limited to:
 | Commonly abused* Alcohol
* Tobacco
* Miraa
* Over-the-counter drugs
* Cocaine
* Bhang
* Glue
 |
| 1. Feedback may include but not limited to:
 | * Verbal
* Written
* Informal
* Formal
 |
| 1. Relationships may include but not limited to:
 | * Man/Woman
* Trainer/trainee
* Employee/employer
* Client/service provider
* Husband/wife
* Boy/girl
* Parent/child
* Sibling relationships
 |
| 1. Forms of communication may include but not limited to:
 | * Written
* Visual
* Verbal
* Non verbal
* Formal and informal
 |
| 1. Team may include but not limited to:
 | * Small work group
* Staff in a section/department
* Inter-agency group
 |
| 1. Personal growth may include but not limited to:
 | * Growth in the job
* Career mobility
* Gains and exposure the job gives
* Net workings
* Benefits that accrue to the individual as a result of noteworthy performance
 |
| 1. Personal objectives may include but not limited to:
 | * Long term
* Short term
* Broad
* Specific
 |
| 1. Trainings and career opportunities may includes but not limited to
 | * Participation in training programs
* Serving as Resource Persons in conferences and workshops
 |
| 1. Resource may include may but not limited to:
 | * Human
* Financial
* Technology
 |
| 1. Innovation may include but not limited to:
 | * New ideas
* Original ideas
* Different ideas
* Methods/procedures
* Processes
* New tools
 |
| 1. Emerging issues may include but not limited to:
 | * Terrorism
* Social media
* National cohesion
* Open offices
 |
| 1. Range of media for learning may include but not limited to:
 | * Mentoring
* peer support and networking
* IT and courses
 |

**REQUIRED SKILLS AND KNOWLEDGE**

This section describes the skills and knowledge required for this unit of competency.

**Required Skills**

The individual needs to demonstrate the following skills:

* Interpersonal
* Communication
* Critical thinking
* Organizational
* Negotiation
* Monitoring
* Evaluation
* Record keeping
* Problem solving
* Decision Making
* Resource utilization
* Resource mobilization

**Required Knowledge**

The individual needs to demonstrate knowledge of:

* Work values and ethics
* Company policies
* Company operations, procedures and standards
* Occupational Health and safety procedures
* Fundamental rights at work
* Workplace communication
* Concept of time
* Time management
* Decision making
* Types of resources
* Work planning
* Organizing work
* Monitoring and evaluation
* Record keeping
* Gender mainstreaming
* HIV and AIDS
* Drug and substance abuse
* Professional growth and development
* Technology in the workplace
* Innovation
* Emerging issues

**EVIDENCE GUIDE**

This provides advice on assessment and must be read in conjunction with the performance criteria, required skills and knowledge and range.

|  |  |
| --- | --- |
| 1. Critical aspects of Competency
 | Assessment requires evidence that the candidate:* 1. Conducted self-management
	2. Demonstrated interpersonal communication
	3. Demonstrated critical safe work habits
	4. Demonstrated the ability to lead a workplace team
	5. Planned and organized work
	6. Maintained professional growth and development
	7. Demonstrated workplace learning
	8. Demonstrated problem solving skills
	9. Demonstrated the ability to manage performance ethically
 |
| 1. Resource Implications
 | The following resources should be provided:1. Access to relevant workplace where assessment can take place
2. Appropriately simulated environment where assessment can take place
 |
| 1. Methods of Assessment
 | Competency in this unit may be assessed through: 1. Observation
2. Oral questioning
3. Written test
4. Portfolio of Evidence
5. Interview
6. Third party report
 |
| 1. Context of Assessment
 | Competency may be assessed:1. On-the-job
2. Off-the –job
3. During Industrial attachment
 |
| 1. Guidance information for assessment
 | Holistic assessment with other units relevant to the industry sector, workplace and job role is recommended. |

# DEMONSTRATE ENVIRONMENTAL LITERACY

**UNIT CODE:** TEX/OS/LT/BC/06/6/A

**UNIT DESCRIPTION**

This unit specifies the competencies required to demonstrate environmental literacy. It involves, controlling environmental hazard and environmental pollution, demonstrating 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

**ELEMENTS AND PERFORMANCE CRITERIA**

|  |  |
| --- | --- |
| **ELEMENT**These describe the key outcomes which make up workplace function. | **PERFORMANCE CRITERIA**These are assessable statements which specify the required level of performance for each of the elements.***Bold and italicized terms are elaborated in the Range*** |
| 1. Control environmental hazard
 | 1. Storage methods for environmentally hazardous materials are strictly followed according to environmental regulations and OSHS.
2. Disposal methods of hazardous wastes are followed according to environmental regulations and OSHS.
3. ***PPE*** is used according to OSHS.
 |
| 1. Control environmental Pollution
 | * 1. Environmental pollution ***control measures*** are implemented in accordance with international protocols.
	2. Procedures for solid waste management are observed according Environmental Management and Coordination Act 1999
	3. Methods for minimizing noise pollution is complied with based on Noise and Excessive Vibration Pollution and Control Regulations, 2009
 |
| 1. Demonstrate sustainable resource use
 | * 1. Methods for minimizing wastage are complied with based on organizational waste management guide
	2. Waste management procedures are employed following principles of 3Rs (Reduce, Reuse, Recycle)
	3. Methods for economizing and reducing resource consumption are practiced as per the Constitution of Kenya 2010 Article 69 .
 |
| 1. Evaluate current practices in relation to resource usage
 | * 1. Information on resource efficiency systems and procedures are collected and provided as per work groups/sector
	2. Current resource usage is measured and recorded as per work group
	3. Current purchasing strategies are analyzed and recorded according to industry procedures.
	4. Current work processes to access information and data is analyzed following enterprise protocol.
 |
| 1. Identify environmental legislations/conventions for environmental concerns
 | 1. Environmental legislations/conventions and local ordinances are identified according to the different environmental aspects/impact
2. Industrial standard/environmental practices are described according to the different environmental concerns
 |
| 1. Implement specific environmental programs
 | 1. Programs/Activities are identified according to organizations policies and guidelines.
2. Individual roles/responsibilities are determined and performed based on the activities identified.
3. Problems/constraints encountered are resolved in accordance with organizations’ policies and guidelines
4. Stakeholders are consulted based on company guidelines
 |
| 1. Monitor activities on Environmental protection/Programs
 | 1. Activities are periodically monitored and Evaluated according to the objectives of the environmental program
2. Feedback from stakeholders are gathered and considered in Proposing enhancements to the program based on consultations
3. Data gathered are analyzed based on Evaluation requirements
4. Recommendations are submitted based on the findings
5. Management support systems are set/established to sustain and enhance the program
6. Environmental incidents are monitored and reported to
7. concerned/proper authorities
 |
| 1. Analyze resource use
 | 1. All resource consuming processes are Identified as per the organizational work plan
2. Quantity and nature of resource consumed is determined based on processes
3. Resource flow is analyzed as per different parts of the process.
4. Wastes are classified according to NEMA regulations on waste management.
 |
| 1. Develop resource Conservation plans
 | 9.1. Efficiency of use/conversion of resources is determined according to industry protocol.9.2. Causes of low efficiency of use of resources are Determined based on industry protocol.9.3. Plans for increasing the efficiency of resource use are developed based on findings. |

**RANGE**

This section provides work environments and conditions to which the performance criteria apply. It allows for different work environments and situations that will affect performance.

|  |  |
| --- | --- |
| **Variable** | **Range** |
| 1. PPE may include but not limited to
 | * + Mask
	+ Gloves
	+ Goggles
	+ Safety hat
	+ Overall
* Hearing protector
 |
| 1. Control measures may include but not limited to
 | * Methods for minimizing or stopping spread and ingestion of airborne particles
* Methods for minimizing or stopping spread and ingestion of gases and fumes
* Methods for minimizing or stopping spread and ingestion of liquid wastes
 |

**REQUIRED SKILLS AND KNOWLEDGE**

This section describes the skills and knowledge required for this unit of competency.

**Required Skills**

The individual needs to demonstrate the following skills:

* Measuring
* Recording
* Analytical
* Monitoring
* Communication
* Writing

**Required Knowledge**

The individual needs to demonstrate knowledge of:

* PPEs
* Environmental regulations
* OSHS
* Pollution
* Waste management
* Principle of 3Rs
* Types of resources
* Techniques in measuring current usage of resources
* Environmental hazards
* Regulatory requirements

**EVIDENCE GUIDE**

This provides advice on assessment and must be read in conjunction with the performance criteria, required skills and knowledge and range.

|  |  |
| --- | --- |
| 1. Critical Aspects of Competency
 | Assessment requires evidence that the candidate:* 1. Controlled environmental hazard
	2. Controlled environmental pollution
	3. Demonstrated sustainable resource use
	4. Evaluated current practices in relation to resource usage
	5. Demonstrated knowledge of environmental legislations and local ordinances according to the different environmental issues /concerns.
	6. Described industrial standard environmental practices according to the different environmental issues/concerns.
	7. Resolved problems/ constraints encountered based on management standard procedures
	8. Implemented and monitored environmental practices on a periodic basis as per company guidelines
	9. Recommended solutions for the improvement of the program
	10. Monitored and reported to proper authorities any environmental incidents
 |
| 1. Resource Implications
 | The following resources should be provided:* 1. Workplace with storage facilities
	2. Tools, materials and equipment relevant to the tasks (e.g. Cleaning tools, cleaning materials, trash bags)
	3. PPE, manuals and references
	4. Legislation, policies, procedures, protocols and local ordinances relating to environmental protection
	5. Case studies/scenarios relating to environmental Protection
 |
| 1. Methods of Assessment
 | Competency in this unit may be assessed through:* 1. Observation
	2. Oral questioning
	3. Written test
	4. Portfolio of Evidence
	5. Interview
	6. Third party report
 |
| 1. Context of Assessment
 | Competency may be assessed 1. On-the-job
2. Off-the –job
3. During Industrial attachment
 |
| 1. Guidance information for assessment
 | Holistic assessment with other units relevant to the industry sector, workplace and job role is recommended. |

# DEMONSTRATE OCCUPATIONAL SAFETY AND HEALTH PRACTICES

**UNIT CODE:** TEX/OS/LT/BC/07/6/A

**UNIT DESCRIPTION**

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

**ELEMENTS AND PERFORMANCE CRITERIA**

|  |  |
| --- | --- |
| **ELEMENT**These describe the key outcomes which make up workplace function. | **PERFORMANCE CRITERIA**These are assessable statements which specify the required level of performance for each of the elements.***Bold and italicized terms are elaborated in the Range*** |
| 1. Identify workplace hazards and risk
 | 1.1 ***Hazards*** in the workplace are identified ***based their indicators*** 1.2 Risks and hazards are evaluated based on legal requirements.1.3 ***OSH concerns*** raised by workers are addressed as per legal requirements.  |
| 1. Control OSH hazards
 | 2.1 Hazard prevention ***and control measures*** are implemented as per legal requirement.2.2 Risk assessment is conductedand a risk matrix developed based on likely impact.2.3 ***Contingency measures***, including ***emergency procedures*** during workplace ***incidents and emergencies*** are recognized and established in accordance with organization procedures. |
| 1. Implement OSH programs
 | 3.1 Company OSH program are identified, evaluated and reviewed based on legal requirements.3.2 Company OSH programs are implemented as per legal requirements.3.3 Workers are capacity built on OSH standards and procedures as per legal requirements3.4 ***OSH-related records*** are maintained as per legal requirements. |

**RANGE**

This section provides work environments and conditions to which the performance criteria apply. It allows for different work environments and situations that will affect performance.

|  |  |
| --- | --- |
| **Variable** | **Range** |
| 1. Hazards may include but not limited to:
 | * Physical hazards – impact, illumination, pressure, noise,
* vibration, extreme temperature, radiation
* Biological hazards- bacteria, viruses, plants, parasites, mites, molds, fungi, insects
* Chemical hazards – dusts, fibers, mists, fumes, smoke, gasses, vapors
* Ergonomics
* Psychological factors – over exertion/ excessive force,

awkward/static positions, fatigue, direct pressure,* varying metabolic cycles
* Physiological factors – monotony, personal relationship, work out cycle
* Safety hazards (unsafe workplace condition) –confined space, excavations, falling objects, gas leaks, electrical, poor storage of materials and waste, spillage, waste and debris
* Unsafe workers’ act (Smoking in off-limited areas, Substance and alcohol abuse at work)
 |
| 1. Indicators may include but not limited to:
 | * Increased of incidents of accidents, injuries
* Increased occurrence of sickness or health complaints/ symptoms
* Common complaints of workers related to OSH
* High absenteeism for work-related reasons
 |
| 1. OSH concerns may include but not limited to:
 | * Workers’ experience/observance on presence of work hazards
* Unsafe/unhealthy administrative arrangements (prolonged work hours, no break time, constant overtime, scheduling of tasks)
* Reasons for compliance/non-compliance to use of PPEs or other OSH procedures/policies/guidelines
 |
| 1. Safety gears /PPE (Personal Protective Equipment) may include but not limited to:
 | * 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
 |
| 1. Appropriate risk controls

may include but not limited to: | * Appropriate risk controls in order of impact are as follows:
* Eliminate the hazard altogether (i.e., get rid of the dangerous machine)
* Isolate the hazard from anyone who could be harmed (i.e., keep the machine in a closed room and operate it remotely; barricade an unsafe area off)
* Substitute the hazard with a safer alternative (i.e., replace the machine with a safer one)
* Use administrative controls to reduce the risk (i.e., train workers how to use equipment safely; train workers about the risks of harassment; issue signage)
* Use engineering controls to reduce the risk (i.e., attach guards to the machine to protect users)
* Use personal protective equipment (i.e., wear
* gloves and goggles when using the machine)
 |
| 1. Contingency measures may include but not limited to:
 | * Evacuation
* Isolation
* Decontamination
* (Calling designed) emergency personnel
 |
| 1. Incidents and emergencies may include but not limited to:
 | * Chemical spills
* Equipment/vehicle accidents
* Explosion
* Fire
* Gas leak
* Injury to personnel
* Structural collapse
* Toxic and/or flammable vapors emission.
 |
| 1. OSH-related Records may include but not limited to:
 | * Medical/Health records
* Incident/accident reports
* Sickness notifications/sick leave application
* OSH-related trainings obtained
 |

**REQUIRED SKILLS AND KNOWLEDGE**

This section describes the skills and knowledge required for this unit of competency.

**Required Skills**

The individual needs to demonstrate the following skills:

* Communication
* Interpersonal
* Presentation
* Risk assessment
* Evaluation
* Critical thinking
* Problem solving
* Negotiation

**Required Knowledge**

The individual needs to demonstrate knowledge of:

* General OSH Principles
* Occupational hazards/risks recognition
* OSH organizations providing services on OSH evaluation and/or work environment measurements (WEM)
* National OSH regulations; company OSH policies and protocols
* Systematic gathering of OSH issues and concerns
* General OSH principles
* National OSH regulations
* Company OSH and recording protocols, procedures and policies/guidelines
* Training and/or counseling methodologies and strategies

**EVIDENCE GUIDE**

This provides advice on assessment and must be read in conjunction with the performance criteria, required skills and knowledge and range.

|  |  |
| --- | --- |
| 1. Critical Aspects of Competency
 | Assessment requires evidence that the candidate:1. Identified hazards in the workplace based their indicators
2. Evaluated workplace hazards based on legal requirements.
3. Addressed OSH concerns raised by workers as per legal requirements.
4. Implemented hazard prevention and control measures as per legal requirement.
5. Conducted risk assessment as per legal requirement.
6. Developed risk matrix based on likely impact.
7. Recognized and established contingency measures in accordance with organization procedures.
8. Identified, evaluated and reviewed company OSH program based on legal requirements.
9. Implemented company OSH programs as per legal requirements.
10. Capacity built workers on OSH standards and procedures as per legal requirements
11. Maintained OSH-related records as per legal requirements.
 |
| 1. Resource Implications
 | The following resources should be provided:1. Access to relevant workplace where assessment can take place
2. Appropriately simulated environment where assessment can take place
 |
| 1. Methods of Assessment
 | Competency in this unit may be assessed through: 1. Observation
2. Oral questioning
3. Written test
4. Portfolio of Evidence
5. Interview
6. Third party report
 |
| 1. Context of Assessment
 | Competency may be assessed:1. On-the-job
2. Off-the –job
3. During Industrial attachment
 |
| 1. Guidance information for assessment
 | Holistic assessment with other units relevant to the industry sector, workplace and job role is recommended. |

# CORE UNITS OF COMPETENCY

# AUDIT RETIREMENT BENEFITS SCHEME (RBS) BOOKS OF ACCOUNTS

**UNITCODE: BUS/OS/PI/CR/01/6**

**Unit Description**

This unit specifies the competencies required to conduct Audit for RBS Books of Accounts. It involves confirming RBS Asset Holdings, ensuring regulatory compliance, risk and controls checks, preparing RBS Audit reports and management letters.

This unit applies to the retirement benefits Industry

**ELEMENTS AND PERFORMANCE CRITERIA**

| **Elements***These describe the key**outcomes which make**up workplace**function.* | **Performance Criteria***These are assessable statements**which specify the required level of**performance for each of the**elements.* |
| --- | --- |
| 1. Prepare to audit RBS account
 | 1. Documents to be verified during the Audit are collated according to workplace procedure.
2. **Software, tools and equipment** required are gathered according to work place policies.
3. RBS transactions are reviewed in order to reach preliminary conclusions on the degree of risk associated according to workplace procedure.
4. Sampling intervals that can be applied to settle on the sample sizes are determined as per audit procedures.
5. Changes and business developments in RBS business and governance structures are checked, according to workplace procedure.
6. Investment movement schedule is prepared to show the financial asset movement during the year as per audit procedures.
7. Audit plan showing the sequence to be followed while undertaking the audit is prepared as per audit procedures.
 |
| 1. Audit of RBS books of accounts
 | 1. Compliance to policy and regulations are checked as per audit procedures.
2. **Valuation report** provided by the fund manager is checked for accuracy and completeness as per audit procedures.
3. Controls under each element in the RBS Financial Statements are tested and verified as per audit procedures.
4. Changes in fair value is verified by comparing the market values and accounting cost as per audit procedures.
5. **Field audit** for RBS financial statement is conducted as per the International Standards on Auditing (ISAs).
 |
| 1. Evaluate audit process of RBS books of accounts
 | 1. Audit process is reviewed as per workplace procedures
 |
| 1. Complete audit of RBS accounts
 | 1. **Audit opinion** on the findings identified during the audit is provided according to International Standards on Auditing
2. RBS Compliance report is provided as per audit procedures
3. **Solutions** are suggested to the weaknesses identified for further actions as per audit procedures
4. **Advice** on the RBS management of tax is provided as per work place procedures
5. Audit report is prepared an shared with relevant personnel as per work place procedures
 |

**RANGE**

This section provides work environment and conditions to which the performance criteria apply. It allows for different work environment and situations that will affect performance.

|  |  |
| --- | --- |
| Tools and Equipment Include but not limited to: | Laptop, Software, Printing equipment, Work Station Internet, Telephone. |
| **Appropriate Personnel** Includebut not limited to: | RBS Trustees, Regulators, Administrators **Range** This section provides work environment and conditions to which the performance criteria apply. It allows for different work environment and situations that will affect performance. |
| **Valuation Report**Includebut not limited to: | Fund position at a particular date |
| **Field Audit**Includebut not limited to: | Recommended audit exercise at RBS providers location. |
| **Audit Opinion** Includebut not limited to: | Statement determining whether the RBS books of accounts are free from any material errors or omissions. |

**REQUIRED SKILLS AND KNOWLEDGE**

This section describes the skills and knowledge required for this unit of competency.

**Required Skills**

This section describes the required skills which supports performance. These skills will need to be considered in the learning and assessment process.

* Analytical
* Listening
* Attention to detail
* Communication
* Report writing
* Interpretation
* Information Technology (IT)

**Required Knowledge**

This section describes the required knowledge which supports performance. This knowledge will need to be considered in the learning and assessment process.

The individual needs to demonstrate knowledge of:

* Overview of pension industry
* Understand the laws relating to pensions
* Accounting principles
* International Standards on Auditing (ISAs) and International Financial Reporting Standards (IFRS) and Generally accepted accounting principles (GAAP)
* Risk and control assessment procedures
* Quantitative techniques

**EVIDENCE GUIDE**

This provides advice on assessment and must be read in conjunction with the performance criteria, required skills, knowledge and range.

|  |  |
| --- | --- |
| 1. Critical Aspects of Competency
 | Assessment requires evidence that the candidate:1. Identified and analyzed data and documents relevant for audit purposes
2. Reviewed sample size of the data and documents to identify degree of risk associated
3. Prepared audit plan showing the sequence to be followed while undertaking the audit as per audit procedures
4. Completed compliance and regulatory requirements checklist
5. Prepared draft audit report after conducting a field audit as per International Standards on Auditing (ISAs)
6. Prepared management letter on weaknesses identified during the audit according to workplace procedure.
 |
| 1. Resource Implications
 | The following resources must be provided:1. Workplace or assessment location
2. Lap top / desktop
3. RBS Bank statements
4. RBS management and valuation reports
5. Previous RBS audit reports
 |
| 1. Methods of Assessment
 | Competency may be assessed through:1. Simulation
2. Observation
3. Written assessment
4. Interview
5. Case Study/Situation
6. Portfolio assessment
 |
| 1. Context of Assessment
 | Competency may be assessed on the job, off the job (client’s location) or a combination of these. Off the job assessment must be undertaken in a closely simulated workplace environment. |
| 1. Guidance Information for Assessment
 | Holistic assessment with other units relevant to the industry sector, workplace and job role is recommended i.e. fund management, custody, administration, accounts… audited together. |

# CONDUCT RETIREMENT BENEFIT SCHEME (RBS) ACTUARIAL SERVICES

**UNIT CODE: BUS/OS/PI/CR/02/6**

**Unit Description**

This unit specifies the competencies required to conduct actuarial services. It involves preparing for the task which includes determining RBS funding position, preparing investment policy, providing actuarial advice and risk management strategies, modeling compensation benefits and providing RBS disclosures.

This unit applies to the Retirement Benefits Schemes (RBS) and **related sectors**.

**ELEMENTS AND PERFORMANCE CRITERIA**

| **Elements***These describe the key**outcomes which make**up workplace**function.* | **Performance Criteria***These are assessable statements**which specify the required level of**performance for each of the**elements.* |
| --- | --- |
| 1. Prepare to provide RBS actuarial services
 | 1. **Tools and equipment** required are gathered according to workplace policies
2. Relevant data is gathered as per work place procedure
3. **Actuarial assumptions** are developed as per workplace procedures
4. RBS investment policy is designed as per client requirement
5. Required technical infrastructure is designed for new or existing product as per existing regulations
6. Actuarial models are as per the actuarial requirements
7. RBS compensation model are developed as per the workplace policies
 |
| 1. Conduct actuarial services
 | 1. Actuarial analysis is conducted as per the workplace procedures
2. **Funding position** is determined as per work place procedures
3. Investments with optimal returns are identified as per the market investment reports
4. Investment policy statement is prepared as per work place instructions
5. De-risking strategies are analysed and applied as per work place instructions
6. Analyze sales and operational obstacles of the existing products and designs for alternative product revisions.
7. Employee compensation model or formulae is determined as per
 |
| 1. Evaluate actuarial services
 | 1. Evaluation of investments returns is conducted as per work place procedures
2. Analysis of RBS assets and liabilities are assessed to determine the funding position as per work place procedures
3. Investment policy statement is reviewed as per work place procedures
4. Application of de-risking strategies are evaluated as per work place
5. Analysis of employee compensation model is undertaken as per work place procedures
 |
| 1. Complete the actuarial services
 | 1. Actuarial valuation report is submitted to the client as per work place procedures
2. Investment policy statement is submitted as per work place procedures
3. Compensation model is proposed to client as per work place procedures
4. Investment advice is offered to client as per work place procedures
 |

**RANGE**

This section provides work environments and conditions to which the performance criteria apply. It allows for different work environments and situations that will affect performance.

|  |  |
| --- | --- |
| Tools and equipmentInclude but not limited to: | * Computer
* Calculator
* Mortality tables
* Software
* Telephone
* Stationery
 |
| Related sectorsInclude but not limited to: | * Insurance Sector
* Financial sector
 |
| Actuarial assumptionsInclude but not limited to: | * Investment returns
* Mortality rates
* Interest rates
* Life expectancy ages
 |
| RBS investment policyInclude but not limited to: | A document that provides the general investment goals and objectives of RBS and describes the strategies that the fund manager should employ to meet these objectives. |
| Funding positionInclude but not limited to: | A is a sign of financial strength and liquidity |

**REQUIRED SKILLS AND KNOWLEDGE**

This section describes the skills and knowledge required for this unit of competency.

**Required Skills**

This section describes the required skills which supports performance. These skills will need to be considered in the learning and assessment process.

* Analytical
* Attention to detail
* communication
* Report writing
* Interpretation
* Information Technology (IT)

**Underpinning Knowledge**

This section describes the required knowledge which supports performance. This knowledge will need to be considered in the learning and assessment process.

The individual needs to demonstrate knowledge of:

* Regulations governing RBS
* Actuarial models and assumptions
* Actuarial factors
* Financial ratios
* Investment analysis and financial modelling
* Structure of the retirement benefits industry
* Designs of pension arrangements
* Risk management techniques
* Techniques of gathering information
* Monitoring and evaluation methods
* Quantitative and qualitative analysis techniques

**EVIDENCE GUIDE**

This provides advice on assessment and must be read in conjunction with the performance criteria, required skills, knowledge and range.

|  |  |
| --- | --- |
| 1. Critical aspects of competency
 | Assessment requires evidence that the candidate:1. Identified data and documents relevant for actuarial analysis
2. Designed model for actuarial analysis
3. Developed assumptions on the model
4. Detailed analysis of data using the identified model
5. Prepared actuarial report
 |
| 1. Resource Implications
 | The following resources must be provided1. Workplace or assessment location
2. Laptop / desktop
3. Actuarial data
4. RBS documents
 |
| 1. Methods of Assessment
 | Competency may be assessed through:1. Simulation
2. Observation
3. Written assessment
4. Interview
5. Case study / situation
 |
| 1. Context of Assessment
 | Competency may be assessed on the job, off the job or a combination of these. Off the job assessment must be undertaken in a closely simulated workplace environment. |
| 1. Guidance Information for Assessment
 | Holistic assessment with other units relevant to the industry sector, workplace and job role is recommended. |

# MANAGE RETIREMENT BENEFITS SCHEME (RBS) INVESTMENT

**UNIT CODE: BUS/OS/PI/CR/03/6**

**Unit Description**

This unit specifies the competencies required to conduct RBS Investment Services. It involves preparing for the investment research, identifying investment opportunities, undertaking portfolio management, performance measurement analysis and conducting the investment using appropriate methodology and according to RBS specifications.

This unit applies to managing RBS investments and **related** **sectors**.

**ELEMENTS AND PERFORMANCE CRITERIA**

| **Elements***These describe the key**outcomes which make**up workplace**function.* | **Performance Criteria***These are assessable statements**which specify the required level of**performance for each of the**elements.* |
| --- | --- |
| * 1. Prepare to manage RBS investment services
 | 1. Know Your Client (KYC) documents are acquired from the client in compliance with the Anti Money Laundering (AML) regulations and workplace policies and procedures.
2. Tools and **equipment** required are gathered according to work place policies.
3. Investment management agreement is designed according to **existing regulations** and workplace policies.
4. Investment management Services are determined from the laws and regulations governing capital markets, workplace policies, and work instructions. Investment opportunities are identified according to work place policies and procedures.
5. Bench marks and asset allocation guidelines are obtained from the investment policy statement according to work place procedure.
6. Capital market expectation information is obtained according to work place procedures.
7. Investment securities financial information is obtained according to work place procedure.
8. Holdings valuation report is obtained according to work place instructions.
9. Expected cash inflows and outflows are obtained according to work place procedures
10. Valuation report from the custodian is obtained according to work place procedure.
11. Contents of investment report is designed according to work place procedure.
12. Identify the investment knowledge gaps according to work place procedure.
 |
| * 1. Conduct investment management
 | 1. Investment research is conducted to determine available investment opportunities according to work place procedures and regulations
2. Capital market return forecast is undertaken according to work place procedures.
3. Investment house view asset allocation is conducted according to work place procedure.
4. Financial modelling for security selection is conducted according to work place procedures, processes and global standards.
5. Investment trade instruction are issued to the market according to work place instructions.
6. Portfolio holdings compliance is undertaken according to work place procedures.
7. Liquidity requirements are managed according to work place requirements.
8. Asset holdings are compared with the custodian holding according to work place procedures.
9. Investment report is prepared according to regulatory compliance, work place procedures and clients requirements.
10. Capacity building programs are conducted according to work place procedures.
 |
| * 1. Evaluate the RBS investment services performance
 | 1. Investment opportunities are evaluated against the expected risk adjusted returns according to work place procedures.
2. Investment opportunities are evaluated against the expected risk adjusted returns according to work place procedures.
3. House view asset allocation is reviewed against the capital market return expectation as per work place instructions.
4. Financial models assumptions are analysed as per work place procedures
5. Investment trade instructions are reviewed as per work place procedures.
6. Compliance on portfolio holdings are reviewed against the investment policy, work place procedure and regulations.
7. Liquidity requirements are assessed according work place procedures.
8. Evaluation on reconciled holdings is undertaken according to work place procedures.
9. Capacity building programs are reviewed according work place procedures
 |
| * 1. Complete the RBS investment services
 | 1. Investment opportunity recommendations are undertaken as per work place procedures.
2. Asset allocation recommendation is undertaken as per work place procedures.
3. Security selection recommendation is undertaken as per work place procedure.
4. Investment instructions settlements are completed as per work place procedure.
5. Reconciliation report is submitted as per work place procedures.
6. Cash inflows utilized and outflows managed as per work place procedures.
7. Investment report is submitted to the stakeholders as per work place procedures.
8. RBS Investments capacity building report is prepared as per work place procedures.
 |

**RANGE**

It allows for different work environment and situations that will affect performance.

This section provides work environment and conditions to which the performance criteria apply.

|  |  |
| --- | --- |
| Tools and equipmentInclude but not limited to: | * Laptop, software, printing, equipment, work station, Internet
* Stationery – pen, paper, ruler, rubber, telephone
 |
| Existing regulationsInclude but not limited to: | * Public Finance Management Act
* Banking Act
* Insurance Act
* Capital Markets Act 1989
* RBA Regulations
* Workplace policies and charters
 |
| Related industries Include but not limited to: | * Pension industry
* General financial sector
 |

**REQUIRED SKILLS AND KNOWLEDGE**

This section describes the skills and knowledge required for this unit of competency.

**Required Skills**

This section describes the required skills which supports performance. These skills will need to be considered in the learning and assessment process.

* Analytical
* Attention to detail
* Communication
* Report writing
* Interpretation
* Information Technology (IT)

**Underpinning Knowledge**

This section describes the required knowledge which supports performance. This knowledge will need to be considered in the learning and assessment process.

The individual needs to demonstrate knowledge of:

* + Structure of the retirement benefits industry
	+ Parties involved in the capital markets and their roles
	+ Applicable principles and standards in Accounting and Finance
	+ Work place procedures and processes
	+ Regulations governing Capital Markets
	+ Risk and Investment analysis
	+ Performance management methods
	+ How to conduct Investments options analysis for Optimal Returns
* Methods of performing Investments analysis
* Developing Investment appraisal
* Financial and Management Accounting
* Systems i.e. IT, Financial and management accounts systems and E- business skills
* Quality management systems and quality assurance process

**EVIDENCE GUIDE**

This provides advice on assessment and must be read in conjunction with the performance criteria, required skills, knowledge and range.

|  |  |
| --- | --- |
| * + 1. Critical Aspects of Competency
 | Assessment requires evidence that the candidate:1. Identified compliance documents for investment management
2. Developed compliance requirements checklist
3. Prepared investment research on available opportunities
4. Reviewed house view asset allocation against the capital market return expectation
5. Developed financial model for security selection
6. Prepared Investment trade instruction on selected securities
7. Reconciled Asset holdings report with the custodian
8. Prepared investment report
 |
| * + 1. Resource implications
 | The following resources must be provided:1. Workplace or assessment location
2. Laptop / desktop
3. Capital markets information and reports
4. Investment policy statement
5. Global Financial Reports
6. Workplace Policies and Charters
7. Computer hardware
8. Investment analysis software
 |
| * + 1. Methods of Assessment
 | Competency may be assessed through:1. Simulation
2. Observation
3. Written assessment
4. Interview
5. Case Study/Situation
 |
| * + 1. Context of Assessment
 | Competency may be assessed on the job, off the job or a combination of these. Off the job assessment must be undertaken in a closely simulated workplace environment. |
| * + 1. Guidance information for Assessment
 | Holistic assessment with other units relevant to the industry sector, workplace and job role is recommended. |

# HOLD RETIREMENT BENEFIT SCHEME (RBS) ASSETS

**UNIT CODE: BUS/OS/PI/CR/04/6**

**Unit Description**

This unit specifies the competencies required to Hold Retirement Benefit Scheme Assets. It involves preparing to sign up a Retirement Benefit Scheme, holding the scheme assets, processing transactions and transferring the scheme assets as per client’s requirements.

This unit applies to the Retirement Benefits Schemes and **related businesses**

**ELEMENTS AND PERFORMANCE CRITERIA**

| **Elements***These describe the key**outcomes which make**up workplace**function.* | **Performance Criteria***These are assessable statements**which specify the required level of**performance for each of the**elements.* |
| --- | --- |
| * 1. Prepare to hold RBS Assets
 | 1. Custody services are determined by **existing regulations** governing custodial services. **Software, Tools and equipment** required are gathered according to work place policies
2. Schedule of assets to be transferred are obtained and prepared as per the client’s instructions.
3. Know Your Client (KYC) documents are acquired from the client in compliance with the Anti Money Laundering (AML) regulations and workplace policies and procedures.
4. Work place facilities and systems are elected and tested before starting the work
5. Custody agreement is designed according to existing regulations workplace policies.
6. Schedule of assets are obtained according to client’s written consent.
7. Contents of custody report are designed as per compliance requirements, work place processes and procedures
8. Cash Instructions are received and recorded according to the work place policies and procedures
9. Corporate actions are obtained from the media and market according to workplace procedures.
 |
| * 1. Conduct the holding RBS assets
 | 1. Assets are reconciled with the appointed agents and transferred according to the client’s instructions and workplace procedures
2. Transfer forms are executed according to workplace procedures
3. KYC documents are reviewed according to AML checklist, custody agreement executed and account opened according to workplace procedures
4. Custody report is prepared according to the compliance requirements, workplace procedures processes and procedures
5. Cash instructions are verified and executed as per the workplace processes and procedures
6. Cash instructions are verified and executed as per the workplace processes and procedures
7. Accommodate due diligence visits from clients, relevant regulatory authorities and other service providers
 |
| * 1. Evaluate the holding RBS assets
 | 1. Transferred assets are reviewed as per client’s original instructions and workplace procedures.
2. Review of custody agreement is done according to workplace procedures.
3. Custody report is evaluated according work place procedure and client requirements
4. Cash instructions are
5. reviewed and reconciled according to work place procedures
6. Corporate actions are reviewed and reconciled according to work place procedures
 |
| * 1. Complete the holding RBS assets
 | 1. Report on transferred assets is submitted to client. Executed Custody Agreement is filed as per regulations and account details communicated to relevant stakeholders.
2. Custody report dispatched to the stakeholders as per compliance requirement
3. Confirmation report sent to the client according to workplace procedures
 |

**RANGE**

This section provides work environments and conditions to which the performance criteria apply. It allows for different work environments and situations that will affect performance.

|  |  |
| --- | --- |
| **Software, tools and equipment**Include but notlimited to: | * Laptop, software, printing equipment, work station
* Internet
* Stationery – pen, paper, ruler, rubber
* Telephone
 |
| **Existing Regulations** Include but notlimited to: | * Banking Act
* Central Bank of Kenya Regulations
* The Retirement Benefits Act and its Regulations
* Income Tax Act
* Unclaimed Financial Assets Act
* Capital Markets Act
* Insurance Act and its Regulations

  |
| **Related industries** Include but notlimited to: | * Retirement benefits, insurance, actuarial, fund management, custody, financial sector
 |

**REQUIRED SKILLS AND KNOWLEDGE**

This section describes the skills and knowledge required for this unit of competency.

**REQUIRED SKILLS**

This section describes the required skills which supports performance. These skills will need to be considered in the learning and assessment process.

* Analytical
* Attention to detail
* Communication
* Report writing
* Interpretation
* Information Technology (IT)

**Underpinning Knowledge**

This section describes the required knowledge which supports performance. This knowledge will need to be considered in the learning and assessment process.

The individual needs to demonstrate knowledge of:

* Structure of the Retirement Benefits Industry
* Understand the Securities and Investments operations
* Understand the roles of securities stakeholders and players
* Custodial services pricing model for the industry
* Main features of a Custodian Agreement and Tariff Agreement
* Knowledge of the internal and external systems
* Knowledge of work place processes

**EVIDENCE GUIDE**

This provides advice on assessment and must be read in conjunction with the performance criteria, required skills, knowledge and range.

|  |  |
| --- | --- |
| * + 1. Critical Aspects of Competency
 | Assessment requires evidence that the candidate:1. Identified compliance requirements documents and mandates
2. Maintained schedule of assets
3. Verified and executed investment instructions
4. Updated corporate actions
5. Reconciled asset holding report with the fund manager
6. Prepared custody report
 |
| * + 1. Resource implications
 | The following resources must be provided:1. Workplace or assessment location
2. Lap top / desktop
3. Valuation reports
4. Capital market information and reports
 |
| * + 1. Methods of Assessment
 | Competency may be assessed through:1. Simulation
2. Observation
3. Written assessment
4. Interview
5. Case Study/Situation
 |
| * + 1. Context of Assessment
 | Competency may be assessed on the job, off the job or a combination of these. Off the job assessment must be undertaken in a closely simulated workplace environment. |
| * + 1. Guidance Information for Assessment
 | Holistic assessment with other units relevant to the industry sector, workplace and job role is recommended. |

# PREPARE RBS BOOKS OF ACCOUNTS

**UNIT CODE: BUS/OS/PI/CR/05/6**

**Unit Description**

This unit specifies the competencies required to prepare RBS books of accounts. It involves preparing RBS property accounts, RBS management accounts, filing RBS tax returns, reconciling RBS asset holdings, preparing RBS audit data and submitting reports for review.

This unit applies to the retirement benefits industry and related **industries.**

**ELEMENTS AND PERFORMANCE CRITERIA**

| **Elements***These describe the key**outcomes which make**up workplace**function.* | **Performance Criteria***These are assessable statements**which specify the required level of**performance for each of the**elements.* |
| --- | --- |
| * 1. Collate information for RBS books of accounts preparation
 | 1. **Software, Tools and equipment** required are gathered according to work place policies.
2. All accounting transactions are collated as per work place procedures.
3. Accounting input data is classified into income, expenses, assets or liabilities according to workplace procedure.
4. Accounts submission programme is prepared as per workplace procedure.
5. Accounting report format is designed according to workplace requirements.
 |
| * 1. Prepare RBS books of accounts
 | 1. RBS asset holdings are reconciled with the custodian’s and fund manager’s reports.
2. All transactions are captured in the accounting system in line with Generally Accepted Accounting Principles (GAAP).
3. All payables and receivables are accrued using reasonable estimates in line with Generally Accepted Accounting Principles (GAAP).
4. All RBS transactions captured are posted out and financial statements generated as per RBA and IFRS regulations.
5. Audit data is prepared and verified according to IFRS regulations.
6. All taxes and levies due are computed according to the RBA Act and Income Tax Act and paid to the respective bodies.
 |
| * 1. Review RBS books of accounts
 | 1. RBS books of account are reviewed as per workplace procedures, and proposals for revision made.
 |
| * 1. Complete preparation of books of accounts
 | 1. Accounting report is prepared as per workplace procedures
2. Report is shared with **appropriate personnel** in accordance with workplace procedures
 |

**RANGE**

This section provides work environments and conditions to which the performance criteria apply. It allows for different work environments and situations that will affect performance.

|  |  |
| --- | --- |
| **Software, Tools and equipment**Include but notlimited to: | * Laptop, software, printing equipment, work station internet
* Stationery – pen, paper, ruler, rubber, telephone
 |
| **Related industries**Include but notlimited to: | * Insurance and financial sector
 |
| **Appropriate personnel** Includebut not limited to: | * RBS Trustees, Regulators, Administrators
 |

**REQUIRED SKILLS AND KNOWLEDGE**

This section describes the skills and knowledge required for this unit of competency.

**Required Skills**

This section describes the required skills which supports performance. These skills will need to be considered in the learning and assessment process.

* Analytical
* Attention to detail
* Communication
* Report writing
* Interpretation
* Information Technology (IT)

**EVIDENCE GUIDE**

This provides advice on assessment and must be read in conjunction with the performance criteria, required skills, knowledge and range.

|  |  |
| --- | --- |
| * + 1. Critical Aspects of Competency
 | Assessment requires evidence that the candidate:1. Analysed all RBS transactions necessary for preparing accounts
2. Classified all the transactions into income, expenses, assets or liabilities
3. Prepared asset holdings reconciliation report with the custodian and fund manager
4. Captured all RBS transactions in the accounting report
5. Accrued all payables and receivables using reasonable estimates
6. Computed and paid all taxes and levies due
 |
| * + 1. Resource implications
 | The following resources must be provided:1. Workplace or assessment location
2. Laptop / desktop
3. Valuation reports
4. Bank statements
5. Accounting data and documents
 |
| * + 1. Methods of Assessment
 | Competency may be assessed through:1. Simulation
2. Observation
3. Written assessment
4. Interview
5. Case Study/Situation
 |
| * + 1. Context of Assessment
 | Competency may be assessed on the job, off the job or a combination of these. Off the job assessment must be undertaken in a closely simulated workplace environment. |
| * + 1. Guidance Information for Assessment
 | Holistic assessment with other units relevant to the industry sector, workplace and job role is recommended. |

PROVIDE RETIREMENT BENEFITS SCHEME (RBS) TRUST SECRETARIAT **SERVICES UNIT CODE: BUS/OS/PI/CR/06/6**

**Unit Description**

This unit specifies the competencies required to provide RBS Trust Secretariat Services. It involves preparing for the Secretariat Services including the development of RBS governance framework, managing secretariat personnel, managing and coordinating stakeholder’s communication, facilitating Board meetings, conducting capacity building programs using the appropriate methodology and submitting the Secretariat Services reports according to specifications.

This unit applies to the Retirement Benefits Schemes.

**ELEMENTS AND PERFORMANCE CRITERIA**

| **Elements***These describe the key**outcomes which make**up workplace**function.* | **Performance Criteria***These are assessable statements**which specify the required level of**performance for each of the**elements.* |
| --- | --- |
| * 1. Prepare to provide Trust Secretariat Services
 | 1. Trust secretariat services are determined from the existing laws and regulations, workplace policies, work instructions, departmental progress and secretariat reports.
2. **Software, tools and equipment** required are gathered according to workplace policies.
3. Evaluation of RBS secretariat structures and functional areas are conducted to determine the governance framework according to work place procedures.
4. Resources to manage the governance framework and functions are identified according to work place requirements.
5. RBS Stakeholders and service providers are identified according to existing regulations and work place procedures.
6. RBS calendar of trainings are prepared according to workplace instructions.
7. Training gaps assessment is conducted for a RBS according to work place policies.
8. Trust Secretariat Services evaluation tools are developed according to workplace requirements.
 |
| * 1. Conduct Trust Secretariat Services
 | 1. Governance framework is developed by analysing RBS functions and the operating environment according to work place instructions.
2. Governance framework is implemented using the appropriate tools according to the work place procedures.
3. Supervision of RBS functional areas is conducted as per work place policies, procedures and requirements.
4. Stakeholder communication and service providers’ co-ordination is managed according to work place procedures.
5. RBS property facilities are managed in accordance to work place procedures.
6. RBS meetings are conducted as per existing regulations and work place procedures.
7. Capacity building programs are developed and managed in accordance to work place requirements.
8. Trustee elections are conducted in accordance to work place procedures.
 |
| * 1. Evaluate Trust Secretariat Services
 | 1. RBS Governance implementation framework is evaluated using the appropriate tools as per workplace procedures.
2. RBS secretariat functions areas are supervised in accordance to work place instructions
3. Stakeholder communications are reviewed in accordance to work place instructions.
4. Service providers’ effectiveness is evaluated as per service level agreements and work place instructions.
5. RBS property facilities are assessed according to work place instructions.
6. RBS meeting procedures and documents are reviewed according to work place instructions.
7. Trustee election procedures are evaluated according to work place procedures.
8. RBS capacity building programs are evaluated according to work place procedures
 |
| * 1. Complete RBS Trust Secretariat Services
 | 1. RBS Secretariat functional areas report are submitted according to work place procedures.
2. Stakeholder communications are recorded and filed as per work place procedures.
3. Service providers’ reports are submitted according to work place procedures.
4. RBS property facilities report is submitted according to work place procedures.
5. Meeting records are circulated and filed according to work place procedures.
6. Election results are filed and report submitted according to work place procedures.
7. Trust secretariat report is submitted according to work place procedures.
 |

**RANGE**

This section provides work environments and conditions to which the performance criteria apply. It allows for different work environments and situations that will affect performance.

|  |  |
| --- | --- |
| **Software, Tools and equipment** Include butnot limited to: | * Laptop, software, printing equipment, work station
* Internet
* Stationery – pen, paper, ruler, rubber
* Telephone
 |
| **Existing laws and regulations** Includebut not limited to: | * The Constitution of Kenya – Chapter Six
* Ethics and Anti-Corruption Act
* Public Procurement and Disposal Act
* Employment Act
* The Retirement Benefits Act and its Regulations
* Income Tax Act
* Unclaimed Financial Assets Act
* Capital Markets Act
* Insurance Act and its Regulations
 |

**REQUIRED SKILLS AND KNOWLEDGE**

This section describes the skills and knowledge required for this unit of competency.

**Required Skills**

This section describes the required skills which supports performance. These skills will need to be considered in the learning and assessment process.

* Analytical
* Leadership
* Organizational
* Attention to detail
* Communication
* Report writing
* Interpretation
* Information Technology (IT)

**Underpinning Knowledge**

This section describes the required knowledge which supports performance. This knowledge will need to be considered in the learning and assessment process.

The individual needs to demonstrate knowledge of:

* Leadership and integrity
* Governance policies and procedures
* Key performance measurement
* Laws governing RBS
* Performance management methods
* Work authorization procedure in the workplace

**EVIDENCE GUIDE**

This provides advice on assessment and must be read in conjunction with the performance criteria, required skills, knowledge and range.

|  |  |
| --- | --- |
| * + 1. Critical Aspects of Competency
 | Assessment requires evidence that the candidate:1. Designed the organizational structure and functions of the secretariat
2. Developed governance framework and policies to manage the secretariat
3. Developed resource management plan for the secretariat
4. Developed stakeholder’s communication plan
5. Prepared training needs assessment and a report of trainings undertaken
6. Developed procedure for meetings management
7. Prepared Trust secretariat report
 |
| * + 1. Resource Implications
 | The following resources must be provided:1. Workplace or assessment location
2. Laptop/desktop
3. RBS documents
4. Service providers reports
 |
| * + 1. Methods of Assessment
 | Competency may be assessed through:1. Simulation
2. Observation
3. Written Assessment
4. Interview
5. Case Study/Situation
 |
| * + 1. Context of Assessment
 | Competency may be assessed on the job, off the job or a combination of these. Off the job assessment must be undertaken in a closely simulated workplace environment. |
| * + 1. Guidance Information for Assessment
 | Holistic assessment with other units relevant to the industry sector, workplace and job role is recommended. |

PROVIDE RETIREMENT BENEFITS SCHEME (RBS) ADMINISTRATION **SERVICES UNIT CODE: BUS/OS/PI/CR/07/6**

**Unit Description**

This unit specifies the competencies required to provide RBS

Administration Services. It involves preparing for the Administration Services including the orientation to administration services and systems used, running member trainings and processing benefits using the appropriate methodology, evaluating the Administration Services and submitting the Administration Services reports according to specifications.

This unit applies to the Retirement Benefits Schemes and **related industries.**

**ELEMENTS AND PERFORMANCE CRITERIA**

| **Elements***These describe the key**outcomes which make**up workplace**function.* | **Performance Criteria***These are assessable statements**which specify the required level of**performance for each of the**elements.* |
| --- | --- |
| * 1. Prepare to provide RBS administration services
 | 1. Administration services are determined from the **existing regulations**, workplace policies, work instructions, departmental progress and administration reports and interview with staff.
2. **Software, Tools and equipment** required are gathered according to work place policies
3. Member forms and register are designed for enrolling members according to work place procedures
4. Training needs assessment is conducted for a RBS according to work place policies
5. Administration services evaluation tools are developed according to workplace requirements
 |
| * 1. Conduct RBS Administration Services
 | 1. Update the members register using their completed forms according to work place Procedures
2. Statements are prepared and payments processed according to work place procedures
3. Members training is conducted and feedback forms completed according to work place procedures
4. Regulatory Compliance is managed in accordance to **existing regulations**
5. Stakeholder communication is managed in accordance to work place procedures
6. Member Statements are processed according to work place procedures
7. Settlement Trust Funds, Group Life Assurance (GLA) and Post-Retirement Medical Scheme (PRMS) are managed in accordance to the **existing regulations**
8. Valuation and audit data are collated according to work place procedures
 |
| * 1. Evaluate RBS Administration Services
 | 1. Members register and the completed forms are evaluated as per workplace procedures
2. Processed payments are reviewed in accordance to workplace instructions
3. Feedback forms are reviewed and analysed
4. Valuation and audit data are reviewed and analyzed
 |
| * 1. Complete RBS Administration Services
 | 1. The members register is completed and the member issued with their scheme number and scheme documents
2. Member documents are filed according to workplace procedures
3. Member payments report is included in the administration report according to workplace procedures
4. Member training report is submitted to the client according to workplace procedures
5. Compliance report is included in the administration report according to workplace procedures
6. Valuation and audit data is submitted to the auditor according to workplace procedures
 |

**RANGE**

This section provides work environments and conditions to which the performance criteria apply. It allows for different work environments and situations that will affect performance.

|  |  |
| --- | --- |
| **Software, tools and equipment** include but not limited to: | * Laptop, software, printing equipment, work station
* Internet
* Stationery – pen, paper, ruler, rubber
* Telephone
 |
| **Existing regulations** include but not limited to: | * The Retirement Benefits Act and its Regulations
* Income Tax Act
* Employment Act
* Unclaimed Financial Assets Act
* Capital Markets Act
* Insurance Act and its Regulations
 |
| **Regulated industries** include but not limited to: | * Retirement Benefits, Insurance, Actuarial, Fund management, Custody, Financial Sector
 |

**REQUIRED SKILLS AND KNOWLEDGE**

This section describes the skills and knowledge required for this unit of competency.

**Required Skills**

This section describes the required skills which supports performance. These skills will need to be considered in the learning and assessment process.

* Analytical
* Leadership
* Organizational
* Attention to detail
* Communication
* Report writing
* Interpretation
* Information Technology (IT)

**Underpinning Knowledge**

This section describes the required knowledge which supports performance. This knowledge will need to be considered in the learning and assessment process.

The individual needs to demonstrate knowledge of:

* Laws governing RBS
* Industry Regulators and related compliance requirements
* Quantitative and qualitative analysis techniques
* RBS administration information systems report writing
* Structure of the retirement benefits industry
* Performance management methods
* Work processes and procedure
* Trust deed and rules for RBS
* Communication techniques for different stakeholder
* Roles, mandates and disclosures relating to different stakeholders

**EVIDENCE GUIDE**

This provides advice on assessment and must be read in conjunction with the performance criteria, required skills, knowledge and range.

|  |  |
| --- | --- |
| * + 1. Critical Aspects of Competency
 | Assessment requires evidence that the candidate:1. Designed evaluation tool for RBS administration services
2. Updated member register and completed enrolment forms
3. Prepared member statements
4. Computed and paid withdrawal payments
5. Identified compliance requirements checklist
6. Prepared audit and valuation data
7. Filed administration documents
8. Prepared administration report
 |
| * + 1. Resource Implications
 | The following resources must be provided:1. Workplace or assessment location
2. Laptop/desktop
3. RBS documents
4. Operating procedures manuals
 |
| * + 1. Methods of Assessment
 | Competency may be assessed through:1. Simulation
2. Observation
3. Written assessment
4. Interview
5. Case study/situation
 |
| * + 1. Context of Assessment
 | Competency may be assessed on the job, off the job or a combination of these. Off the job assessment must be undertaken in a closely simulated workplace environment. |
| * + 1. Guidance Information for Assessment
 | Holistic assessment with other units relevant to the industry sector, workplace and job role is recommended. |

# PROVIDE RETIREMENT BENEFITS SCHEME (RBS) LEGAL SERVICES

**UNIT CODE: BUS/OS/PI/CR/08/6**

**Unit Description**

This unit specifies the competencies required to conduct RBS Legal Services. It involves preparing for the RBS Legal Services and providing the RBS Legal Services guided by the appropriate legal framework, evaluating the RBS Legal Service and completing the RBS Legal Services according to specifications.

This unit applies to the Retirement Benefits Schemes and **related industries**.

**ELEMENTS AND PERFORMANCE CRITERIA**

| **Elements***These describe the key**outcomes which make**up workplace**function.* | **Performance Criteria***These are assessable statements**which specify the required level of**performance for each of the**elements.* |
| --- | --- |
| * 1. Prepare to provide RBS legal services
 | 1. RBS Legal Services are determined from **existing Regulations** and other Acts of parliament with reference to Retirement Benefit Schemes (RBS)
2. Training needs assessment report for RBS legal services is conducted
3. **Tools and equipment** necessary are selected and checked before commencement according to work place policies
4. Legal information appropriate for the RBS Legal Services is acquired.
5. New RBS regulations are identified
6. RBS Legal Agreements to be reviewed are identified
7. Procedure for registration of RBS is identified according to the Retirement Benefits Act with the Regulations made there under.
8. Procedure for liquidation and winding up of RBS are identified according to the Retirement Benefits Act with the Regulations made there under.
9. Procedure for the establishment and the mandate of RBS Appeal Tribunal is identified according to the Retirement Benefits Act with the Regulations made there under,
10. Dispute Resolution Mechanisms for RBS are identified according to various Acts of parliament.
 |
| * 1. Providing the RBS legal services
 | 1. RBS Legal Agreements are drafted in accordance with the Retirement Benefits Act CAP 197 with the Regulations made there under.
2. Registration of RBS in accordance with the Retirement Benefits Act CAP 197 with the Regulations made there under.
3. Procedure for liquidation and winding up of RBS is carried out in accordance with the Retirement Benefits Act CAP 197 with the Regulations made there under
4. Dispute Resolution Mechanisms for RBS conflicts are stipulated in accordance with the Retirement Benefits Act CAP 197 with the Regulations made there under and other
 |
| * 1. Evaluate the RBS legal services
 | 1. Review of RBS agreements according to Retirements Benefits Act CAP 197 with the Regulations made there under
 |
| * 1. Complete the RBS legal services
 | 1. Drafting of RBS Agreements according to Retirement Benefits Act CAP 197 with the Regulations made there under.
2. Registration of RBS according to Retirement Benefits Act CAP 197 with the Regulations made there under.
3. Legal Service report is prepared according to workplace procedures.
 |

**RANGE**

This section provides work environments and conditions to which the performance criteria apply.

It allows for different work environments and situations that will affect performance.

|  |  |
| --- | --- |
| * + 1. Tools and equipment include but not limited to:
 | * Computer
* Internet
* Printer
* Stationary
* Work Station
* Telephone
 |
| * + 1. Regulations include but not limited to:
 | * Constitution of Kenya
* Retirements Benefits Act CAP 197 with the Regulations made there under
* Central Bank of Kenya Act CAP 491
* Capital Markets Act 485A
* Insurance Act CAP 487
* Unclaimed Financial Assets Act No 40 of 2011
* Income Tax Act 470
* Employment Act CAP 226
* Law of Succession Act CAP 160
* Trustees (Perpetual Succession) Act CAP 164
* Trustee Act CAP 167
* Public Trustee Act CAP 168
* Marriage Act No 4 of 2014
* Arbitration Act CAP 49
 |
| * + 1. Related industries include but not limited to:
 | * Finance sector
* Insurance sector
 |

**REQUIRED SKILLS AND KNOWLEDGE**

This section describes the skills and knowledge required for this unit of competency.

**Required Skills**

This section describes the required skills which supports performance. These skills will need to be considered in the learning and assessment process.

* Analytical
* Leadership
* Organizational
* Attention to detail
* Communication
* Report writing
* Interpretation
* Information Technology (IT)

**Underpinning Knowledge**

This section describes the required knowledge which supports performance. This knowledge will need to be considered in the learning and assessment process.

The individual needs to demonstrate knowledge of:

* Retirement Benefits Act CAP 197
* Retirement Benefits Regulations
* All other laws with reference to Retirement Benefits Schemes
* Key Regulatory Bodies
* Retirement Benefits Tribunal
* Retirement Benefits Schemes practice notes and guidelines
* Types of schemes
* Scheme registration requirements

**EVIDENCE GUIDE**

This provides advice on assessment and must be read in conjunction with the performance criteria, required skills, knowledge and range.

|  |  |
| --- | --- |
| * + - 1. Critical Aspects of Competency
 | Assessment requires evidence that the candidate:1. Identified RBS legal documents
2. Reviewed RBS legal documents
3. Drafted and executed legal documents
4. Identified new regulations relating to RBS
5. Submitted RBS registration documents
6. Identified dispute resolution mechanisms for managing conflicts
 |
| * + - 1. Resource Implications
 | The following resources must be provided:1. Workplace or assessment location
2. Laptop / desktop
3. RBS documents
 |
| * + - 1. Methods of Assessment
 | Competency may be assessed through:1. Simulation
2. Observation
3. Written assessment
4. Interview
5. Case study / Situation
 |
| * + - 1. Context of Assessment
 | Competency may be assessed on the job, off the job or a combination of these. Off the job assessment must be undertaken in a closely simulated workplace environment. |
| * + - 1. Guidance Information for Assessment
 | Holistic assessment with other units relevant to the industry sector, workplace and job role is recommended. |