



## The National Finance Institute

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### RECOGNITION OF PRIOR LEARNING (RPL)

#### BSB42015 Certificate IV in Leadership and Management

##### What is RPL

The National Finance Institute recognises the skills and knowledge gained through work experience and/or past study. With applicants' diverse backgrounds, sufficient experience and expertise may have been attained in the industry to exempt applicants from standard course requirements. The certificate issued by NFI is a nationally recognised qualification as recorded on the ASQA register. Applicants for RPL must provide evidence that demonstrates competency in each unit of competency for the desired qualification.

##### Which Qualification

Please confirm, by ticking below, the qualification you are seeking to attain:

**BSB42015 Certificate IV in Leadership and Management**

##### RPL Procedure

Your submission should include the following items.

Once assembled, please tick below to confirm you have included these items.

- Please complete the **Applicant Details** and **payment section** provided on page 3 of this document.
- Please complete the **Unit Chooser** form provided on pages 4-5 of this document.
- Please create an **Evidence Statement** for each of your chosen Units as outlined on page 6.
- Print the attached **Competency Checklist** provided on pages 7 to 35 and have it completed and signed off by a peer or superior or competent industry expert for your 8 chosen units.
- Provide a **detailed CV** demonstrating experience in the industry, specifically involving supervisory duties and business management activities. This CV must be verified by a peer or superior. You should also highlight any educational qualifications you have achieved or courses you have completed. Your CV will indicate your length of service in a management/supervisory role and any prior or ongoing study.
- Provide a **CV for the peer** or manager (current or prior) who you have chosen to sign off this RPL submission's Competency Checklist, in order that we can verify their understanding of your competencies.
- Include a **Portfolio** containing evidence of work history, training, skills and knowledge which will be assessed against the competencies as outlined in the Checklist. This portfolio may form a part of your CV and evidence may include other course certificates/qualifications, accreditations, marketing material, personal references, subscriptions, WH&S substantiation, testimonials, performance reviews, photos, etc. The evidence you provide should relate to the Units chosen in your Unit Chooser Table.
- Submit a **Case study** which relates to your business (e.g. a recently completed Business plan, a recently completed company analysis, a recently completed business initiative such as a business improvement initiative). It may be a recently completed study activity if you are not currently involved in a business. [NB: Your case study should exclude or have blacked out any document information such as name or contact details, that may identify a client or colleague].

### The Assessment Process

The documentation submitted by the applicant to NFI will be assessed against each unit of competency applied for. The evidence submitted will be assessed using the following criteria and a phone interview may be conducted.

- Is the applicant's experience or study relevant to the course?
- Is the applicant's knowledge and skill current?
- Has the applicant's CV and signee's CV been verified as true and correct?
- Is the evidence provided a) valid b) sufficient c) current and d) authentic
- Are the knowledge levels and skills held by the applicant appropriate to the level of competency for which the applicant is applying (ie. at a Diploma level)?

The NFI assessor will then make one of three decisions:

- ▶ Accept the application and grant recognition
- ▶ Request further information because the assessor was unable to make a decision on the evidence provided
- ▶ Deny the application and recommend that further assessment or training is undertaken to achieve one or more units of competence. The applicant will then be advised which subjects or assessments, if any, are required to be completed. If full RPL is not approved, any fee already paid for the RPL application may go towards the study of the qualification for which the applicant was seeking RPL. Following advice of the outcome, the \$595 fee payable for the RPL review is non-refundable if the applicant determines that they no longer wish to pursue the qualification. Individual units of study online are \$139 per unit. Maximum fee for RPL plus study is capped at \$1445.

### The Outcome

The assessment decision will be made within 1 to 2 weeks of submission. Documentation received by NFI will not be returned to the applicant as it is required to be retained for DET audit purposes. If the applicant is granted RPL for their chosen qualification they will receive by mail an original certificate and the transcript of competencies that form the qualification. The receipt for payment will be sent to the applicant by email. For some applicants the RPL assessor will make the determination that some units qualify under RPL and other units may require study. If study of a unit is to be undertaken the fee is \$139 for online study or \$179 for online study with a hard copy provided. There is no GST charged when a unit is studied.

### How to Submit your Application

Applicants can post or scan/email to NFI as below. Nothing you submit will be returned to you so please do not include originals of any documentation. Due to length we cannot receive RPL submissions by fax. All submissions will be handled in accordance with our Privacy Policy.

Post: **RPL Coordinator**  
**The National Finance Institute**  
**P O Box 1354, Capalaba Business Centre Qld 4157**

Scan: **enquiries@financeinstitute.com.au**

By submission trainees agree to The National Finance Institute's terms and conditions available at [www.financeinstitute.com.au](http://www.financeinstitute.com.au)

**APPLICANT'S DETAILS**

First Name: \_\_\_\_\_

Gender:  Male  Female

Middle Name (if applicable): \_\_\_\_\_

Date of birth: \_\_\_\_\_

Surname: \_\_\_\_\_

Address: \_\_\_\_\_  
\_\_\_\_\_

Contact details: Phone: \_\_\_\_\_ Mobile: \_\_\_\_\_

Email: \_\_\_\_\_

*Additional information required below for education department purposes:*

Country of birth: \_\_\_\_\_ City of birth: \_\_\_\_\_

Australian citizen:  Yes  No If No, what is your country of citizenship: \_\_\_\_\_Current employment status:  Full time  Part time  Self-employed  Not working/made redundantLanguage spoken at home: \_\_\_\_\_ Proficiency in spoken English:  Very well  Well  Poor

What year did you finish high school? \_\_\_\_\_

Highest level of education completed:  Bachelor  Diploma  Certificate  Year 12 Other: \_\_\_\_\_Reason for acquiring this qualification/s  Requirement of my job  To get a job To try for a different career  Self-development**What is your USI?** \_\_\_\_\_ - A USI is a compulsory government requirement.

If you don't have a USI (Unique Student Identifier) please go to either link below to create one:

**<http://financeinstitute.com.au/USI.html> or [www.usi.gov.au](http://www.usi.gov.au)****PAYMENT METHOD** **PayPal** - PayPal payment made via [www.financeinstitute.com.au/paypal.html](http://www.financeinstitute.com.au/paypal.html) to christine@financeinstitute.com.au **Cheque** - Payable to The National Finance Institute, P.O. Box 1354, Capalaba BC Qld 4157 **Direct Deposit** - The National Finance Institute, BSB 114 879, Account 003 139 833 **Credit Card:** \_\_\_\_\_**Expiry date:** \_\_\_\_\_ **Name on Card:** \_\_\_\_\_**Total Amount: \$** \_\_\_\_\_ \$595 for RPL only for full qualification  
(incl Credit Transfer if applicable) **OR** \$1445 for RPL plus 6 or more study units to achieve full  
qualification (incl Credit Transfer if applicable)

Signature: ..... Date: .....

**CORE AND ELECTIVE UNIT CHOICES****Page 4 to 5 - to be completed by the Applicant****Applicant's name:** .....

**12 Units** of Competency are required to be completed, comprised of 4 Core Units and 8 Elective Units. 4 of the Elective Units must be selected from the Group A units listed below. 4 units may be selected from either Group A units or Group B units listed below. Units should be relevant to the work outcome that you desire and local industry requirements.

Below is what we refer to as a **Unit Chooser** Table. You may be seeking RPL on the full qualification or on only selected units from the qualification. The Unit Chooser form allows you to select which units and by which method you would like to achieve those units. **12 units** are needed to attain the full qualification and these can be made up of Recognition of Prior Learning or Credit Transfer (CT) or by study of the unit. Credit Transfer means you have already studied and passed the unit with prior study and you have a Statement or Transcript to prove your completion of the unit/s. If you have already determined that you will need to study some units you can request to commence to study those units while your RPL submission is being assessed.

**UNIT CHOOSER TABLE**

<b>CORE UNITS</b> <b>(4 to be ticked)</b>	<b>RPL or Credit Transfer (CT)</b> <b>or Study Unit – please tick your preference</b>		
BSBLDR401 Communicate effectively as a workplace leader	RPL <input type="checkbox"/>	CT <input type="checkbox"/>	Study Unit <input type="checkbox"/>
BSBLDR402 Lead effective workplace relationships	RPL <input type="checkbox"/>	CT <input type="checkbox"/>	Study Unit <input type="checkbox"/>
BSBLDR403 Lead team effectiveness	RPL <input type="checkbox"/>	CT <input type="checkbox"/>	Study Unit <input type="checkbox"/>
BSBMGT402 Implement operational plan	RPL <input type="checkbox"/>	CT <input type="checkbox"/>	Study Unit <input type="checkbox"/>

When your peer/supervisor/manager follows on with the Evidence Checklist, to verify your skills from page 6 onwards, they must ensure they are verifying **ONLY** the units that you have chosen below.

<b>ELECTIVE UNIT CHOICES</b> <b>(8 only from below to be ticked– 4 from Group A plus 4 from either Group A or Group B)</b>	<b>RPL or Credit Transfer (CT)</b> <b>or Study Unit – please tick your preference</b>		
<b>GROUP A</b>			
BSBFIA402 Report on financial activity	RPL <input type="checkbox"/>	CT <input type="checkbox"/>	Study Unit <input type="checkbox"/>
BSBINN301 Promote innovation in a team environment	RPL <input type="checkbox"/>	CT <input type="checkbox"/>	Study Unit <input type="checkbox"/>
BSBLDR404 Lead a diverse workforce	RPL <input type="checkbox"/>	CT <input type="checkbox"/>	Study Unit <input type="checkbox"/>
BSBMGT403 Implement continuous improvement	RPL <input type="checkbox"/>	CT <input type="checkbox"/>	Study Unit <input type="checkbox"/>
BSBREL402 Build client relationships and business networks	RPL <input type="checkbox"/>	CT <input type="checkbox"/>	Study Unit <input type="checkbox"/>
BSBRISK401 Identify risk and apply risk management processes	RPL <input type="checkbox"/>	CT <input type="checkbox"/>	Study Unit <input type="checkbox"/>

BSBWHS401 Implement and monitor WHS policies, procedures and programs to meet legislative requirements	RPL <input type="checkbox"/>	CT <input type="checkbox"/>	Study Unit <input type="checkbox"/>
BSBWOR404 Develop work priorities	RPL <input type="checkbox"/>	CT <input type="checkbox"/>	Study Unit <input type="checkbox"/>
<b>GROUP B</b>			
BSBADM409 Coordinate business resources	RPL <input type="checkbox"/>	CT <input type="checkbox"/>	Study Unit <input type="checkbox"/>
BSBCMM401 Make a presentation	RPL <input type="checkbox"/>	CT <input type="checkbox"/>	Study Unit <input type="checkbox"/>
BSBCRT401 Articulate, present and debate ideas	RPL <input type="checkbox"/>	CT <input type="checkbox"/>	Study Unit <input type="checkbox"/>
BSBCUS401 Coordinate implementation of customer service strategies	RPL <input type="checkbox"/>	CT <input type="checkbox"/>	Study Unit <input type="checkbox"/>
BSBCUS402 Address customer needs	RPL <input type="checkbox"/>	CT <input type="checkbox"/>	Study Unit <input type="checkbox"/>
BSBCUS403 Implement customer service standards	RPL <input type="checkbox"/>	CT <input type="checkbox"/>	Study Unit <input type="checkbox"/>
BSBINM401 Implement workplace information systems	RPL <input type="checkbox"/>	CT <input type="checkbox"/>	Study Unit <input type="checkbox"/>
BSBLED401 Develop teams and individuals	RPL <input type="checkbox"/>	CT <input type="checkbox"/>	Study Unit <input type="checkbox"/>
BSBMGT401 Show leadership in the workplace	RPL <input type="checkbox"/>	CT <input type="checkbox"/>	Study Unit <input type="checkbox"/>
BSBMGT404 Lead and facilitate off-site staff	RPL <input type="checkbox"/>	CT <input type="checkbox"/>	Study Unit <input type="checkbox"/>
BSBMGT407 Apply digital solutions to work processes	RPL <input type="checkbox"/>	CT <input type="checkbox"/>	Study Unit <input type="checkbox"/>
BSBMKG413 Promote products and services	RPL <input type="checkbox"/>	CT <input type="checkbox"/>	Study Unit <input type="checkbox"/>
BSBPMG522 Undertake project work	RPL <input type="checkbox"/>	CT <input type="checkbox"/>	Study Unit <input type="checkbox"/>
BSBRES401 Analyse and present research information	RPL <input type="checkbox"/>	CT <input type="checkbox"/>	Study Unit <input type="checkbox"/>
BSBSUS401 Implement and monitor environmentally sustainable work practices	RPL <input type="checkbox"/>	CT <input type="checkbox"/>	Study Unit <input type="checkbox"/>
BSBWRT401 Write complex documents	RPL <input type="checkbox"/>	CT <input type="checkbox"/>	Study Unit <input type="checkbox"/>

If you have completed prior study of units at a Cert IV or Diploma level which you know to be recognised as part of this qualification, but which are not listed above, you can replace the unit/s above, as applicable.

## EVIDENCE STATEMENT

**To be completed by the Applicant on pages 36 onwards (typed separately)**

There are rules governing the completion of RPL Applications and it is important that they are strictly adhered to, to enable RPL to be granted.

An Evidence Statement, specific to the qualification units, is necessary for us to fully understand the areas of expertise in which you currently practise or have previously practised or have studied.

What evidence do you have that you can substantiate the competencies of each unit?

Please prepare a typed answer for each of the units for which you are seeking Recognition of Prior Learning (RPL). This should demonstrate your understanding of the elements from within the unit. There is no right or wrong answer and there is no maximum or minimum number of words. The assessor will be looking to judge your understanding of each of the elements.

To create your Evidence Statement please ensure:

- Your name is included on the top of page 1 of your document
- You prepare a Statement for each of the units chosen on your completed Unit Chooser Table that you chose as “RPL”
- Each Statement for each unit addresses the Element and the Performance Criteria – these can be viewed in the Performance Criteria column provided in the tables that follow in the Competency Statement, from page 8 onwards
- You have checked that each of your paragraphs for each of your chosen RPL units, clearly indicates the unit code, so that we may obtain a clear understanding of your experience.

## COMPETENCY CHECKLIST

**To be completed and signed by a superior/peer/manager of the applicant.  
Can be previously or currently associated.**

*The person making this statement must be suitably qualified to answer the questions (CV required as evidence).  
The person making this statement must ensure that their responses are true and accurate and that they may be called upon to provide evidence if required in a court of law.*

### Details of Person Declaring (ie. the Applicant's peer / superior / BDM)

Name: \_\_\_\_\_

Company and Position (if applicable): \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Contact details: Phone: \_\_\_\_\_ Mobile: \_\_\_\_\_

Email: \_\_\_\_\_

Signature: \_\_\_\_\_ Date: \_\_\_\_\_

Declarer's CV is attached:  Yes  No

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## COMPETENCY CHECKLIST Continued

To be completed by a superior/peer/manager of the applicant.

Applicant Name: \_\_\_\_\_

It is certified that the applicant has the following skills and knowledge and can demonstrate the following competencies.

If you are completing this Competency Statement for the applicant you will need to be aware of whether the application is seeking recognition of prior learning (RPL) for 12 units, or whether they are seeking recognition for less than 12 units and are going to study units in which they recognise that they have currently insufficient prior experience or evidence. If the applicant is seeking RPL for the full qualification then 12 units are required to be verified (ie. a “yes” tick) in the pages that follow in order to meet the requirements for the full qualification to be issued. The units you verify below should match the applicant’s chosen units on their Unit Chooser Table ie. **a maximum of 12 units are ticked.**

### BSB42015 Certificate IV in Leadership and Management

It is certified that the applicant has the following skills and knowledge and can demonstrate the following competencies.

#### BSBLDR401 COMMUNICATE EFFECTIVELY AS A WORKPLACE LEADER

Element	Performance criteria	Please tick
1 Identify context for communication	1.1 Identify reason and context for communication	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	1.2 Identify persons relevant to the communication context	
	1.3 Clarify specific environment and personnel factors that may impact on the success of the communication	
	1.4 Identify and clearly understand the desired outcome of the communication	
	1.5 Evaluate available methods of communication against their suitability for the specific communication requirements	
	1.6 Identify potential barriers to effective communication and develop solutions to minimise impact	
	1.7 Incorporate relevant business policies, procedures, regulations and legislation into communication processes	
2 Clarify message and engage communication	2.1 Undertake communication using media and format relevant to the context	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	2.2 Incorporate respectful and positive approaches to communications	
	2.3 Employ two-way processes to ensure receipt and acknowledgement of message	
	2.4 Seek feedback on communication processes from all parties	
	2.5 Provide opportunities to clarify and confirm understanding	
3 Take follow-up actions	3.1 Maintain record of the communication process and outcomes in line with enterprise policy and procedures	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	3.2 Identify follow up actions and communicate to relevant persons	
	3.3 Identify and incorporate opportunities to improve leadership communication processes	



**BSBLDR402 LEAD EFFECTIVE WORKPLACE RELATIONSHIPS**

Element	Performance criteria	Please tick	
1	Collect, analyse and communicate information and ideas	1.1 Collect relevant information from appropriate sources and analyse and share with the work team to improve work performance 1.2 Communicate ideas and information in a manner which is appropriate and sensitive to the cultural and social diversity of the audience and any specific needs 1.3 Lead consultation processes to encourage employees to contribute to issues related to their work, and promptly relay feedback to the work team in regard to outcomes 1.4 Seek and value contributions from internal and external sources in developing and refining new ideas and approaches 1.5 Implement processes to ensure that issues raised are resolved promptly or referred to relevant personnel as required	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
2	Develop trust and confidence as leader	2.1 Treat all internal and external contacts with integrity, respect and empathy 2.2 Use the organisation's social, ethical and business standards to develop and maintain effective relationships 2.3 Gain and maintain the trust and confidence of colleagues, customers and suppliers through competent performance 2.4 Adjust interpersonal styles and methods to meet organisation's social and cultural environment 2.5 Lead and encourage other members of the work team to follow examples set according to organisation's policies and procedures	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
3	Develop and maintain networks and relationships	3.1 Use networks to identify and build relationships 3.2 Use networks and other work relationships to provide identifiable benefits for the team and organisation	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
4	Manage difficulties into positive outcomes	4.1 Identify and analyse difficulties and take action to rectify the situation within the requirements of the organisation and relevant legislation 4.2 Guide and support colleagues to resolve work difficulties 4.3 Regularly review and improve workplace outcomes in consultation with relevant personnel 4.4 Manage poor work performance within the organisation's processes	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

**BSBLDR403 LEAD TEAM EFFECTIVENESS**

Element	Performance criteria	Please tick
1 Plan to achieve team outcomes	1.1 Lead the team to identify, establish and document team purpose, roles, responsibilities, goals, plans and objectives in consultation with team members	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	1.2 Engage team members to incorporate innovation and productivity measures in work plans	
	1.3 Lead and support team members in meeting expected outcomes	
2 Lead team to develop cohesion	2.1 Provide opportunities for input of team members into planning, decision making and operational aspects of work team	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	2.2 Encourage and support team members to take responsibility for own work and to assist each other in undertaking required roles and responsibilities	
	2.3 Provide feedback to team members to encourage, value and reward individual and team efforts and contributions	
	2.4 Recognise and address issues, concerns and problems identified by team members or refer to relevant persons as required	
	2.5 Model expected behaviours and approaches	
3 Participate in and facilitate work team	3.1 Actively encourage team members to participate in and take responsibility for team activities and communication processes	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	3.2 Give the team support to identify and resolve problems which impede its performance	
	3.3 Ensure own contribution to work team serves as a role model for others and enhances the organisation's image within the work team, the organisation and with clients/customers	
4 Liaise with management	4.1 Maintain open communication with line manager/management at all times	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	4.2 Communicate information from line manager/management to the team	
	4.3 Communicate unresolved issues, concerns and problems raised by the team/team members to line manager/management and ensure follow-up action is taken	
	4.4 Communicate unresolved issues, concerns and problems related to the team/team members raised by line managers/management to the team and ensure follow-up to action is taken	

**BSBMGT402 IMPLEMENT OPERATIONAL PLAN**

Element	Performance criteria	Please tick
1 Implement operational plan	1.1 Collate, analyse and organise details of resource requirements in consultation with relevant personnel, colleagues and specialist resource managers 1.2 Implement operational plans to contribute to the achievement of organisation's performance/business plan 1.3 Identify and use key performance indicators (KPIs) to monitor operational performance 1.4 Manage contingencies by adjusting the implementation of the operational plan in consultation with others 1.5 Provide assistance in the development and presentation of proposals for resource requirements in line with operational planning processes	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
2 Implement resource acquisition	2.1 Recruit and induct employees within organisation's policies, practices and procedures 2.2 Implement plans for acquisition of physical resources and services within organisation's policies, practices and procedures and in consultation with relevant personnel	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
3 Monitor operational performance	3.1 Monitor performance systems and processes to assess progress in achieving profit/productivity plans and targets 3.2 Analyse and use budget and actual financial information to monitor profit/productivity performance 3.3 Identify unsatisfactory performance and take prompt action to rectify the situation according to organisational policies 3.4 Provide mentoring, coaching and supervision to support individuals and teams to use resources effectively, economically and safely 3.5 Present recommendations for variation to operational plans to the designated persons/groups and gain approval 3.6 Implement systems, procedures and records associated with performance in accordance with organisation's requirements	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

**BSBFIA402 REPORT ON FINANCIAL ACTIVITY**

Element	Performance criteria	Please tick
1 Compile financial information and data	1.1 Collect, evaluate and code current financial data to ensure consistency, quality and accuracy in accordance with organisational requirements 1.2 Use conversion and consolidation procedures to compile analysis in accordance with organisational requirements 1.3 Make, record and disclose asset and liability valuations in accordance with organisational requirements 1.4 Ensure that discrepancies, unusual features or queries are identified, resolved or referred to the appropriate authority	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
2 Prepare statutory requirement reports	2.1 Correctly record income and expenditure to ensure compliance with statutory requirements 2.2 Calculate liabilities for tax in accordance with current legislation and revenue gathering practices 2.3 Correctly identify relevant receipts, revenue documentation and payments 2.4 Ensure that statements and claims take full advantage of available benefits and allowances in accordance with statutory requirements 2.5 Submit statutory requirement reports to appropriate authorities within stated deadlines	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
3 Provide financial business recommendations	3.1 Ensure that recommendations are logically derived and supported by evidence in report 3.2 Provide recommendations to propose constructive actions to enhance the effectiveness and efficacy of functions and services 3.3 Ensure recommendations are concise and facilitate direction and control of organisation's operations 3.4 Identify and prioritise significant issues in statements including comparative financial performances for review and decision making 3.5 Ensure structure and format of reports are clear and conform to organisational and statutory requirements	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

**BSBINN301 PROMOTE INNOVATION IN A TEAM ENVIRONMENT**

Element	Performance criteria	Please tick
1 Create opportunities to maximise innovation within the team	1.1 Evaluate and reflect on what the team needs and wants to achieve 1.2 Check out information about current or potential team members' work in the context of developing a more innovative team 1.3 Bring people into the team or make suggestions for team members based on what needs to be achieved and the potential for cross fertilising ideas 1.4 Acknowledge, respect and discuss the different ways that people may contribute to building or enhancing the team	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
2 Organise and agree effective ways of working	2.1 Jointly establish ground rules for how the team will operate 2.2 Agree and communicate responsibilities in ways that encourage and reinforce team-based innovation 2.3 Agree and share tasks and activities to ensure the best use of skills and abilities within the team 2.4 Plan and schedule activities to allow time for thinking, challenging and collaboration 2.5 Establish personal reward and stimulation as an integral part of the team's way of working	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
3 Support and guide colleagues	3.1 Model behaviour that supports innovation 3.2 Seek external stimuli and ideas to feed into team activities 3.3 Proactively share information, knowledge and experiences with other team members 3.4 Challenge and test ideas within the team in a positive and collaborative way 3.5 Proactively discuss and explore ideas with other team members on an ongoing basis	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
4 Reflect on how the team is working	4.1 Debrief and reflect on activities and on opportunities for improvement and innovation 4.2 Gather and use feedback from within and outside the team to generate discussion and debate 4.3 Discuss the challenges of being innovative in a constructive and open way 4.4 Take ideas for improvement, build them into future activities and communicate key issues to relevant colleagues 4.5 Identify, promote and celebrate successes and examples of successful innovation	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

**BSBLDR404 LEAD A DIVERSE WORKFORCE**

Element	Performance criteria	Please tick
1 Identify the dimensions of workforce diversity	1.1 Establish the nature of diversity in the business context 1.2 Qualify and quantify the source of workforce diversity 1.3 Identify the benefits provided to the business through the diverse workforce 1.4 Recognise legislation, regulation and enterprise policy and procedure that impacts on workplace diversity 1.5 Identify opportunities and barriers to inclusive engagement	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
2 Factor diversity into team plans and operations	2.1 Develop and review work plans in line with the diversity context 2.2 Incorporate the positive contribution of diverse workforce members into work plans 2.3 Adjust plans and operations to align with relevant legislation and policy and procedure 2.4 Design processes to incorporate and maximise the benefits of diversity	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
3 Engage with a diverse workforce	3.1 Apply communication processes, behaviours and language in line with diversity context 3.2 Recognise and adapt for own bias and assumptions 3.3 Practise inclusive behaviours 3.4 Recognise and apply actions to ensure cultural competency 3.5 Incorporate and apply diversity tools and techniques to operations	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
4 Support and encourage diverse workforce members	4.1 Provide workplace support and access to enabling services 4.2 Encourage, review and provide feedback to the workforce on a continuous basis	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

**BSBMGT403 IMPLEMENT CONTINUOUS IMPROVEMENT**

Element	Performance criteria	Please tick
1 Implement continuous improvement systems and processes	1.1 Implement systems to ensure that individuals and teams are actively encouraged and supported to participate in decision making processes, assume responsibility and exercise initiative 1.2 Communicate the organisation's continuous improvement processes to individuals and teams, and obtain feedback 1.3 Ensure effective mentoring and coaching allows individuals and teams to implement the organisation's continuous improvement processes	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
2 Monitor and review performance	2.1 Use the organisation's systems and technology to monitor and review progress and to identify ways in which planning and operations could be improved 2.2 Improve customer service through continuous improvement techniques and processes 2.3 Formulate and communicate recommendations for adjustments to those who have a role in their development and implementation	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
3. Provide opportunities for further improvement	3.1 Implement processes to ensure that team members are informed of savings and productivity/service improvements in achieving the business plan 3.2 Document work performance to aid the identification of further opportunities for improvement 3.3 Manage records, reports and recommendations for improvement within the organisation's systems and processes	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

**BSBREL402 BUILD CLIENT RELATIONSHIPS AND BUSINESS NETWORKS**

Element	Performance criteria	Please tick
1 Initiate interpersonal communication with clients	1.1 Identify and use preferred client communication styles and methods 1.2 Establish rapport with clients using verbal and non-verbal communication processes 1.3 Investigate and act upon opportunities to offer positive feedback to clients 1.4 Use open questions to promote two-way communication 1.5 Identify and act upon potential barriers to effective communication with clients 1.6 Initiate communication processes which relate to client needs, preferences and expectations	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
2 Establish client relationship management strategies	2.1 Develop client loyalty objectives focusing on the development of long term business partnerships 2.2 Assess client profile information to determine approach 2.3 Develop client loyalty strategies to attract and retain clients in accordance with the business strategy 2.4 Identify and apply client care and client service standards	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
3 Maintain and improve ongoing relationships with clients	3.1 Develop strategies to obtain ongoing feedback from clients to monitor satisfaction levels 3.2 Develop strategies to elicit feedback which provide information in a form that can be used to improve relationships with clients 3.3 Obtain feedback to develop and implement strategies which maintain and improve relationships with clients	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
4 Build and maintain networks	4.1 Allocate time to establish and maintain business contacts 4.2 Participate in business associations and/or professional development activities to establish and maintain a network of support for the business and to enhance personal knowledge of the market 4.3 Establish communication channels to exchange information and ideas 4.4 Provide, seek and verify information to the network	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure



**BSBRK401 IDENTIFY RISK AND APPLY RISK MANAGEMENT PROCESSES**

Element	Performance criteria	Please tick
1 Identify risks	1.1 Identify the context for risk management	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	1.2 Identify risks using tools, ensuring all reasonable steps have been taken to identify all risks	
	1.3 Document identified risks in accordance with relevant policies, procedures, legislation and standards	
2 Analyse and evaluate risks	2.1 Analyse and document risks in consultation with relevant stakeholders	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	2.2 Undertake risk categorisation and determine level of risk	
	2.3 Document analysis processes and outcomes	
3 Treat risks	3.1 Determine appropriate control measures for risks and assess for strengths and weaknesses	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	3.2 Identify control measures for all risks	
	3.3 Refer risks relevant to whole of organisation or having an impact beyond own work responsibilities and area of operation to others as per established policies and procedures	
	3.4 Choose and implement control measures for own area of operation and/or responsibilities	
	3.5 Prepare and implement treatment plans	
4 Monitor and review effectiveness of risk treatment/s	4.1 Regularly review implemented treatment/s against measures of success	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	4.2 Use review results to improve the treatment of risks	
	4.3 Provide assistance to auditing risk in own area of operation	
	4.4 Monitor and review management of risk in own area of operation	

### BSBWHS401 IMPLEMENT AND MONITOR WHS POLICIES, PROCEDURES AND PROGRAMS TO MEET LEGISLATIVE REQUIREMENTS

Element		Performance criteria	Please tick
1	Provide information to the work team about WHS policies and procedures	1.1 Accurately explain to the work team relevant provisions of WHS Acts, regulations and codes of practice	<input type="checkbox"/> Yes
		1.2 Provide information about the organisation's WHS policies, procedures and programs, and ensure it is readily accessible to, and understandable by the work team	<input type="checkbox"/> No <input type="checkbox"/> Unsure
		1.3 Regularly provide and clearly explain to the work team information about identified hazards and the outcomes of risk assessment and control	
2	Implement and monitor participation arrangements for managing WHS	2.1 Communicate to workplace parties the importance of effective consultation mechanisms in managing health and safety risks in the workplace	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
		2.2 Apply consultation procedures to facilitate participation of the work team in managing work area hazards	
		2.3 Promptly deal with issues raised through consultation, according to organisational consultation procedures and WHS legislative and regulatory requirements	
		2.4 Promptly record and communicate to the work team the outcomes of consultation over WHS issues	
3	Implement and monitor organisational procedures for providing WHS training	3.1 Identify WHS training needs according to organisational requirements and WHS legislative and regulatory requirements	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
		3.2 Make arrangements to meet WHS training needs of team members in consultation with relevant individuals	
		3.3 Provide workplace learning opportunities and coaching and mentoring assistance to facilitate team and individual achievement of identified WHS training needs	
		3.4 Identify and report to management the costs associated with providing training for work team, for inclusion in financial and management plans	
4	Implement and monitor organisational procedures and legal requirements for identifying hazards and assessing and controlling risks	4.1 Identify and report on hazards in work area according to WHS policies and procedures and WHS legislative and regulatory requirements	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
		4.2 Promptly action team member hazard reports according to organisational procedures and WHS legislative and regulatory requirements	
		4.3 Implement procedures to control risks using the hierarchy of control, according to organisational and WHS legislative requirements	
		4.4 Identify and report inadequacies in existing risk controls according to hierarchy of control and WHS legislative requirements	
		4.5 Monitor outcomes of reports on inadequacies, where appropriate, to ensure a prompt organisational response	
5	Implement and monitor organisational procedures for maintaining WHS records for the team	5.1 Accurately complete and maintain WHS records of incidents of occupational injury and disease in work area, according to WHS policies, procedures and legislative requirements	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
		5.2 Use aggregate information and data from work area records to identify hazards and monitor risk control procedures in work area	

**BSBWOR404 DEVELOP WORK PRIORITIES**

Elements	Performance Criteria	Please tick	
1	Plan and complete own work schedule	1.1 Prepare workgroup plans which reflect consideration of resources, client needs and workgroup targets 1.2 Analyse and incorporate work objectives and priorities into personal schedules and responsibilities 1.3 Identify factors affecting the achievement of work objectives and establish contingencies and incorporate them into work plans 1.4 Efficiently and effectively use business technology to manage and monitor planning completion and scheduling of tasks	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
2	Monitor own work performance	2.1 Identify and analyse personal performance through self-assessment and feedback from others on the achievement of work objectives 2.2 Seek and evaluate feedback on performance from colleagues and clients in the context of individual and group requirements 2.3 Routinely identify and report on variations in the quality of service and performance in accordance with organisational requirements	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
3	Co-ordinate professional development	3.1 Assess personal knowledge and skills against organisational benchmarks to determine development needs and priorities 3.2 Research and identify sources and plan for opportunities for improvement in consultation with colleagues 3.3 Use feedback to identify and develop ways to improve competence within available opportunities 3.4 Identify, access and complete professional development activities to assist career development 3.5 Store and maintain records and documents relating to achievements and assessments in accordance with organisational requirements	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

**BSBADM409 COORDINATE BUSINESS RESOURCES**

Elements	Performance Criteria	Please tick	
1	Determine resource requirements	1.1 Determine resource requirements in accordance with business and operational plans and organisational requirements 1.2 Provide opportunities to individuals and workgroups to contribute to the identification of resource requirements 1.3 Ensure resource expenditure is realistic and makes efficient use of available budget resources 1.4 Present recommendations on resource requirements in the required format, style and structure using relevant business equipment and technology	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
2	Acquire and allocate resources	2.1 Acquire physical resources and services in accordance with organisational requirements 2.2 Check resources to ensure quality and quantity are in line with service agreements 2.3 Allocate resources promptly to enable achievement of workgroup objectives 2.4 Ensure consultation with individuals and teams on allocation of resources is participative and is conducted using appropriate interpersonal skills	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
3	Monitor and report on resource allocation and usage	3.1 Measure effectiveness of resource planning and assess against actual costs, identified shortfalls and surpluses 3.2 Develop and implement methods of monitoring resource use to enable timely and accurate reporting against business and operational plans 3.3 Identify improvements in resource planning through consultation and feedback, and implement in accordance with organisational requirements 3.4 Maintain records concerning equipment and resource purchases in accordance with organisational requirements	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

**BSBCMM401 MAKE A PRESENTATION**

	Elements	Performance Criteria	Please tick
1	Prepare a presentation	1.1 Plan and document presentation approach and intended outcomes 1.2 Choose presentation strategies, format and delivery methods that match the characteristics of the target audience, location, resources and personnel needed 1.3 Select presentation aids, materials and techniques that suit the format and purpose of the presentation, and will enhance audience understanding of key concepts and central ideas 1.4 Brief others involved in the presentation on their roles/responsibilities within the presentation 1.5 Select techniques to evaluate presentation effectiveness	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
2	Deliver a presentation	2.1 Explain and discuss desired outcomes of the presentation with the target audience 2.2 Use presentation aids, materials and examples to support target audience understanding of key concepts and central ideas 2.3 Monitor non-verbal and verbal communication of participants to promote attainment of presentation outcomes 2.4 Use persuasive communication techniques to secure audience interest 2.5 Provide opportunities for participants to seek clarification on central ideas and concepts, and adjust the presentation to meet participant needs and preferences 2.6 Summarise key concepts and ideas at strategic points to facilitate participant understanding	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
3	Review the presentation	3.1 Implement techniques to review the effectiveness of the presentation 3.2 Seek and discuss reactions to the presentation from participants or from key personnel involved in the presentation 3.3 Utilise feedback from the audience or from key personnel involved in the presentation to make changes to central ideas presented	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

**BSBCRT401 ARTICULATE, PRESENT AND DEBATE IDEAS**

Elements	Performance Criteria	Please tick
1 Analyse ideas for communication to others	1.1 Distil key themes, messages and positions to aid in clarity of thought and presentation	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	1.2 Reflect on different ways of communicating ideas for different purposes and to different people	
	1.3 Identify the enabling skills and attributes of individuals who can effectively participate in discussions about ideas	
2 . Provoke response and reaction	2.1 Explore and use different techniques to engage, fascinate and involve others in the process of communication and exchange	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	2.2 Explore the ways that storytelling can be used to communicate ideas	
	2.3 Create innovative approaches to different communication challenges	
	2.4 Be prepared to take risks in the way ideas are presented	
	2.5 Identify specific ways to provoke and encourage response in particular individuals or groups	
3 Debate and discuss ideas	3.1 Present and argue substantiated positions on ideas	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	3.2 Be open to critical analysis of own ideas and to the ideas of others	
	3.3 Identify and participate in conversations that challenge and explore different concepts and approaches and generate new ideas	
	3.4 Respond to questions about ideas with confidence and relevant information	
	3.5 Reflect on and appraise the views of others, and use to refine ideas and to embrace new ideas	

**BSBCUS401 COORDINATE IMPLEMENTATION OF CUSTOMER SERVICE STRATEGIES**

	<b>Elements</b>	<b>Performance Criteria</b>	<b>Please tick</b>
1	Advise on customer service needs	1.1 Clarify and accurately assess customer needs using appropriate communication techniques 1.2 Diagnose problems matching service delivery to customers and develop options for improved service within organisational requirements 1.3 Provide relevant and constructive advice to promote the improvement of customer service delivery 1.4 Use business technology and/or online services to structure and present information on customer service needs	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
2	Support implementation of customer service strategies	2.1 Ensure customer service strategies and opportunities are promoted to designated individuals and groups 2.2 Identify and allocate available budget resources to fulfil customer service objectives 2.3 Promptly action procedures to resolve customer difficulties and complaints within organisational requirements 2.4 Ensure that decisions to implement strategies are taken in consultation with designated individuals and groups	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
3	Evaluate and report on customer service	3.1 Review client satisfaction with service delivery using verifiable data in accordance with organisational requirements 3.2 Identify and report changes necessary to maintain service standards to designated individuals and groups 3.3 Prepare conclusions and recommendations from verifiable evidence and provide constructive advice on future directions of client service strategies 3.4 Maintain systems, records and reporting procedures to compare changes in customer satisfaction	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

**BSBCUS402 ADDRESS CUSTOMER NEEDS**

Elements	Performance Criteria	Please tick
1 Assist customer to articulate needs	1.1 Ensure customer needs are fully explored, understood and agreed 1.2 Explain and match available services and products to customer needs 1.3 Identify and communicate rights and responsibilities of customers to the customer as appropriate	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
2 Satisfy complex customer needs	2.1 Explain possibilities for meeting customer needs 2.2 Assist customers to evaluate service and/or product options to satisfy their needs 2.3 Determine and prioritise preferred actions 2.4 Identify potential areas of difficulty in customer service delivery and take appropriate actions in a positive manner	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
3 Manage networks to ensure customer needs are addressed	3.1 Establish effective regular communication with customers 3.2 Establish, maintain and expand relevant networks to ensure appropriate referral of customers to products and services from within and outside the organisation 3.3 Ensure procedures are in place to ensure that decisions about targeting of customer services are based on up-to-date information about the customer and the products and services available 3.4 Ensure procedures are put in place to ensure that referrals are based on the matching of the assessment of customer needs and availability of products and services 3.5 Maintain records of customer interaction in accordance with organisational procedures	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure



**BSBCUS403 IMPLEMENT CUSTOMER SERVICE STANDARDS**

Elements	Performance Criteria	Please tick	
1	Contribute to quality customer service standards	1.1 Access, interpret, apply and monitor customer service standards in the workplace according to organisational standards, policies and procedures 1.2 Make contributions to the development, refinement and improvement of customer service standards, policies and processes	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
2	Implement customer service systems	2.1 Encourage all personnel to consistently implement customer service systems 2.2 Review customer feedback in consultation with appropriate personnel and analyse when improving work practices 2.3 Identify customer service problems and make adjustments to ensure continued service quality 2.4 Communicate adjustments in service delivery to all those involved, within appropriate timeframes 2.5 Coordinate and manage delivery of services and products to ensure they effectively and efficiently meet agreed quality standards	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
3	Implement team customer service standards	3.1 Plan and implement team and work activities to meet customer needs and expectations, and to minimise inconvenience 3.2 Identify resources required to undertake team tasks while meeting required customer service levels	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

**BSBINM401 IMPLEMENT WORKPLACE INFORMATION SYSTEM**

Elements		Performance Criteria	Please tick
1	Identify and source information needs	1.1 Determine and locate information required by teams	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
		1.2 Acquire and review information held by the organisation to determine suitability, accessibility, currency and reliability according to organisational policies	
2	Collect, analyse and report information	2.1 Collect information, which is adequate and relevant to the needs of teams, in a timely manner	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
		2.2 Ensure information is in a format suitable for analysis, interpretation and dissemination	
		2.3 Analyse information to identify and report relevant trends and developments in terms of the needs for which it was acquired	
3	Implement information systems	3.1 Implement management information systems effectively to store, retrieve and regularly review data for decision making purposes	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
		3.2 Use technology available in the work area to manage information effectively	
		3.3 Submit recommendations for improving the information system to designated persons and/or groups	
4	Prepare for information system changes	4.1 Collect information about information system future needs in consultation with colleagues, including those who have a specialist role in resource management	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
		4.2 Ensure estimates of information system future needs reflect the organisation's business plans, and customer and supplier requirements	
		4.3 Support proposals to secure resources by clearly presenting submissions that describe realistic options, benefits, costs and outcomes	
		4.4 Prepare team members to work with new technology and information system changes	

**BSBLED401 DEVELOP TEAMS AND INDIVIDUALS**

Elements	Performance Criteria	Please tick
1 Determine development needs	1.1 Systematically identify and implement learning and development needs in line with organisational requirements 1.2 Ensure that a learning plan to meet individual and group training and development needs is collaboratively developed, agreed to and implemented 1.3 Encourage individuals to self-evaluate performance and identify areas for improvement 1.4 Collect feedback on performance of team members from relevant sources and compare with established team learning needs	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
2 Develop individuals and teams	2.1 Identify learning and development program goals and objectives, ensuring a match to the specific knowledge and skill requirements of competency standards relevant to the industry 2.2 Ensure that learning delivery methods are appropriate to the learning goals, the learning style of participants, and availability of equipment and resources 2.3 Provide workplace learning opportunities, and coaching and mentoring assistance to facilitate individual and team achievement of competencies 2.4 Create development opportunities that incorporate a range of activities and support materials appropriate to the achievement of identified competencies 2.5 Identify and approve resources and time lines required for learning activities in accordance with organisational requirements	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
3 Monitor and evaluate workplace learning	3.1 Use feedback from individuals or teams to identify and implement improvements in future learning arrangements 3.2 Assess and record outcomes and performance of individuals/teams to determine the effectiveness of development programs and the extent of additional development support 3.3 Negotiate modifications to learning plans to improve the efficiency and effectiveness of learning 3.4 Document and maintain records and reports of competency according to organisational requirements	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

**BSBMGT401 SHOW LEADERSHIP IN THE WORKPLACE**

Elements	Performance Criteria	Please tick
1 Model high standards of management performance and behaviour	1.1 Ensure management performance and behaviour meets the organisation's requirements	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	1.2 Ensure management performance and behaviour serves as a positive role model for others	
	1.3 Develop and implement performance plans in accordance with organisation's goals and objectives	
	1.4 Establish and use key performance indicators to meet organisation's goals and objectives	
2 Enhance organisation's image	2.1 Use organisation's standards and values in conducting business	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	2.2 Question, through established communication channels, standards and values considered to be damaging to the organisation	
	2.3 Ensure personal performance contributes to developing an organisation which has integrity and credibility	
3 Make informed decisions	3.1 Gather and organise information relevant to the issue/s under consideration	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	3.2 Facilitate individual's and team's active participation in decision-making processes	
	3.3 Examine options and assess associated risks to determine preferred course/s of action	
	3.4 Ensure decisions are timely and communicate them clearly to individuals and teams	
	3.5 Prepare plans to implement decisions and ensure they are agreed by relevant individuals and teams	
	3.6 Use feedback processes effectively to monitor the implementation and impact of decisions	

**BSBMGT404 LEAD AND FACILITATE OFF-SITE STAFF**

Elements	Performance Criteria	Please tick
1 Facilitate off-site work outcomes	1.1 Clarify roles and responsibilities of off-site work supervisors with management and off-site staff 1.2 Provide leadership and direction to off-site staff to foster independent self-managed work practices that address agreed outcomes in terms of quality and milestones 1.3 Ensure that work objectives for off-site staff are linked to measurable targets and include agreed timeframes 1.4 Use participative, transparent decision making to review work allocation responsibilities of off-site staff and related on-site staff	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
2 Support off-site staff	2.1 Provide guidance to off-site staff to establish and maintain a supportive working environment in accordance with legal and organisational requirements 2.2 Assign key personnel/mentors to support off-site staff and to provide a link between off-site staff and the organisation 2.3 Establish and maintain effective working relations between on-site staff and off-site staff through regular meetings and other occasions used to build organisational culture and values	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
3 Manage off-site staff performance	3.1 Plan and conduct regular meetings to determine individual progress, identify needs, clarify and solve issues, and provide networking opportunities 3.2 Evaluate performance against agreed goals and targets and address in accordance with organisational policy and practice 3.3 Address problems in work performance through constructive solutions identified with off-site staff 3.4 Ensure evidence relating to performance is valid, documented and evaluated to identify learning and development requirements	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

**BSBMGT407 APPLY DIGITAL SOLUTIONS TO WORK PROCESSES**

Elements	Performance Criteria	Please tick
1 Utilise digital workplace information	1.1 Identify available workplace digital applications for communications, technologies and networks 1.2 Locate and use digital information as an integral part of workplace operations 1.3 Review digital information sources for validity and reliability 1.4 Create, store and retrieve information in digital format 1.5 Continuously review trends and innovations in relevant digital technology suitable for workplace innovation	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
2 Lead work processes in a digital environment	2.1 Select, integrate and use digital services in workplace operations 2.2 Review and select digital solutions that are fit for purpose 2.3 Integrate new digital innovations into workplace operations 2.4 Identify and adopt digital media protocols and conventions 2.5 Train, encourage and support team members in the application of digital solutions	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
3 Recognise and apply intellectual property requirements	3.1 Identify legislation, regulations and the organisation's policy relevant to intellectual property 3.2 Review digital process and applications for compliance with intellectual property requirements 3.3 Document, register and report matters related to intellectual property	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

**BSBMKG413 PROMOTE PRODUCTS AND SERVICES**

Elements		Performance Criteria	Please tick
1	Plan promotional activities	1.1 Identify and assess promotional activities to ensure compatibility with organisational requirements	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
		1.2 Plan and schedule promotional activities according to the marketing needs of the organisation	
		1.3 Determine overall promotional objectives in consultation with designated individuals and groups	
		1.4 Ensure that timelines and costs for promotion of activities are realistic and consistent with budget resources	
		1.5 Develop action plans to provide details of products and services being promoted	
2	Coordinate promotional activities	2.1 Ensure personnel and resources to support promotional activities are identified and prepared to facilitate the achievement of promotional goals	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
		2.2 Identify and agree roles and responsibilities for delivery of promotional services and allocate to relevant personnel	
		2.3 Establish and conduct relationships with targeted groups in a manner which enhances the positive image of the organisation	
		2.4 Use networks to assist in the implementation of promotional activities	
3	Review and report on promotional activities	3.1 Analyse audience feedback and data to determine the impact of the promotional activity on the delivery of products and services	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
		3.2 Assess effectiveness of planning processes to identify possible improvements in future activities	
		3.3 Collect feedback and provide to personnel and agencies involved in promotional activity	
		3.4 Analyse costs and time lines to evaluate the benefits accruing from the promotional activities	
		3.5 Prepare conclusions and recommendations from verifiable evidence and provide constructive advice on future directions of promotional activities	

**BSBPMG522 UNDERTAKE PROJECT WORK**

1	Elements	Performance Criteria	Please tick
1	Define project	1.1 Access project scope and other relevant documentation	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
		1.2 Define project stakeholders	
		1.3 Seek clarification from delegating authority of issues related to project and project parameters	
		1.4 Identify limits of own responsibility and reporting requirements	
		1.5 Clarify relationship of project to other projects and to the organisation's objectives	
		1.6 Determine and access available resources to undertake project	
2	Develop project plan	2.1 Develop project plan in line with the project parameters	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
		2.2 Identify and access appropriate project management tools	
		2.3 Formulate risk management plan for project, including Work Health and Safety (WHS)	
		2.4 Develop and approve project budget	
		2.5 Consult team members and take their views into account in planning the project	
		2.6 Finalise project plan and gain necessary approvals to commence project according to documented plan	
3	Administer and monitor project	3.1 Take action to ensure project team members are clear about their responsibilities and the project requirements	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
		3.2 Provide support for project team members, especially with regard to specific needs, to ensure that the quality of the expected outcomes of the project and documented time lines are met	
		3.3 Establish and maintain required recordkeeping systems throughout the project	
		3.4 Implement and monitor plans for managing project finances, resources and quality	
		3.5 Complete and forward project reports as required to stakeholders	
		3.6 Undertake risk management as required to ensure project outcomes are met	
		3.7 Achieve project deliverables	
4	Finalise project	4.1 Complete financial recordkeeping associated with project and check for accuracy	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
		4.2 Ensure transition of staff involved in project to new roles or reassignment to previous roles	
		4.3 Complete project documentation and obtain necessary sign-offs for concluding project	
5	Review project	5.1 Review project outcomes and processes against the project scope and plan	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
		5.2 Involve team members in the project review	
		5.3 Document lessons learned from the project and report within the organisation	



**BSBRES401 ANALYSE AND PRESENT RESEARCH INFORMATION**

1	Elements	Performance Criteria	Please tick
1	Gather and organise information	1.1 Gather and organise information in a format suitable for analysis, interpretation and dissemination in accordance with organisational requirements 1.2 Access information held by the organisation ensuring accuracy and relevance in line with established organisational requirements 1.3 Ensure that methods of collecting information are reliable and make efficient use of resources in accordance with organisational requirements 1.4 Identify research requirements for combining online research with non-electronic sources of information 1.5 Use business technology to access, organise and monitor information in accordance with organisational requirements 1.6 Update, modify, maintain and store information, in accordance with organisational requirements	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
2	Research and analyse information	2.1 Clearly define objectives of research ensuring consistency with organisational requirements 2.2 Ensure that data and research strategies used are valid and relevant to the requirements of the research and make efficient use of available resources 2.3 Identify key words and phrases for use as part of any online search strategy, including the use of Boolean operators and other search tools 2.4 Use reliable methods of data analysis that are suitable to research purposes 2.5 Ensure that assumptions and conclusions used in analyses are clear, justified, supported by evidence and consistent with research and business objectives	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
3	Present information	3.1 Present recommendations and issues in an appropriate format, style and structure using suitable business technology 3.2 Structure and format reports in a clear manner that conforms to organisational requirements 3.3 Report and distribute research findings in accordance with organisational requirements 3.4 Obtain feedback and comments on suitability and sufficiency of findings in accordance with organisational requirements	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

**BSBSUS401 IMPLEMENT AND MONITOR ENVIRONMENTALLY SUSTAINABLE WORK PRACTICES**

Elements	Performance Criteria	Please tick
1 Investigate current practices in relation to resource usage	1.1 Identify environmental regulations applying to the enterprise 1.2 Analyse procedures for assessing compliance with environmental/sustainability regulations 1.3 Collect information on environmental and resource efficiency systems and procedures, and provide to the work group where appropriate 1.4 Collect, analyse and organise information from a range of sources to provide information/advice and tools/resources for improvement opportunities 1.5 Measure and document current resource usage of members of the work group 1.6 Analyse and document current purchasing strategies 1.7 Analyse current work processes to access information and data to assist in identifying areas for improvement	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
2 Set targets for improvements	2.1 Seek input from stakeholders, key personnel and specialists 2.2 Access external sources of information and data as required 2.3 Evaluate alternative solutions to workplace environmental issues 2.4 Set efficiency targets	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
3 Implement performance improvement strategies	3.1 Source and use appropriate techniques and tools to assist in achieving efficiency targets 3.2 Apply continuous improvement strategies to own work area of responsibility, including ideas and possible solutions to communicate to the work group and management 3.3 Implement and integrate environmental and resource efficiency improvement plans for own work group with other operational activities 3.4 Supervise and support team members to identify possible areas for improved practices and resource efficiency in work area 3.5 Seek suggestions and ideas about environmental and resource efficiency management from stakeholders and act upon where appropriate 3.6 Implement costing strategies to fully utilise environmental assets	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
4 Monitor performance	4.1 Use and/or develop evaluation and monitoring, tools and technology 4.2 Document and communicate outcomes to report on efficiency targets to key personnel and stakeholders 4.3 Evaluate strategies and improvement plans 4.4 Set new efficiency targets, and investigate and apply new tools and strategies 4.5 Promote successful strategies and reward participants where possible	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

**BSBWRT401 WRITE COMPLEX DOCUMENTS**

Elements	Performance Criteria	Please tick
1 Plan documents	1.1 Determine the purposes of documents	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	1.2 Choose appropriate formats for documents	
	1.3 Establish means of communication	
	1.4 Determine requirements of documents	
	1.5 Determine categories and logical sequences of data, information and knowledge to achieve document objectives	
	1.6 Develop overview of structure and content of documents	
2 Draft text	2.1 Review and organise available data, information and knowledge according to proposed structure and content	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	2.2 Ensure data, information and knowledge is aggregated, interpreted and summarised to prepare text that satisfies document purposes and objectives	
	2.3 Include graphics as appropriate	
	2.4 Identify gaps in required data and information, and collect additional material from relevant enterprise personnel	
	2.5 Draft text according to document requirements and genre	
	2.6 Use language appropriate to the audience	
3 Prepare final text	3.1 Review draft text to ensure document objectives are achieved and requirements are met	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	3.2 Check grammar, spelling and style for accuracy and punctuation	
	3.3 Ensure draft text is approved by relevant enterprise personnel	
	3.4 Incorporate revisions in final copy	
4 Produce document	4.1 Choose basic design elements for documents appropriate to audience and purpose	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	4.2 Use word processing software to apply basic design elements to text	
	4.3 Check documents to ensure all requirements are met	

**THIS IS THE FINAL PAGE OF COMPLETION BY THE PEER.**  
**The pages that follow are to be completed by the Applicant.**

## EVIDENCE CHECKLIST

### BSB42015 Certificate IV in Leadership and Management

**To be completed by the Applicant.**

.....  
**Applicant Full Name**

.....  
**Today's Date**

**What evidence do you have that you can substantiate the competencies you are seeking as part of this qualification?**

Please detail in your own words how you feel you are competent in each of the units that you have chosen on your Unit Chooser Table.

Some duplication may be natural. A suggestion for length would be 3 typed paragraphs for each of the 12 units. Please follow the instructions provided on page 6 of this document.

[ NFI Office use only below here ]

Is practical workplace activity observation/interview required? ..... Yes / No

Has third party verification of evidence been completed satisfactorily? ..... Yes / No

Is gap training required? ..... Yes / No

Does applicant need to be contacted? ..... Yes / No

If contact required, state reason: .....  
.....  
.....  
.....

Reporting action needed:

RPL Granted	RPL Not Granted	Defer RPL until evidence gathered
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Details of further action since first submission (if applicable): .....  
.....  
.....  
.....  
.....  
.....

This Assessment was completed on behalf of The National Finance Institute by:

Name of Assessor: .....

Assessor's Signature ..... Date of Review: .....

Decision .....