



## The National Finance Institute

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### RECOGNITION OF PRIOR LEARNING (RPL)

#### BSB51918 Diploma of 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:

- BSB51918 Diploma of 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's 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** as outlined on page 6.
- Print the attached **Competency Checklist** provided on pages 7 to 30 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 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 role and/or your previous study.
- Provide a **CV for the peer** or manager (current or prior) signing off this RPL submission's Competency Statement, 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.
- Submit a **Case study** related 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 personal 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:

- 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 \$995 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 \$209 per unit. Maximum fee for RPL plus study is capped at \$1545.

### What Will I Receive

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 along with a tax invoice/receipt for payment. 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 \$209 for online study or \$249 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 ASQA 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?** \_\_\_\_\_If you don't have a USI (Unique Student Identifier) please go to this link to create one:  
<http://financeinstitute.com.au/USI.html> (USIs are a compulsory government requirement)**PAYMENT METHOD** **PayPal** - PayPal payment – we can email you a PayPal request for funds with a secure PayPal website link for payment **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:** \_\_\_\_\_ **CCV:** \_\_\_\_\_**Expiry date:** \_\_\_\_\_ **Name on Card:** \_\_\_\_\_**Total Amount: \$** \_\_\_\_\_ \$995 for RPL only for full qualification  
(incl Credit Transfer if applicable) **OR** \$1545 for RPL plus 4 or more study units to achieve full  
qualification (incl Credit Transfer if applicable)

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

**CORE AND ELECTIVE UNIT CHOICES****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 or by study of the unit. 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 marked)</b>	<b>RPL or Credit Transfer (CT) or Study Unit – please tick your preference</b>		
BSBLDR502 Lead and manage effective workplace relationships	RPL <input type="checkbox"/>	CT <input type="checkbox"/>	Study Unit <input type="checkbox"/>
BSBLDR511 Develop and use emotional intelligence	RPL <input type="checkbox"/>	CT <input type="checkbox"/>	Study Unit <input type="checkbox"/>
BSBMGT517 Manage operational plan	RPL <input type="checkbox"/>	CT <input type="checkbox"/>	Study Unit <input type="checkbox"/>
BSBWOR502 Lead and manage team effectiveness	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 the 4 core units above and the 8 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) or Study Unit – please tick your preference (8 only)</b>		
<b>GROUP A</b>			
BSBCUS501 Manage quality customer service	RPL <input type="checkbox"/>	CT <input type="checkbox"/>	Study Unit <input type="checkbox"/>
BSBFIM501 Manage budgets and financial plans	RPL <input type="checkbox"/>	CT <input type="checkbox"/>	Study Unit <input type="checkbox"/>
BSBHRM405 Support the recruitment, selection and induction staff	RPL <input type="checkbox"/>	CT <input type="checkbox"/>	Study Unit <input type="checkbox"/>
BSBINN502 Build and sustain an innovative work environment	RPL <input type="checkbox"/>	CT <input type="checkbox"/>	Study Unit <input type="checkbox"/>
BSBLDR513 Communicate with influence	RPL <input type="checkbox"/>	CT <input type="checkbox"/>	Study Unit <input type="checkbox"/>
BSBMGT502 Manage people performance	RPL <input type="checkbox"/>	CT <input type="checkbox"/>	Study Unit <input type="checkbox"/>
BSBMGT516 Facilitate continuous improvement	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"/>

BSBR501 Manage risk	RPL <input type="checkbox"/>	CT <input type="checkbox"/>	Study Unit <input type="checkbox"/>
BSBW501 Ensure a safe workplace	RPL <input type="checkbox"/>	CT <input type="checkbox"/>	Study Unit <input type="checkbox"/>
BSBW501 Manage personal work priorities and professional development	RPL <input type="checkbox"/>	CT <input type="checkbox"/>	Study Unit <input type="checkbox"/>
<b>GROUP B</b>			
BSBAD502 Manage meetings	RPL <input type="checkbox"/>	CT <input type="checkbox"/>	Study Unit <input type="checkbox"/>
BSBC503 Develop processes for the management of breaches in compliance requirements	RPL <input type="checkbox"/>	CT <input type="checkbox"/>	Study Unit <input type="checkbox"/>
BSBF502 Manage a franchise operation	RPL <input type="checkbox"/>	CT <input type="checkbox"/>	Study Unit <input type="checkbox"/>
BSBHR512 Develop and manage performance-management processes	RPL <input type="checkbox"/>	CT <input type="checkbox"/>	Study Unit <input type="checkbox"/>
BSBHR513 Manage workforce planning	RPL <input type="checkbox"/>	CT <input type="checkbox"/>	Study Unit <input type="checkbox"/>
BSBIN501 Manage an information or knowledge management system	RPL <input type="checkbox"/>	CT <input type="checkbox"/>	Study Unit <input type="checkbox"/>
BSBLE501 Develop a workplace learning environment	RPL <input type="checkbox"/>	CT <input type="checkbox"/>	Study Unit <input type="checkbox"/>
BSBMK507 Interpret market trends and developments	RPL <input type="checkbox"/>	CT <input type="checkbox"/>	Study Unit <input type="checkbox"/>
BSBSL501 Develop a sales plan	RPL <input type="checkbox"/>	CT <input type="checkbox"/>	Study Unit <input type="checkbox"/>
BSBSL502 Lead and manage a sales team	RPL <input type="checkbox"/>	CT <input type="checkbox"/>	Study Unit <input type="checkbox"/>
BSBSU501 Develop workplace policy and procedures for sustainability	RPL <input type="checkbox"/>	CT <input type="checkbox"/>	Study Unit <input type="checkbox"/>
BSBWR520 Manage employee relations	RPL <input type="checkbox"/>	CT <input type="checkbox"/>	Study Unit <input type="checkbox"/>

If you have completed prior study of units at a Diploma level which you know to be recognised as part of this qualification, but which are not listed above, you can insert these into the blank rows above.

## EVIDENCE STATEMENT

**To be completed by the Applicant.**

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 outline provided in the tables that follow in the Competency Statement from, page 8 onwards
- You have checked that each paragraph for each unit has that unit code clearly indicated so we 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 applicant 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. You should tick a maximum of 12 units only.

### CORE

#### BSBLDR511 - Develop and use emotional intelligence

Element	Performance criteria	Peer tick
1. Identify the impact of own emotions on others in the workplace	1.1. Identify own emotional strengths and weaknesses	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	1.2. Identify personal stressors and own emotional states related to the workplace	
	1.3. Develop awareness of own emotional triggers and use this awareness to enable control emotional responses	
	1.4. Model workplace behaviours that demonstrate management of emotions	
	1.5. Use self-reflection and feedback from others to improve development of own emotional intelligence	
2. Recognise and appreciate the emotional strengths and weaknesses of others	2.1. Respond to the emotional states of co-workers and assess emotional cues	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	2.2. Identify the range of cultural expressions of emotions and respond appropriately	
	2.3. Demonstrate flexibility and adaptability in dealing with others	
	2.4. Take into account the emotions of others when making decisions	
3. Promote the development of emotional intelligence in others	3.1. Provide opportunities for others to express their thoughts and feelings	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	3.2. Assist others to understand the effect of their behaviour and emotions on others in the workplace	
	3.3. Encourage the self-management of emotions in others	
	3.4. Encourage others to develop their own emotional intelligence to build productive relationships and maximise workplace outcomes	



4. Utilise emotional intelligence to maximise team outcomes	4.1. Encourage a positive emotional climate in the workplace	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	4.2. Use the strengths of workgroup members to achieve workplace outcomes	

**BSBMGT517 Manage operational plan**

Element	Performance criteria	Peer tick
1. Develop operational plan	1.1. Research, analyse and document resource requirements and develop an operational plan in consultation with relevant personnel, colleagues and specialist resource managers	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	1.2. Develop and/or implement consultation processes as an integral part of the operational planning process	
	1.3. Ensure the operational plan includes key performance indicators to measure organisational performance	
	1.4. Develop and implement contingency plans for the operational plan	
	1.5. Ensure the development and presentation of proposals for resource requirements is supported by a variety of information sources and seek specialist advice as required	
	1.6. Obtain approval for the plan from relevant parties and explain the plan to relevant work teams	
2. Plan and manage resource acquisition	2.1. Develop and implement strategies to ensure that employees are recruited and/or inducted within the organisation's human resources management policies, practices and procedures	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	2.2. Develop and implement strategies to ensure that physical resources and services are acquired in accordance with the organisation's policies, practices and procedures	
	2.3. Recognise and incorporate requirements for intellectual property rights and responsibilities in recruitment and acquisition of resources and services	
3. Monitor and review operational performance	3.1. Develop, monitor and review performance systems and processes to assess progress in achieving profit and productivity plans and targets	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	3.2. Analyse and interpret budget and actual financial information to monitor and review profit and productivity performance	
	3.3. Identify areas of under-performance, recommend solutions and take prompt action to rectify the situation	

	3.4	Plan and implement systems to ensure that mentoring and coaching are provided to support individuals and teams to effectively, economically and safely use resources	
	3.5	Negotiate recommendations for variations to operational plans and gain approval from designated persons/groups	
	3.6	Develop and implement systems to ensure that procedures and records associated with documenting performance are managed in accordance with organisational requirements	

**BSBLDR502 - Lead and manage effective workplace relationships**

Element	Performance criteria	Peer tick
1. Manage ideas and information	1.1. Ensure strategies and processes are in place to communicate information associated with the achievement of work responsibilities to all co-workers	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	1.2. Develop and/or implement consultation processes to ensure that employees have the opportunity to contribute to issues related to their work role	
	1.3. Facilitate feedback to employees on outcomes of the consultation processes	
	1.4. Develop and/or implement processes to ensure that issues raised are resolved promptly or referred to relevant personnel	
2. Establish systems to develop trust and confidence	2.1. Establish and/or implement policies to ensure that the organisation's cultural diversity and ethical values are adhered to	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	2.2. Gain and maintain the trust and confidence of colleagues and external contacts through professional conduct	
	2.3. Adjust own interpersonal communication styles to meet the organisation's cultural diversity and ethical environment and guide and support the work team in their personal adjustment process	
3. Manage the development and maintenance of networks and relationships	3.1. Use networks to build workplace relationships providing identifiable outcomes for the team and the organisation	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	3.2. Conduct ongoing planning to ensure that effective internal and external workplace relationships are developed and maintained	

4. Manage difficulties to achieve positive outcomes	4.1.	Develop and/or implement strategies to ensure that difficulties in workplace relationships are identified and resolved	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	4.2.	Establish processes and systems to ensure that conflict is identified and managed constructively in accordance with the organisation's policies and procedures	
	4.3	Provide guidance, counselling and support to assist co-workers in resolving their work difficulties	
	4.4	Develop and implement an action plan to address any identified difficulties	

### BSBWOR502 - Lead and manage team effectiveness

Element	Performance criteria	Peer tick
1. Establish team performance plan	1.1. Consult team members to establish a common understanding of team purpose, roles, responsibilities and accountabilities in accordance with organisational goals, plans and objectives	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	1.2. Develop performance plans to establish expected outcomes, outputs, key performance indicators (KPIs) and goals for work team	
	1.3 Support team members in meeting expected performance outcomes	
2. Develop and facilitate team cohesion	2.1. Develop strategies to ensure team members have input into planning, decision making and operational aspects of work team	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	2.2. Develop policies and procedures to ensure team members take responsibility for own work and assist others to undertake required roles and responsibilities	
	2.3 Provide feedback to team members to encourage, value and reward individual and team efforts and contributions	
	2.4 Develop processes to ensure that issues, concerns and problems identified by team members are recognised and addressed	
3. Facilitate teamwork	3.1. Encourage team members and individuals to participate in and to take responsibility for team activities, including communication processes	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	3.2. Support the team in identifying and resolving work performance problems	
	3.3 Ensure own contribution to work team serves as a role model for others and enhances the organisation's image for all stakeholders	

4.	Liaise with stakeholders	4.1.	Establish and maintain open communication processes with all stakeholders	<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 team members and follow-up with line manager/management and other relevant stakeholders	
		4.4	Evaluate and take necessary corrective action regarding unresolved issues, concerns and problems raised by internal or external stakeholders	

### **ELECTIVES – a maximum of 8 units only should be ticked**

**GROUP A** – If the applicant is seeking the full qualification please ensure that a minimum of 4 units are completed from this group

#### **1. MANAGE QUALITY CUSTOMER SERVICE (BSBCUS501)**

Element	Performance criteria	Peer tick
1. Plan to meet internal and external customer requirements	1.1. ~	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	1.2. Ensure plans achieve the <i>quality</i> , time and cost specifications agreed with customers	
2. Ensure delivery of quality products and services	2.1. Deliver <i>products and services</i> to customer specifications within organisation's business plan	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	2.2. Monitor team performance to consistently meet the organisation's quality and delivery standards	
	2.3 Help colleagues overcome difficulties in meeting customer service standards	
3. Monitor, adjust and review customer service	3.1. Develop and use <i>strategies</i> to monitor progress in achieving product and/or service targets and standards	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	3.2. Develop and use <i>strategies</i> to monitor progress in achieving product and/or service targets and standards	
	3.3 Develop, procure and use <i>resources</i> effectively to provide quality products and services to customers	
	3.4 Make decisions to overcome problems and to adapt customer services, products and service delivery in consultation with appropriate individuals and groups	
	3.5 Manage records, reports and recommendations within the organisation's systems and processes	

**2. MANAGE BUDGETS AND FINANCIAL PLANS (BSBFIM501)**

Element	Performance criteria	Peer tick
1. Plan financial management approaches	1.1. Access <i>budget/financial plans</i> for the work team	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	1.2. Clarify budget/financial plans with <i>relevant personnel</i> within the organisation to ensure that documented outcomes are achievable, accurate and comprehensible	
	1.3. Negotiate any changes required to be made to budget/financial plans with relevant personnel within the organisation	
	1.4. Prepare <i>contingency plans</i> in the event that initial plans need to be varied	
2. Implement financial management approaches	2.1. Disseminate relevant details of the agreed budget/financial plans to team members	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	2.2. Provide <i>support</i> to ensure that team members can competently perform <i>required roles</i> associated with the management of finances	
	2.3. Determine and access <i>resources and systems</i> to manage financial management processes within the work team	
3. Monitor and control finances	3.1. Implement <i>processes</i> to monitor actual expenditure and to control costs across the work team	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	3.2. Monitor expenditure and costs on an agreed cyclical basis to identify cost variations and expenditure overruns	
	3.3. Implement, monitor and modify contingency plans as required to maintain financial objectives	
	3.4. <i>Report</i> on budget and expenditure in accordance with organisational protocols	
4. Review and evaluate financial management processes	4.1. Collect and collate for analysis, <i>data and information on the effectiveness of financial management processes</i> within the work team	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	4.2. Analyse data and information on the effectiveness of financial management processes within the work team and identify, document and recommend any improvements to existing processes	
	4.3. Implement and monitor agreed improvements in line with financial objectives of the work team and the organisation	

**3. SUPPORT THE RECRUITMENT, SELECTION AND INDUCTION OF STAFF (BSBHRM405)**

Element	Performance criteria		Peer tick
1. Plan for recruitment	1.1	Obtain approval to fill position, clarify time lines and requirement for appointment	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	1.2	Assist in preparing job descriptions that accurately reflect the role requirements, according to organisational policies and procedures, legislation, codes, national standards and work health and safety (WHS) considerations	
	1.3	Consult with relevant personnel about job descriptions and workforce strategy	
	1.4	Assist in ensuring that job descriptions comply with legislative requirements and reflect the organisation's requirements for a diverse workforce	
	1.5	Obtain approvals to advertise position	
2. Plan for selection	2.1	Choose appropriate channels and technology to advertise vacancies and/or identify potential talent pool	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	2.2	Advertise vacancies for staffing requirements according to organisational policies and procedures	
	2.3	Consult with relevant personnel to convene selection panel and develop interview questions	
	2.4	Assist in ensuring that interview questions comply with legislative requirements	
	2.5	Assist in short-listing applicants	
	2.6	Schedule interviews and advise relevant people of times, dates and venues	
3. Support selection process	3.1	Participate in interview process and assess candidates against agreed selection criteria	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	3.2	Discuss assessment with other selection panel members	
	3.3	Correct biases and deviations from agreed procedures and negotiate for preferred candidate	
	3.4	Contact referees for referee reports	
	3.5	Prepare selection report and make recommendations to senior personnel for appointment	
	3.6	Advise unsuccessful candidates of outcomes and respond to any queries	
	3.7	Secure preferred candidate's agreement	
	3.8	Complete necessary documentation according to organisational procedures, observing confidentiality and privacy requirements	

4. Induct successful candidate	4.1.	Provide successful candidate with employment contract and other documentation	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	4.2.	Advise manager and work team of new appointment	
	4.3.	Advise managers and staff of candidate's starting date and make necessary administrative arrangements for pay and employee record keeping	
	4.4.	Arrange successful candidate's induction according to organisational policy	

#### 4. BUILD AND SUSTAIN AN INNOVATIVE WORK ENVIRONMENT (BSBINN502)

Element	Performance criteria		Peer tick
1. Lead innovation by example	1.1	Make innovation an integral part of leadership and management activities	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	1.2	Demonstrate positive reception of ideas from others and provide constructive advice	
	1.3	Establish and maintain relationships based on mutual respect and trust	
	1.4	Take considered risks to open up opportunities for innovation	
	1.5	Regularly evaluate own approaches for consistency with the wider organisational or project context	
2. Establish work practices that support innovation	2.1	Consult on and establish working conditions that reflect and encourage innovative practice	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	2.2	Introduce and maintain workplace procedures that foster innovation and allow for rigorous evaluation of innovative ideas	
	2.3	Facilitate and participate in collaborative work arrangements to foster innovation	
	2.4	Build and lead teams to work in ways that maximise opportunities for innovation	
3. Promote innovation	3.1	Acknowledge suggestions, improvements and innovations from all colleagues	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	3.2	Find appropriate ways of celebrating and promoting innovation	
	3.3	Promote and reinforce the value of innovation according to the vision and objectives of the organisation or project	
	3.4	Promote and support the evaluation of innovative ideas within the wider organisational or project context	

4. Create a physical environment which supports innovation	4.1	Evaluate the impact of the physical environment in relation to innovation	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	4.2	Collaborate with colleagues about ideas for enhancing the physical work environment before taking action	
	4.3	Consider potential for supporting innovation when selecting physical resources and equipment	
	4.4	Design, fit-out and decorate workspaces to encourage creative mindsets, collaborative working and the development of positive workplace relationships	
5. Provide learning opportunities	5.1	Pro-actively share relevant information, knowledge and skills with colleagues	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	5.2	Provide or encourage formal and informal learning opportunities to help develop the skills needed for innovation	
	5.3	Create opportunities in which individuals can learn from the experience of others	

### 5. COMMUNICATE WITH INFLUENCE (BSBLDR513)

Element	Performance criteria		Peer tick
1. Communicate clearly	1.1	Confirm authority to present material on behalf of a business, in accordance with organisational policies and procedures	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	1.2	Identify information that may be subject to confidentiality and manage appropriately	
	1.3	Identify information needs of audience and prepare a position in line with purpose of communication	
	1.4	Use language, written or verbal, that is appropriate for the audience	
	1.5	Use active listening to seek stakeholder and intra-organisational input to achieve a balanced exchange of views	
2. Present and negotiate persuasively	2.1	Map stakeholder landscape, identifying key individuals and target groups in line with organisational objectives	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	2.2	Prepare realistic positions and supporting arguments in advance of the likely expectations and tactics of others	
	2.3	Acknowledge differences of opinion to encourage the rigorous examination of all options	
	2.4	Use a variety of communication styles to present business positions to best effect	
	2.5	Seek mutually beneficial solutions by establishing areas of common ground and potential compromise	
	2.6	Keep negotiations focused on key issues and moving forward towards a final resolution	



3. Participate in and lead meetings effectively	3.1	Identify the need for any meetings and schedule meetings in response to the need	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	3.2	Prepare materials relating to key issues and disseminate in advance	
	3.3	Develop and circulate an agenda, and use efficient, inclusive meeting procedures to maximise participation and maintain order	
	3.4	Achieve agreed outcomes in the available time by co-operating with and seeking consensus and compromise	
	3.5	Summarise outcomes of meetings for action and distribute to stakeholders promptly, as required	
4. Make presentations at meetings, forums and conferences	4.1	Identify appropriate forums to present business positions, in line with organisational objectives	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	4.2	Obtain reliable information and advice to prepare appropriate presentations	
	4.3	Adapt language, explanations, media and information/entertainment balance to meet the needs of the audience	
	4.4	Respond to questions openly, honestly, and in accordance with organisational policies	

## 6. MANAGE PEOPLE PERFORMANCE (BSBMGT502)

Element	Performance criteria		Peer tick
1. Allocate work	1.1	Consult relevant groups and individuals on work to be allocated and resources available	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	1.2	Develop work plans in accordance with operational plans	
	1.3	Allocate work in a way that is efficient, cost effective and outcome focussed	
	1.4	Confirm performance standards, Code of Conduct and work outputs with relevant teams and individuals	
	1.5	Develop and agree performance indicators with relevant staff prior to commencement of work	
	1.6	Conduct risk analysis in accordance with the organisational risk management plan and legal requirements	
2. Assess performance	2.1	Design performance management and review processes to ensure consistency with organisational objectives and policies	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	2.2	Train participants in the performance management and review process	
	2.3	Conduct performance management in accordance with organisational protocols and time lines	
	2.4	Monitor and evaluate performance on a continuous basis	

3. Provide feedback	3.1	Provide informal feedback to staff on a regular basis	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	3.2	Advise relevant people where there is poor performance and take necessary actions	
	3.3	Provide on-the-job coaching when necessary to improve performance and to confirm excellence in performance	
	3.4	Document performance in accordance with the organisational performance management system	
	3.5	Conduct formal structured feedback sessions as necessary and in accordance with organisational policy	
4. Manage follow up	4.1	Write and agree on performance improvement and development plans in accordance with organisational policies	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	4.2	Seek assistance from human resources specialists, where appropriate	
	4.3	Reinforce excellence in performance through recognition and continuous feedback	
	4.4	Monitor and coach individuals with poor performance	
	4.5	Provide support services where necessary	
	4.6	Counsel individuals who continue to perform below expectations and implement the disciplinary process if necessary	
	4.7	Terminate staff in accordance with legal and organisational requirements where serious misconduct occurs or ongoing poor-performance continues	

## 7. FACILITATE CONTINUOUS IMPROVEMENT (BSBMGT516)

Element	Performance criteria		Peer tick
1. Lead continuous improvement systems and processes	1.1	Develop strategies to ensure that team members are actively encouraged and supported to participate in decision-making processes, assume responsibility and exercise initiative as appropriate	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	1.2	Establish systems to ensure that the organisation's continuous improvement processes are communicated to stakeholders	
	1.3	Ensure that change and improvement processes meet sustainability requirements	
	1.4	Develop effective mentoring and coaching processes to ensure that individuals and teams are able to implement and support the organisation's continuous improvement processes	
	1.5	Ensure that insights and experiences from business activities are captured and accessible through knowledge management systems	

2.	Monitor and adjust performance strategies	2.1	Develop strategies to ensure that systems and processes are used to monitor operational progress and to identify ways in which planning and operations could be improved	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
		2.2	Adjust and communicate strategies to stakeholders according to organisational procedures	
3.	Manage opportunities for further improvement	3.1	Establish processes to ensure that team members are informed of outcomes of continuous improvement efforts	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
		3.2	Ensure processes include recording of work team performance to assist in identifying further opportunities for improvement	
		3.3	Consider areas identified for further improvement when undertaking future planning	

### 8. UNDERTAKE PROJECT WORK (BSBPMG522)

Element		Performance criteria		Peer 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	

## 9. MANAGE RISK (BSBR501)

Element	Performance criteria	Peer tick	
1. Establish risk context	1.1	Review organisational processes, procedures and requirements for undertaking risk management in accordance with current risk management standards	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	1.2	Determine scope for risk management process	
	1.3	Identify internal and external stakeholders and their issues	
	1.4	Review political, economic, social, legal, technological and policy context	
	1.5	Review strengths and weaknesses of existing arrangements	
	1.6	Document critical success factors, goals or objectives for area included in scope	
	1.7	Obtain support for risk management activities	
	1.8	Communicate with relevant parties about the risk management process and invite participation	
2. Identify risks	2.1	Invite relevant parties to assist in the identification of risks	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	2.2	Research risks that may apply to scope	
	2.3	Use tools and techniques to generate a list of risks that apply to the scope, in consultation with relevant parties	
3. Analyse risks	3.1	Assess likelihood of risks occurring	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	3.2	Assess impact or consequence if risks occur	

		3.3	Evaluate and prioritise risks for treatment	
4.	Select and implement treatments	4.1	Determine and select most appropriate options for treating risks	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
		4.2	Develop an action plan for implementing risk treatment	
		4.3	Communicate risk management processes to relevant parties	
		4.4	Ensure all documentation is in order and appropriately stored	
		4.5	Implement and monitor action plan	
		4.6	Evaluate risk management process	

### 10. ENSURE A SAFE WORKPLACE (BSBWHS501)

Element		Performance criteria		Peer tick
1.	Establish a WHS management system in a work area	1.1	Locate, adapt, adopt and communicate WHS policies that clearly define the organisation's commitment to complying with <i>WHS legislation</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
		1.2	Identify <i>duty holders</i> and define WHS responsibilities for all workplace personnel according to WHS legislation, policies, procedures and programs	
		1.3	Identify and approve financial and human resources required by the WHS management system (WHSMS)	
2.	Establish and maintain effective and compliant participation arrangements for managing WHS in a work area	2.1	Work with workers and their representatives to set up and maintain participation arrangements according to relevant WHS legislation	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
		2.2	Appropriately resolve issues raised through participation and consultation arrangements according to relevant WHS legislation	
		2.3	Promptly provide information about the outcomes of participation and consultation to workers and ensure it is easy for them to access and understand	
3.	Establish and maintain procedures for effectively identifying hazards, and assessing and controlling risks in a work area	3.1	Develop procedures for ongoing hazard identification, and assessment and <i>control of associated risks</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
		3.2	Include hazard identification at the planning, design and evaluation stages of any change in the workplace to ensure that new hazards are not created by the proposed changes and existing hazards are controlled	
		3.3	Develop and maintain procedures for selecting and implementing risk controls according to the hierarchy of control and WHS legislative requirements	
		3.4	Identify inadequacies in existing risk controls according to the hierarchy of control and WHS legislative requirements, and promptly provide resources to enable implementation of new measures	
		3.5	Identify requirements for expert WHS advice, and request this advice as required	

4.	Evaluate and maintain a work area WHS management system	4.1	Develop and provide a WHS induction and training program for all workers as part of the organisation's training program	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
		4.2	Use a system for <i>WHS recordkeeping</i> to allow identification of patterns of occupational injury and disease in the organisation, and to maintain a record of WHS decisions made, including reasons for the decision	
		4.3	Measure and evaluate the WHSMS in line with the organisation's quality systems framework	
		4.4	Develop and implement improvements to the WHSMS to achieve organisational WHS objectives	
		4.5	Ensure compliance with the WHS legislative framework to achieve, as a minimum, WHS legal requirements	

### 11. MANAGE PERSONAL WORK PRIORITIES AND PROFESSIONAL DEVELOPMENT (BSBWOR501)

1.	Establish personal work goals	1.1	Serve as a positive role model in the workplace through personal work planning	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
		1.2	Ensure personal work goals, plans and activities reflect the organisation's plans, and own responsibilities and accountabilities	
		1.3	Measure and maintain personal performance in varying work conditions, work contexts and when contingencies occur	
2.	Set and meet own work priorities	2.1	Take initiative to prioritise and facilitate competing demands to achieve personal, team and organisational goals and objectives	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
		2.2	Use technology efficiently and effectively to manage work priorities and commitments	
		2.3	Maintain appropriate work-life balance, and ensure stress is effectively managed and health is attended to	
3.	Develop and maintain professional competence	3.1	Assess personal knowledge and skills against competency standards to determine development needs, priorities and plans	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
		3.2	Seek feedback from employees, clients and colleagues and use this feedback to identify and develop ways to improve competence	
		3.3	Identify, evaluate, select and use development opportunities suitable to personal learning style/s to develop competence	
		3.4	Participate in networks to enhance personal knowledge, skills and work relationships	
		3.5	Identify and develop new skills to achieve and maintain a competitive edge	

**GROUP B** – If the applicant is seeking the full qualification please ensure that a minimum of 4 units are completed from Group B below (OR a mixture of Group A and Group B)

### 12. MANAGE MEETINGS (BSBADM502)

Element		Performance criteria	Peer tick
1.	Prepare for meetings	1.1 Develop agenda in line with stated meeting purpose	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
		1.2 Ensure style and structure of meeting are appropriate to its purpose	
		1.3 Identify meeting participants and notify them in accordance with organisational procedures	
		1.4 Confirm meeting arrangements in accordance with requirements of meeting	
		1.5 Despatch meeting papers to participants within designated timelines	
2.	Conduct meetings	2.1 Chair meetings in accordance with organisational requirements, agreed conventions for type of meeting and legal and ethical requirements	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
		2.2 Conduct meetings to ensure they are focused, time efficient and achieve the required outcomes	
		2.3 Ensure meeting facilitation enables participation, discussion, problem-solving and resolution of issues	
		2.4 Brief minute-taker on method for recording meeting notes in accordance with organisational requirements and conventions for type of meeting	
3.	Follow up meetings	3.1 Check transcribed meeting notes to ensure they reflect a true and accurate record of the meeting and are formatted in accordance with organisational procedures and meeting conventions	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
		3.2 Distribute and store minutes and other follow-up documentation within designated timelines, and according to organisational requirements	
		3.3 Report outcomes of meetings as required, within designated timelines	

### 13. DEVELOP PROCESSES FOR THE MANAGEMENT OF BREACHES IN COMPLIANCE REQUIREMENTS (BSBCOM503)

Element		Performance criteria	Peer tick
1.	Develop procedures for responding to breaches	1.1 Obtain and interpret information on current compliance requirements applicable to the organisation	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
		1.2 Review each area of compliance requirement to establish potential breaches	
		1.3 Develop and document appropriate procedures for identifying, classifying, investigating, rectifying and reporting breaches in compliance requirements	

2.	Monitor adherence to compliance requirements	<p>2.1 Monitor and evaluate organisation operations to identify incidences of breaches in compliance requirements</p> <p>2.2 Review and evaluate complaints and other sources of information on potential breaches in compliance requirements</p> <p>2.3 Interrogate compliance management information system to identify any indication of breaches in compliance requirements</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
3.	Manage the identification and rectification of breaches in compliance	<p>3.1 Assign appropriate staff to take the required action to identify, classify, investigate and rectify breaches in compliance requirements</p> <p>3.2 Ensure senior management team within the organisation is informed of all breaches in compliance requirements</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
4.	Liaise with others during breach management	<p>4.1 Maintain liaison with relevant regulatory authorities and other organisations with an interest in compliance in regard to breaches in requirements and related action being taken</p> <p>4.2 Take advice from relevant internal and external personnel on the management of breaches in compliance requirements and act upon this advice appropriately</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
5.	Evaluate the response to and rectification of, breaches	<p>5.1 Monitor action taken to manage and rectify an identified breach in compliance requirements in terms of the organisation's compliance policy</p> <p>5.2 Confirm success in rectification of compliance breaches and notify relevant internal and external personnel</p> <p>5.3 Recognise problems in the rectification of compliance breaches and initiate appropriate action to ensure that management of the breach is maintained</p> <p>5.4 Refer reports of systemic and recurring problems of non-compliance to those with sufficient authority to correct them</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
6.	Document and disseminate breach management activities and outcomes	<p>6.1 Document and report identified breaches in compliance requirements in accordance with relevant internal and external requirements</p> <p>6.2 Maintain and store records of breaches in compliance requirements</p> <p>6.3 Report on the action taken to rectify identified breaches in compliance requirements and the outcomes of this action</p> <p>6.4 Disseminate reports on breach management to relevant internal and external personnel</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure



**14. MANAGE A FRANCHISE OPERATION (BSBFRA502)**

Element	Performance criteria	Peer tick
1. Establish procedures for managing a franchise operation	1.1 Determine obligations of both parties under franchising agreement 1.2 Develop procedures for ensuring compliance with <i>franchising obligations</i> and <i>legislative requirements</i> 1.3 Develop and communicate reporting requirements of franchisees	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
2. Implement procedures for managing a franchise operation	2.1 Implement procedures for franchises to ensure compliance with franchising obligations and legislative requirements 2.2 Identify instances of non-compliance and act upon them in conjunction with franchises 2.3 Monitor reports from franchises for completeness, accuracy and timeliness of submission 2.4 Identify potential disputes with franchises and take action to resolve potential disputes before they eventuate 2.5 Resolve disputes that eventuate and reach an agreed settlement within established procedures as documented in the Franchising Code of Conduct	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
3. Review a franchise operation	3.1 Use monitoring of franchises to inform review process for franchise operation 3.2 Identify improvements in franchise operation and management of franchises from monitoring franchises' business operations 3.3 Make recommendations to improve the effectiveness of the franchise operation and individual franchises	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

**15. DEVELOP AND MANAGE PERFORMANCE-MANAGEMENT PROCESSES (BSBHRM512)**

Element		Performance criteria	Peer tick
1.	Develop integrated performance-management processes	1.1 Analyse organisational strategic and operational plans to identify relevant policies and objectives to be addressed in integrated performance-management processes	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
		1.2 Develop objectives for performance-management processes to support organisational strategy and goals and to build organisational capability	
		1.3 Design methods and processes for line managers to develop key performance indicators for those reporting to them	
		1.4 Develop organisational timeframes and processes for formal performance-management sessions	
		1.5 Ensure performance-management processes are flexible enough to cover the range of the organisation's employment situations	
		1.6 Consult with key stakeholders about the processes and agree on process features	
		1.7 Gain support for implementation of the performance-management processes	
2.	Facilitate the implementation of performance-management processes	2.1 Train relevant groups and individuals to monitor performance, identify performance gaps, provide feedback and manage talent	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
		2.2 Work with line managers to ensure that performance is monitored regularly and that intervention occurs as required and complies with organisational policies and legal requirements	
		2.3 Support line managers to counsel and discipline employees who continually perform below standard	
		2.4 Articulate dispute resolution processes where necessary, mediating between line managers and employees	
		2.5 Provide support to terminate employees who fail to respond to interventions according to organisational protocols and legislative requirements	
		2.6 Ensure recorded outcomes of performance-management sessions are accessible and stored securely, according to organisational policy	
		2.7 Regularly evaluate and improve all aspects of performance-management processes in keeping with organisational objectives and policies	
3.	Coordinate individual or group learning and development	3.1 Design and develop learning and development plans and strategies to encourage effective employee performance	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
		3.2 Deliver learning and development plans according to agreed timeframes, ensuring achievement of specified outcomes	

		3.3 Contract appropriate providers for performance development, as identified by plans and according to organisational policy	
		3.4 Monitor learning and development activities to ensure compliance with quality assurance standards	
		3.5 Negotiate remedial action with providers, where necessary	
		3.6 Generate reports to advise appropriate managers on progress and success rates of activities	

## 16. MANAGE WORKFORCE PLANNING (BSBHRM513)

Element		Performance criteria	Peer tick
1.	Research workforce requirements	1.1 Review current data on staff turnover and demographics	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
		1.2 Assess factors that may affect workforce supply	
		1.3 Establish the organisation's requirements for a skilled and diverse workforce	
2.	Develop workforce objectives and strategies	2.1 Review organisational strategy and establish aligned objectives for modification or retention of the workforce	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
		2.2 Consider strategies to address unacceptable staff turnover, if required	
		2.3 Define objectives to retain required skilled labour	
		2.4 Define objectives for workforce diversity and cross-cultural management	
		2.5 Define strategies to source skilled labour	
		2.6 Communicate objectives and rationale to relevant stakeholders	
		2.7 Obtain agreement and endorsement for objectives and establish targets	
		2.8 Develop contingency plans to cope with extreme situations	
3.	Implement initiatives to support workforce planning objectives	3.1 Implement action to support agreed objectives for recruitment, training, redeployment and redundancy	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
		3.2 Develop and implement strategies to assist workforce to deal with organisational change	
		3.3 Develop and implement strategies to assist in meeting the organisation's workforce diversity goals	
		3.4 Implement succession planning system to ensure desirable workers are developed and retained	
		3.5 Implement programs to ensure workplace is an employer of choice	

4.	Monitor and evaluate workforce trends	4.1 Review workforce plan against patterns in exiting employee and workforce changes	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
		4.2 Monitor labour supply trends for areas of over- or under-supply in the external environment	
		4.3 Monitor effects of labour trends on demand for labour	
		4.4 Survey organisational climate to gauge worker satisfaction	
		4.5 Define objectives and strategies in response to internal and external changes and make recommendations in response to global trends and incidents	
		4.6 Regularly review government policy on labour demand and supply	
		4.7 Evaluate effectiveness of change processes against agreed objectives	

### 17. MANAGE AN INFORMATION OR KNOWLEDGE MANAGEMENT SYSTEM (BSBINM501)

Element	Performance criteria	Peer tick
1. Organise learning to use information or knowledge management system	1.1 Identify learning needs of relevant personnel and stakeholders for input into and use of an information or knowledge management system	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	1.2 Identify and secure human, financial and physical resources required for learning activities to use an information or knowledge management system	
	1.3 Organise and facilitate learning activities	
	1.4 Promote and support use of the system throughout the organisation	
	1.5 Monitor and document effectiveness of learning activities	
2. Manage use of information or knowledge management system	2.1 Ensure implementation of policies and procedures for the information or knowledge management system are monitored for compliance, effectiveness and efficiency	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	2.2 Address implementation issues and problems as they arise	
	2.3 Monitor integration and alignment with data and information systems	
	2.4 Collect information on achievement of performance measures	
	2.5 Manage contingencies such as system failure or technical difficulties by accessing technical specialist help as required	

3.	Review use of information or knowledge management system	<p>3.1 Analyse effectiveness of system and report on strengths and limitations of the system</p> <p>3.2 Review business and operational plan and determine how effectively the system is contributing to intended outcomes</p> <p>3.3 Make recommendations for improvement to system, policy or work practices</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
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### 18. DEVELOP A WORKPLACE LEARNING ENVIRONMENT (BSBLED501)

Element	Performance criteria	Peer tick	
1.	Create learning opportunities	<p>1.1 Identify potential formal and informal learning opportunities</p> <p>1.2 Identify learning needs of individuals in relation to the needs of the team and/or enterprise and available learning opportunities</p> <p>1.3 Develop and implement learning plans as an integral part of individual and team performance plans</p> <p>1.4 Develop strategies to ensure that learning plans reflect the diversity of needs</p> <p>1.5 Ensure organisational procedures maximise individual and team access to, and participation in, learning opportunities</p> <p>1.6 Ensure effective liaison occurs with training and development specialists and contributes to learning opportunities which enhance individual, team and organisational performance</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
2.	Facilitate and promote learning	<p>2.1 Develop strategies to ensure that workplace learning opportunities are used and that team members are encouraged to share their skills and knowledge to encourage a learning culture within the team</p> <p>2.2 Implement organisational procedures to ensure workplace learning opportunities contribute to the development of appropriate workplace knowledge, skills and attitudes</p> <p>2.3 Implement policies and procedures to encourage team members to assess their own competencies and to identify their own learning and development needs</p> <p>2.4 Share the benefits of learning with others in the team and organisation</p> <p>2.5 Recognise workplace achievement by timely and appropriate recognition, feedback and rewards</p>	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

3.	Monitor and improve learning effectiveness	3.1 Use strategies to ensure that team and individual learning performance is monitored to determine the type and extent of any additional work-based support required and any Work Health and Safety (WHS) issues	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
		3.2 Use feedback from individuals and teams to identify and introduce improvements in future learning arrangements	
		3.3 Make adjustments, negotiated with training and development specialists, for improvements to the efficiency and effectiveness of learning	
		3.4 Use processes to ensure that records and reports of competency are documented and maintained within the organisation's systems and procedures to inform future planning	

### 19. INTERPRET MARKET TRENDS AND DEVELOPMENTS (BSBMKG507)

Element		Performance criteria	Peer tick
1.	Interpret trends and market developments	1.1 Use statistical analysis of market data to interpret market trends and developments	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
		1.2 Analyse market trends and developments for their potential impact on the business	
		1.3 Use measures of central tendency or dispersion and correlations between sets of data for quantitative interpretation of comparative market data	
		1.4 Perform qualitative analysis of comparative market information as a basis for reviewing business performance	
		1.5 Analyse the market performance of existing and potential competitors and their products or services to identify potential opportunities or threats	
2.	Analyse qualitative results	2.1 Analyse performance data from all areas of the business to determine success of marketing activities	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
		2.2 Identify over-performing and under-performing products and services to be considered for redevelopment or withdrawal	
		2.3 Forecast existing and emerging market needs based on information available using forecasting techniques	
3.	Report on market data	3.1 Prepare, plot and interpret data for visual presentation	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
		3.2 Assess visual presentation for potential problems, and take any necessary corrective action	
		3.3 Report on analysis of market data to meet organisational requirements in terms of content, format, level of detail and scheduling	

**20. DEVELOP A SALES PLAN (BSBSLS501)**

Element	Performance criteria	Peer tick
1. Identify organisational strategic direction	1.1 Obtain and analyse assessment of market needs and strategic planning documents 1.2 Review previous sales performance and successful approaches to identify factors affecting performance 1.3 Analyse information on market needs, new opportunities, customer profiles and requirements as a basis for decision making	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
2. Establish performance targets	2.1 Determine practical and achievable sales targets 2.2 Establish realistic time lines for achieving targets 2.3 Determine measures to allow for monitoring of performance 2.4 Ensure objectives of the sales plan and style of the campaign are consistent with organisational strategic objectives and corporate image	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
3. Develop a sales plan for a product	3.1 Determine approaches to be used to meet sales objectives 3.2 Identify additional expertise requirements and allocate budgetary resources accordingly 3.3 Identify risks and develop risk controls 3.4 Develop advertising and promotional strategy for product 3.5 Identify appropriate distribution channels for product 3.6 Prepare a budget for the sales plan 3.7 Present documented sales plan to appropriate personnel for approval	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
4. Identify support requirements	4.1 Identify and acquire staff resources to implement sales plan 4.2 Develop an appropriate selling approach 4.3 Train staff in the selling approach selected 4.4 Develop and assess staff knowledge of product to be sold	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
5. Monitor and review sales plan	5.1 Monitor implementation of the sales plan 5.2 Record data measuring performance versus sales targets 5.3 Make adjustments to sales plan as required to ensure required results are obtained	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

**21. LEAD AND MANAGE A SALES TEAM (BSBSLS502)**

Element	Performance criteria	Peer tick
1. Plan sales operations	1.1 Set sales teams objectives 1.2 Prepare sales plan and budget to support attainment of objectives 1.3 Develop objectives related to the nature of the sales operation which are consistent with marketing and sales strategies 1.4 Determine the size and structure of the sales team 1.5 Recruit, select and induct sales team members on an ongoing basis in accordance with job analysis and sales team objectives 1.6 Provide sales team members with initial training using appropriate training methods 1.7 Establish sales team compensation methods and levels 1.8 Establish sales territories, sales targets and performance standards	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
2. Direct sales team	2.1 Implement strategies to encourage, motivate and support sales team members 2.2 Coach or mentor sales team members to facilitate attainment of sales targets 2.3 Model client-focused tactics for sales team members 2.4 Allocate resources in accordance with organisational policies and procedures to support attainment of sales targets 2.5 Analyse sales volume, conversion rate data and cross-selling ratios to monitor sales performance 2.6 Monitor the ethical and social conduct of the sales team in accordance with legal requirements, professional expectations and organisational policy	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
3. Evaluate sales team performance	3.1 Establish systems to evaluate sales effectiveness against performance standards 3.2 Offer sales team members constructive feedback on their performance 3.3 Recognise and reward superior sales team member performance 3.4 Take corrective action where sub-standard sales team member performance is identified 3.5 Adjust sales team planning in light of evaluation processes	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure



**22. DEVELOP WORKPLACE POLICY AND PROCEDURES FOR SUSTAINABILITY (BSBSUS501)**

Element	Performance criteria	Peer tick
1. Develop workplace sustainability policy	1.1 Define scope of sustainability policy	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	1.2 Gather information from a range of sources to plan and develop policy	
	1.3 Identify and consult stakeholders as a key component of the policy development process	
	1.4 Include appropriate strategies in policy at all stages of work for minimising resource use, reducing toxic material and hazardous chemical use and employing life cycle management approaches	
	1.5 Make recommendations for policy options based on likely effectiveness, timeframes and cost	
	1.6 Develop policy that reflects the organisation's commitment to sustainability as an integral part of business planning and as a business opportunity	
	1.7 Agree to appropriate methods of implementation, outcomes and performance indicators	
2. Communicate workplace sustainability policy	2.1 Promote workplace sustainability policy, including its expected outcome, to key stakeholders	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	2.2 Inform those involved in implementing the policy about expected outcomes, activities to be undertaken and assigned responsibilities	
3. Implement workplace sustainability policy	3.1 Develop and communicate procedures to help implement workplace sustainability policy	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	3.2 Implement strategies for continuous improvement in resource efficiency	
	3.3 Establish and assign responsibility for recording systems to track continuous improvements in sustainability approaches	
4. Review workplace sustainability policy implementation	4.1 Document outcomes and provide feedback to key personnel and stakeholders	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
	4.2 Investigate successes or otherwise of policy	
	4.3 Monitor records to identify trends that may require remedial action and use to promote continuous improvement of performance	
	4.4 Modify policy and or procedures as required to ensure improvements are made	

**23. MANAGE EMPLOYEE RELATIONS (BSBWRK520)**

Element	Performance criteria	Peer tick
1. Develop employee and industrial relations policies and plans	1.1 Analyse strategic plans and operational plans to determine long term employee relations 1.2 Analyse existing employee relations performance in relation to workforce objectives 1.3 Evaluate options in terms of cost-benefit, risk-analysis and current legislative requirements 1.4 Work with relevant internal stakeholders to develop industrial relations policies and plans 1.5 Identify the skills and knowledge needed by management and the workforce to effectively implement these strategies and policies	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
2. Implement employee relations policies and plans	2.1 Develop an implementation plan and contingency plan for the employee relations policies and strategies 2.2 Make arrangements for training and development for identified needs to support the employee relations plan 2.3 Undertake associated employee relations activities to reach agreement on changes required by the organisational policies or implementation plan 2.4 Document procedures for addressing grievances and conflict 2.5 Identify and communicate key procedures for addressing grievances and conflict to stakeholders 2.6 Review employee relations policies and plans to establish whether they are meeting their intended outcomes	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure
3. Manage negotiations to resolve conflict	3.1 Develop and deliver training to individuals in conflict-management techniques and procedures 3.2 Identify, and where possible alleviate or eliminate, sources of conflict or grievance according to legal requirements 3.3 Evaluate documentation and other information sources to clarify issues in dispute and ensure completeness, balance and relevance 3.4 Obtain expert or specialist advice and/or refer to precedents, if required 3.5 Determine desired negotiation outcomes, negotiation strategy and negotiation timeframes 3.6 Advocate the organisation s position in negotiation with the view to reaching a resolution that aligns to organisational objectives 3.7 Document, and if necessary certify, the agreed outcomes with the relevant jurisdiction 3.8 Take remedial action where groups or individuals fail to abide by agreements	<input type="checkbox"/> Yes <input type="checkbox"/> No <input type="checkbox"/> Unsure

*This completes the Sign-off of the competencies by a peer, as required for the Diploma qualification.*

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

Name of Assessor: .....

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

Decision .....