



# Recognition of Prior Learning and Assessment Kit

## BSB51107 DIPLOMA OF MANAGEMENT

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Developed by: Brian Roberts	Source:		
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## ABOUT THIS KIT

This RPL Kit is designed as a self assessment tool to determine whether you are able to provide evidence sufficient for judgements on whether you are competent against units of competency in the Training Package/Qualification undertaken.

This evidence must especially be sufficient, current, reliable, valid and authentic.

This Kit provides assistance to not only confirm which units of competency may be required, but also the basis upon which you should collect evidence for each unit of competency chosen. It does not provide all the detail on each unit of competency, or the qualification as is only available from the full Training Package.

## WHAT IS RPL?

Recognition of Prior Learning (RPL) under the Australian National Training Quality Framework is a formal process whereby a person's skills and knowledge acquired through previous training, work, or life experience may be used to grant status or credit in a subject, module, or course.

In the RPL process evidence is collected against the skills and knowledge requirements for the unit of competency or its constituent elements. If recognition is granted then where that unit or units of competency form part of a course the candidate can be credited with the equivalent parts of a course (statement of attainment), or even an entire qualification.

## FIVE EASY STEPS TO RPL

1. Read this RPL Kit to determine what you can do and where you wish to gain recognition for your prior learning.
2. **For those units of competency** being sought examine in detail and reflect on their associated elements and performance criteria.
3. Use the 'Guide to collection of **evidence**' for each unit of competency to translates the technical detail of the competency standard into a self-assessment approach that permits you to identify where you can provide evidence in the form of credentials, observation reports, written testimonials, or in a portfolio.
4. Collect, sort and package the relevant evidence **against each unit of competency**.
5. Complete the RPL Kit's cover sheet, check that all relevant forms have been signed and included, and after copying the completed package, submit the evidence and all the completed sheets in this Kit to the Registered Training Organisation for assessment.

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## HOW MUCH EVIDENCE IS REQUIRED

When the Trainers are assessing your portfolio of evidence they will be looking for the quality of your evidence submitted. The quality of evidence submitted would be more important than the quantity of evidence that you provide. Evidence must be relevant to the unit of competency. You will need to demonstrate that you have the required skills and knowledge that meets the standards identified in the performance criteria for the unit. You must consider that the evidence that is submitted demonstrates your competency through various examples.

## TYPES OF EVIDENCE FOR RPL

In order to be found competent in this unit you must provide evidence sufficient for judgement by an independent assessor. This Kit suggests three forms of evidence may be collected and packaged. They include:

### 1. Qualifications (copies must be certified)

This evidence is the most unambiguous and easy to present. It represents the provision of formal qualifications issued by a Registered Training Provider (RTO). Qualification from an RTO may be the complete qualification for a course (i.e. Certificate Iv in Training and Assessment), or for units of competencies gained that credit towards such a qualification. **Statements of Attainment** are where an AQF qualification is partially achieved through the achievement of one or more endorsed units of competency, an RTO may issue a Statement of Attainment. Issuance of Statements of Attainment must comply with the advice provided in the *AQF Implementation Handbook* and the *AQTF Standards for Registered Training Organisations*.

Qualifications presented may also include those from tertiary institutions or other providers that hold equivalency to the units of competency (i.e. the extent to which a person's acquired knowledge or skills satisfy the competency requirements). Other training providers such as in-house, community and various unaccredited providers may also grant awards that the applicant presents as evidence of learning in the field of endeavour covered by the unit of competency.

Copies of qualifications submitted as evidence must be certified.

### 2. Observation /Third Part Report

This evidence requires the presentation of an independent report by a qualified observer confirming the applicant has individually or collectively achieved the competency outcomes, performance criteria, skills and knowledge of this competency standard to be demonstrated. Such reports hold greater validity when they come from independent individuals with the verified expertise to make such judgements (i.e. A person competent to assess the unit of competency being observed).

To be valid, an observation/ third party reports must address the applicant's performance specifically in relation to relevant unit/s of competency. Observations/third party reports should establish the writer's working relationship with the applicant, provide examples of what the third party has observed, be signed, dated and presented in an identifiable document.

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### **3. Written testimonial or report that may specifically demonstrate the applicant's knowledge**

This requires the submission of written evidence by the applicant that may specifically demonstrate the applicant's knowledge. Such written reports usually cover and confirm how work and life experience have contributed to such competency being attained. They may also be research or academic papers that confirm the applicant's knowledge on the subject matter.

### **4. Portfolio of evidence**

This requires the submission of workplace documents or other documentary evidence that supports the applicants completion of the outcomes stated in the respective unit of competency

### **5. Resumes/CVs and current job descriptions**

These documents are useful in describing the recent and current contexts in which an applicant works but, on their own, cannot be deemed to be evidence. They must be supported by work examples, valid third party reports and other forms of evidence.

### **6. Copies of policies and procedures**

Many applicants submit such documents as evidence that they work in accordance with an organisations policy and procedures. If this is what the applicant is claiming, they must present evidence of actual work that illustrates this. Of course, if the applicant is claiming to have written the policy and procedures, then the documents themselves are indeed evidence, provided the applicant also presents proof of authorship and provided development of policies and procedures is a requirement of the unit/s of competency being addressed.

### **7. Work documents**

Documents such as examples of the applicant's work, reports, correspondence, meeting documents, files, conference records etc must be identifiable. Each individual piece of evidence should be able to stand on its own. That is, assessors should be able to see that any single piece of evidence is: directly related to the applicant and the organisation for which the work was performed; be dated; have file identification and, where necessary, be signed and/or verified.

### **Historical evidence**

The currency of evidence can be a big issue. A general rule of thumb is that evidence that is older than three years must be supported by more up to date evidence of the applicant's continued application of the relevant competence. If the applicant can demonstrate a continuum, then the historical evidence can be used; if not, then the applicant must demonstrate current competence in an appropriate way.

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## QUALITY EVIDENCE TO BE COLLECTED

Quality evidence is evidence that the assessor can rely upon. The evidence provided must be able to withstand scrutiny and provide a clear picture your competent performance over a period of time

For all units of competency the collection of quality evidence requires that assessment must address the scope of the respective unit and reflect all components of the unit i.e. the elements, performance criteria, range statement, evidence requirements and key competencies:

A range of appropriate assessment methods/evidence gathering techniques is used to determine competency

Evidence must be gathered in the workplace whenever possible. Where no workplace is available, a simulated workplace must be provided

The evidence collected must relate to a number of performances assessed at different points in time and in a learning and assessment pathway these must be separated by further learning and practice

Assessment meets the rules of evidence

A judgement of competency should only be made when the assessor is confident that the required outcomes of the unit have been achieved and that consistent performance has been demonstrated

## GATHERING EVIDENCE

There are three broad types of evidence that you can collect

- Direct evidence
- Indirect evidence
- Personal statements

### Direct Evidence

This is work **produced** by you, which might include:

- Correspondence you have written (letters, faxes, emails)
- Completed in-house work programs e.g. documented delivery of in-house training courses
- Folders or records you have maintained
- Plans or schedules you have created and maintained

Direct evidence is anything that you have produced yourself for which you have been primarily responsible. You will need to consider providing various examples of evidence that you have produced over a period of time. It is important to verify your work as your own by getting your supervisor to authorise the evidence that you have submitted. Remember that the Trainer may contact your supervisor to check verification.

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## Indirect evidence

This is information **about** you, which might include:

- Certificates/Statements of results you have completed
- Minutes of meetings that contain information that you have participated or performed duties at your place of work
- Your position description
- Performance appraisals
- Letters of appreciation from clients or work colleagues
- Reference from previous employees
- Workplace awards, prizes, certificates
- Photographs/recordings of activities you have undertaken
- Reports from managers or supervisors who have witnessed specific activities you have undertaken

## Personal Statements

Statements from your managers, supervisors, previous employers, customers & colleagues, can be included in your evidence portfolio to support your claims. These are not references from previous employers but statements of information that are relevant to an element and performance criteria for the unit of competency.

Keep in mind that any personal statements that you include as evidence should include the following:

- A brief description of the situations and/or circumstances in which you carried out the activity/work
- Details of the activity/work
- Explanation of the planning and factors that contributed to the outcomes of the activities/work, e.g. how, why, when and the outcome.

## GUIDE TO THE SUBMISSION OF EVIDENCE

### How to lodge evidence

Presentation of any written evidence is important. Remember, you are trying to convince your assessor of your competency. Your written assessment or recognition portfolio should:

- be typed or hand written (Please ensure it can be read easily and is in plain English)
- be sorted into correct order and sequence relating to the units of competency applied for
- be grouped into the relevant order and be easy to access (preferably not in plastic sleeves and be clipped together or stapled where required (prevents loss of pages from important bundles).
- give clear references (if external information sources are used)

All RPL applications should be mailed in hard copy or provided in electronic form (email or digital storage device) wherever possible. Copies must be kept by the applicant.

All applicants should provide contact details for confirmation of receipt of application from the Australian Salesmasters Training Company.

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## Sorting and presenting evidence

Evidence provided should:

- Be relevant to the unit of competency.
- Be unambiguously associated with the applicant, not some other person.
  - Each piece of evidence is clearly identifiable as the candidate's own work
  - Qualifications, references, licences etc presented by the candidate are signed off as a full and correct copy of the original by a credible third party
  - Candidate's verbal or written accounts of what they can do are supported by actual evidence, such as work examples, products, etc.
- Be current.
  - demonstrates that the applicant can apply the competency in their current work
  - reflects work carried out by the candidate over a period of time.
  - The key point here is that the assessor must be confident the applicant can still perform to the standard demonstrated by the evidence.
- Be valid:
  - relates directly to the unit of competency
  - demonstrates the relevant underpinning skills and knowledge
  - reflects the four dimensions of competency and key competencies
  - is appropriate to the relevant AQF descriptor. (Detailed below).
- Be verifiable.
- Be reliable.
- Be sufficient:
  - includes all the critical aspects of evidence presented in the Evidence Guide, including the specific evidence requirements listed
  - covers the full range of performance identified in the unit
  - shows competency over a period of time and in different contexts
  - includes different forms of evidence
- Focus only on the set performance criteria and associated elements of the unit of competency.
- Copied and placed with each relevant unit of competency or clearly labeled to show where one piece of evidence applies to more than one unit of competency.
- Cover the competency standard in a clear, logical, and structured manner.

Be sure to indicate copyright and any security or privacy issues when presenting evidence. Australian Salesmasters training Company is sensitive of how RPL information is handled and all materials will usually be returned to the applicant. Any special requirements must be noted in your cover page to prevent legal infringements by all parties.

- Relevant AQTF Descriptor

This is a training program that leads to the completion of the Australian Government's Business Services Training Package. It will equip participants with the essential knowledge, skills and attributes required to work effectively in positions that require conceptual, operational and supervisory

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capabilities. A qualification providing participants with practical skills in the area of Business Administration.

### What is the Australian Qualifications Framework?

The Australian Qualifications Framework (AQF) provides a national framework for all education and training qualifications in Australia. There are twelve qualifications in the AQF. Six of these are relevant to the Vocational Education and Training (VET) sector. The twelve qualifications are:

Schools Sector	Vocational Education and Training Sector	Higher Education Sector (Tertiary)
Senior Secondary Certificate of Education	Vocational Graduate Diploma Vocational Graduate Certificate  Advanced Diploma Diploma Certificate IV Certificate III Certificate II Certificate I	Doctoral Degree Masters Degree Graduate Diploma Graduate Certificate Bachelor Degree Advanced Diploma Diploma

### Australian Quality Training Framework Level – Level V

#### *Diploma*

The applicant will normally be engaged in a workplace in which they:

- demonstrate understanding of a broad knowledge base incorporating theoretical concepts, with substantial depth in some cases
- analyse and plan approaches to technical problems or management requirements
- transfer and apply theoretical concepts and/or technical or creative skills to a range of situations
- evaluate information using it to forecast for planning or research purposes
- take responsibility for own outputs in relation to broad quantity and quality parameters
- take some responsibility for the achievement of group outcomes

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## PREPARING AN OBSERVATION REPORT

The following is provided as a guide on how you may prepare an observation report.

### Purpose of the task:

- Through this observation candidates must be able to provide evidence that they can successfully complete the unit of competency.

The evidence guide and in some cases the performance criteria relating to the elements of the unit of competency should become the criteria used to align observed performance. The observer or assessor, where they hold competency standards relevant to being an assessor and the unit of competency being assessed, should indicate where the candidate has been observed completing the criteria to both the required standard (satisfactory) and on a consistent basis.

### Instructions for the observation component:

The observer may make comments and add feedback to the candidate during and after the session. These comments are also important parts of the evidence gathering requirements.

While the criteria form the 'checklist' for the observer they also have scope to add comments and add further criteria they may feel is relevant.

The observer/assessor and the candidate being assessed should sign off and date the observation report for it to be considered valid.

*NOTE: The candidate may wish to provide the contact details for the observer/assessor in case the Australian Salesmasters Training Company assessor wishes to confirm either detail relating to the assessment or the observer's relationship with the candidate.*

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OBSERVATION ASSESSMENT for			
Candidate name:			
Unit of competency:			
Observers name (if unqualified):			
Assessors name (if qualified):			
Workplace:			
Date of assessment:			
Length of training session:			
<b>Observation</b>			
Using the Unit of Competency evidence and/or performance criteria list and confirm if the candidate has consistently, and to a satisfactory standard demonstration skills and knowledge relating to:	Yes	No	N/A
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Feedback to candidate:</b>			
<p>The candidate's overall performance was:</p> <p>Satisfactory <input type="checkbox"/> Not Satisfactory <input type="checkbox"/></p>			
<b>Signature of Assessor/Observer:</b>			
	Dated:        /        /201		
<b>Signature of candidate/Assessee:</b>			
	Dated:        /        /201		

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## PREPARING A PORTFOLIO

As you work through the relevant unit of competency you must collect documentation or work samples that 'prove' what you do or have done. Examples of the type of evidence you collect and package into a portfolio can also include:

- Resume, Curriculum Vitae
- Job/Position description
- Certificates/Qualifications/Statements of Attainment
- Memo's (you have drafted)
- Letters (you have drafted)
- Proformas/forms you use e.g.
  - Fax messages
  - Procedures/Policy
- Organisational Chart (with names)
- Reports
- Rosters
- Email Correspondence
- References from supervisor/peers
- Letters of support/appreciation
- Plans you have created
- Performance appraisals/review
- Training Diary
- References from previous employers
- Workplace awards, prizes, certificates
- Tools such as:
  - Budgets/costing sheets etc
  - Department documents
  - Booking sheets
  - Workplace evidence e.g. Team meeting notes
- Evaluation forms
- Meetings/conferences/seminars you have helped organise
- Brochures/Flyers you have produced
- Promotional material
- Feedback sheets/surveys
- Team projects (outlining your roles)

**THE LIST IS INDICATIVE RATHER THAN EXHAUSTIVE**

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You should consider using a Portfolio Cover sheet for each unit of competency to ease its collection and verification by the RPL assessor.

<b>Name:</b>	<b>Date submitted:</b>
I declare this evidence to have been produced by the undersigned. Candidate's signature:	
<b>Portfolio evidence presented for unit of competency:</b>	
<b>List evidence in order:</b>	
<b>Assessor to complete</b>	
Evidence is:	Valid      Sufficient      Authentic      Current
	<input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>
Assessor signature:	
Dated: _____ / _____ /201_	

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## Providing third part verification in a portfolio

This is a template that can be used by the RPL candidate to secure third party testimony as to their performance of skills and knowledge in relation to a unit of competency.

<b>Name:</b>		<b>Date submitted:</b>	
I declare this evidence to have been produced by the undersigned. Candidate's signature:			
<b>Third party testimony for unit of competency:</b> {List unit of competency title}			
<b>Testimony</b>			
Please confirm the work performance of the applicant using this checklist. This information is confidential and will be used by Registered Training Organisation to assess and recognise any prior learning the candidate may have that satisfy the unit of competency listed above		<b>Yes</b>	<b>Needs more experience</b>
<b>Is the applicant able to reliably meet the organisation's performance standards for the following tasks?</b>			<b>N/A</b>
{List tasks of elements or skills and knowledge from unit of competency}		<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>
		<input type="checkbox"/>	<input type="checkbox"/>
<b>Comments or notes by third party:</b>			
<b>The candidate's overall performance was:</b> Satisfactory <input type="checkbox"/> Not Satisfactory <input type="checkbox"/>			
<b>Signature of Third Party provide of testimony:</b>		Dated: ____ / ____ /201__	
<b>Position:</b>		<b>Contact phone number or email:</b>	
<b>Signature of candidate:</b>		Dated: ____ / ____ /201__	
<b>Position:</b>		<b>Contact phone number or email:</b>	
<b>RPL assessor to complete</b>			
Evidence is: Valid <input type="checkbox"/> Sufficient <input type="checkbox"/> Authentic <input type="checkbox"/> Current <input type="checkbox"/>			
RPL Assessor signature:			
Dated: ____ / ____ /201__			

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# The RPL Application

## RECOGNITION OF PRIOR LEARNING COVER SHEET

**Program: Code: BSB51107 Title: Diploma of Management**

Name:

Employer:

Postal Address:

Date of Posting:

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Email contact *(for ASTC to confirm receipt of this application)*

Note any special copyright, privacy or other evidence handling requirements:

Declaration

I declare that:

- No part of this assessment has been copied from another person's work, except where documents or work is listed/referenced
- No part of this assessment has been written for me by another person

Signed:

Date:

**Please post assessment to:**

*Australian Salesmasters Training Company*

*PO Box 638*

*Rosebery*

*NSW 1445*

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## CREENTIALS PRESENTED AS EVIDENCE

Name the credentials (qualifications or statements of attainment) claimed as providing primary evidence for Recognition of Prior Learning against the units of competency composing the Business Services Training Package.

A certified copy of all credential(s) - qualification or statements of attainment- listed **must** be provided.

### Nominate relevant courses and qualifications held

Name of Course	Name and provider code of RTO awarding qualification	Date Awarded

### Nominate relevant statements of attainment for imported units of competence held.

Name of Unit/Module	Training Package or Course Title	Date Awarded

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## THE FOLLOWING ARE EXAMPLES OF COMPLETED:

### 1. LEARNING ENVIRONMENT COMPETENCY STANDARD

<b>BSBMGT502B</b>	<b>Manage people performance</b>		
<b>Unit Descriptor</b>	This unit describes the performance outcomes, skills and knowledge required to manage the performance of staff who report to them directly. Development of key result areas and key performance indicators and standards, coupled with regular and timely coaching and feedback, provide the basis for performance management. No licensing, legislative, regulatory or certification requirements apply to this unit at the time of endorsement...		
<b>Application of the Unit</b>	<p>This unit applies to all managers and team leaders who manage people. It covers work allocation and the methods to review performance, reward excellence and provide feedback where there is a need for improvement.</p> <p>The unit makes the link between performance management and performance development, and reinforces both functions as a key requirement for effective managers.</p> <p>This is a unit that all managers/prospective managers who have responsibility for other employees should strongly consider undertaking.</p>		
<b>Element</b>	<b>Performance Criteria</b>	<b>Tick if evidence provided (✓)</b>	
<b>1. Allocate work</b>	1.1	Consult relevant groups and individuals on work to be allocated and resources available	
	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	
<b>2. Assess performance</b>	2.1	Design performance management and review processes to ensure consistency with organisational objectives and policies	
	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	
<b>3. Provide feedback</b>	3.1	Provide informal feedback to staff on a regular basis	
	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	

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<b>4. Manage follow up</b>	4.1	Write and agree performance improvement and development plans in accordance with organisational policies	
	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	
<b>Qualifications Gained</b> (Tick the appropriate box)		<b>Portfolio Evidence Attached</b> (Tick the appropriate box)	
<input type="radio"/> RTO credential <input type="radio"/> Tertiary institution credential (university) <input type="radio"/> Company training course <input type="radio"/> Previous employer training course <input type="radio"/> Accredited Tertiary/Secondary course <input type="radio"/> Other training course (please specify)		<input type="radio"/> Sample of work completed <input type="radio"/> References and Testimonials <input type="radio"/> Letter of Validation <input type="radio"/> Certificate <input type="radio"/> Statement of results <input type="radio"/> Awards <input type="radio"/> Other (specify)	
<b>Observation provided by:</b> (Tick the appropriate box)		<b>Written testimonial provided covering:</b> (Tick the appropriate box)	
<input type="radio"/> Person holding unit of competency <input type="radio"/> Supervisor familiar with work <input type="radio"/> Independent expert		<input type="radio"/> Knowledge (written report or paper) <input type="radio"/> Work experience <input type="radio"/> Life experience	
<b>Signed:</b>		<b>Date completed:</b>	
<b>Name in Full:</b>		<b>Contact email:</b>	

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## 2. A GUIDE TO THE COLLECTION OF EVIDENCE

A guide to the collection of evidence for: <b>BSBMGT502B Manage people performance</b>	
<p>The Evidence Guide provides advice to inform and support appropriate assessment of this unit. It contains an overview of assessment followed by identification of specific aspects of evidence that will need to be addressed in determining competency. The Evidence Guide is an integral part of the unit and should be read and interpreted in conjunction with the other components of competency.</p> <p>Assessment must reflect the endorsed Assessment Guidelines of the Business Services Training Package</p>	
<b>Overview of Assessment</b>	
<p>To demonstrate competency against this unit candidates must be able to provide evidence of the following:</p> <ul style="list-style-type: none"> <li>documented performance indicators and a critical description and analysis of performance management system from the workplace</li> <li>techniques in providing feedback and coaching for improvement in performance</li> <li>knowledge of relevant awards and certified agreements.</li> </ul>	
<p>Candidates must show that they have participated in relevant industry/professional development events or activities and had access to appropriate documentation and resources normally used in the workplace and demonstrate communication skills to articulate expected standards of performance, to provide effective feedback and to coach staff who need development, risk management skills to analyse, identify and develop mitigation strategies for identified risks, planning and organisation skills to ensure a planned and objective approach to the performance management system</p> <p>Candidates must demonstrate knowledge of relevant legislation from all levels of government that affects business operation, especially in regard to occupational health and safety and environmental issues, equal opportunity, industrial relations and anti-discrimination, relevant awards and certified agreements, performance measurement systems utilised within the organisation, unlawful dismissal rules and due process.,</p>	
Checklist for provision of evidence for this Unit of Competency	Mark off when satisfied
<b>Evidence of Code of Conduct may include:</b>	agreed (or decreed) set of rules relating to employee behaviour/conduct with other employees or an agreed (or decreed) set of rules relating to employee behaviour/conduct with other employees or customers
<b>Evidence of Risk analysis may include</b>	Proof of determination of the likelihood of a negative event
<b>Evidence of Performance management may include</b>	<p>Proof of</p> <ul style="list-style-type: none"> <li>acting in accordance with relevant industrial agreements</li> <li>developing and/or working with process or set of processes for establishing a shared understanding of what an individual or group is to achieve, and managing and developing individuals in a way which increases the probability it will be achieved in both the short- and long-term</li> </ul>

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<b>Evidence of Allocating work may include</b>	<p>Proof of</p> <ul style="list-style-type: none"> <li>• Consulting relevant groups and individuals on work to be allocated and resources available</li> <li>• Developing work plans in accordance with operational plans</li> <li>• Allocating work in a way that is efficient, cost effective and outcome focussed</li> <li>• Confirming performance standards, Code of Conduct and work outputs with relevant teams and individuals</li> <li>• Developing and agreeing performance indicators with relevant staff prior to commencement of work</li> <li>• Conducting risk analysis in accordance with the organisational risk management plan and legal requirements</li> </ul>
<b>Evidence of Assessing performance may include</b>	<p>Proof of</p> <ul style="list-style-type: none"> <li>• Designing performance management and reviewing processes to ensure consistency with organisational objectives and policies</li> <li>• Training participants in the performance management and review process</li> <li>• Conducting performance management in accordance with organisational protocols and time lines</li> <li>• Monitoring and evaluating performance on a continuous basis</li> </ul>
<b>Evidence of providing feedback may include</b>	<p>Proof of:</p> <ul style="list-style-type: none"> <li>• Providing informal feedback to staff on a regular basis</li> <li>• Advising relevant people where there is poor performance and take necessary actions</li> <li>• Providing on-the-job coaching when necessary to improve performance and to confirm excellence in performance</li> <li>• Documented performance in accordance with the organisational performance management system</li> <li>• Conducting formal structured feedback sessions as necessary and in accordance with organisational policy</li> </ul>
<b>Evidence of Managing follow up may include</b>	<p>Proof of:</p> <ul style="list-style-type: none"> <li>• Writing and agreeing performance improvement and development plans in accordance with organisational policies</li> <li>• Seeking assistance from human resources specialists where appropriate</li> <li>• Reinforcing excellence in performance through recognition and continuous feedback</li> <li>• Monitoring and coaching individuals with poor performance</li> <li>• Providing support services where necessary</li> <li>• Counsel individuals who continue to perform below expectations and implement the disciplinary process if necessary</li> <li>• Terminating staff in accordance with legal and organisational requirements where serious misconduct occurs or ongoing poor-performance continues</li> </ul>

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<b>Context of and specific resources for assessment</b>	Assessment must ensure access to appropriate documentation and resources normally used in the workplace
<b>Method of assessment</b>	<p>A range of assessment methods should be used to assess practical skills and knowledge. The following examples are appropriate for this unit:</p> <ul style="list-style-type: none"> <li>• analysis of responses to case studies and scenarios</li> <li>• assessment of written reports</li> <li>• demonstration of techniques in providing feedback and coaching</li> <li>• direct questioning combined with review of portfolios of evidence and third party workplace reports of on-the-job performance by the candidate</li> <li>• review of work plans, performance indicators, risk analysis, performance management and review processes, performance improvement and development plans.</li> </ul>

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### 3. OBSERVATION

OBSERVATION ASSESSMENT for BSB51107 Diploma of Management			
<b>Candidate name:</b>			
<b>Unit of competency:</b>	BSBMGT502B Manage people performance		
<b>Observers name (if unqualified):</b>			
<b>Assessors name (if qualified):</b>			
<b>Workplace:</b>			
<b>Date of assessment:</b>			
<b>Length of observation:</b>			
<b>Observation</b>			
<b>Confirm if the candidate has consistently, and to a satisfactory standard demonstration skills and knowledge relating to:</b>	<b>Yes</b>	<b>No</b>	<b>N/A</b>
Consult relevant groups and individuals on work to be allocated and resources available	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Develop work plans in accordance with operational plans	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Allocate work in a way that is efficient, cost effective and outcome focussed	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Confirm performance standards, Code of Conduct and work outputs with relevant teams and individuals	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Develop and agree performance indicators with relevant staff prior to commencement of work	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Conduct risk analysis in accordance with the organisational risk management plan and legal requirements	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Design performance management and review processes to ensure consistency with organisational objectives and policies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Train participants in the performance management and review process	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Conduct performance management in accordance with organisational protocols and time lines	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Monitor and evaluate performance on a continuous basis	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Provide informal feedback to staff on a regular basis	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Advise relevant people where there is poor performance and take necessary actions	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Provide on-the-job coaching when necessary to improve performance and to confirm excellence in performance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Document performance in accordance with the organisational performance management system	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Conduct formal structured feedback sessions as necessary and in accordance with organisational policy	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Write and agree performance improvement and development plans in accordance with organisational policies	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Seek assistance from human resources specialists where appropriate	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Reinforce excellence in performance through recognition and continuous feedback	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Monitor and coach individuals with poor performance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Provide support services where necessary	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Counsel individuals who continue to perform below expectations and implement the disciplinary process if necessary	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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Terminate staff in accordance with legal and organisational requirements where serious misconduct occurs or ongoing poor-performance continues	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<b>Feedback to candidate:</b>			
<b>The candidate's overall performance was:</b> Satisfactory <input type="checkbox"/> Not Satisfactory <input type="checkbox"/>			
<b>Signature of Assessor/Observer:</b>	Dated:        /        /201		
<b>Signature of candidate/assessee:</b>	Dated:        /        /201		

## 4. PORTFOLIO OF EVIDENCE

<b>Name:</b>	<b>Date submitted:</b>
I declare this evidence to have been produced by the undersigned. Candidate's signature:	
<b>Portfolio evidence presented for unit of competency:</b>	
<b>BSBMGT502B Manage people performance</b>	
A list of the type of evidence you <b>MUST</b> collect are listed below. There may be other pieces of evidence that you could collect. You are encouraged to discuss any other options with your assessor.	
<ul style="list-style-type: none"> <li>• documented performance indicators and a critical description and analysis of performance management system from the workplace</li> <li>• proof of techniques in providing feedback and coaching for improvement in performance</li> <li>• proof of knowledge of relevant awards and certified agreement</li> <li>• proof communication skills to articulate expected standards of performance, to provide effective feedback and to coach staff who need development</li> <li>• proof of risk management skills to analyse, identify and develop mitigation strategies for identified risks</li> <li>• proof of planning and organisation skills to ensure a planned and objective approach to the performance management system</li> </ul>	
<b>Other evidence provided/substituted (List each item):</b>	
<b>Assessor to complete</b> Evidence is:    Valid        Sufficient        Authentic        Current  <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/> <input type="checkbox"/>  Assessor signature:  Dated: _____/_____/201	

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## Sample of RPL evidence gathering process for BSBMGT502B Manage people performance

To assist confusion in the gathering of evidence, please remember that the submission of a couple of good examples, related to specific performance criteria, will answer commonly asked questions and clarify what is required.

### Step 1:

Read the WHOLE unit of competency, making sure you include *the Range Statement and Evidence Guide*.

### Step 2:

Think about what you have done in your workplace/organisation with regard to managing people performance in relation to:

- having managed the performance of staff who report to you directly
- developing key result areas and key performance indicators and standards
- regular and timely coaching and feedback
- providing the basis for performance management.

You must be able to demonstrate:

- documented performance indicators and a critical description and analysis of performance management system from the workplace
- techniques in providing feedback and coaching for improvement in performance
- knowledge of relevant awards and certified agreements.

In particular, think of **at least two** examples of

- Where you have provided feedback and coaching
- Where you have reviewed and/or developed work plans, performance indicators, risk analysis, performance management and review processes, performance improvement and development plans
- How you have had to apply you knowledge relevant legislation, awards and certified agreements, for example occupational health and safety and environmental issues, equal opportunity, industrial relations and anti-discrimination  
[refer: “**Critical aspects for assessment and evidence required to demonstrate competency in this unit**” in the unit Evidence Guide]

and

- examples of appropriate documentation and resources normally used in the workplace for example work plans, performance improvement and development plans, risk analysis reports  
[refer: “**Context of and specific resources for assessment**” in the unit Evidence Guide]

in the past 2-3 years

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For each example, with the help of the Range Statement, work out how you could demonstrate to an assessor:

- **Performance standards** you may have set or reviewed
- Where and how you have confirmed a **Code of Conduct** with relevant teams and individuals
- Where and how you developed and agreed on **performance indicators** with relevant staff prior to commencement of work
- Where and how you conducted a **risk analysis** in accordance with your organisational/workplace risk management plan and relevant legal requirements (eg. occupational health and safety and environmental issues, equal opportunity, industrial relations and anti-discrimination)
- How you designed **performance management** and reviewed processes to ensure consistency with organisational/workplace objectives and policies
- When and how you provided informal feedback to staff on work performance on a regular basis
- Instances of where you provided on-the-job coaching to staff to improve performance and to confirm **excellence in performance**
- How you consulted with relevant human resources specialists
- Who these human resources personnel were
- How when and where you counselled team members who continued to perform below expectations and implemented the workplace disciplinary process if necessary
- How, where, and in what circumstances have you **terminate** staff in accordance with legal and organisational/workplace requirements where serious misconduct occurred or ongoing poor-performance continued

In an RPL situation, you need to provide documented evidence of all of the above. Such evidence would be **valid**, since it would be based on the elements and performance criteria and on the requirements of the Evidence Guide.

## Examples of documented evidence

*1 A report which reviews and one, several or all of the following*

- work plans,
- staff/team performance indicators,
- risk analysis,
- staff /team performance management and review processes,
- staff/team performance improvement
- staff/team development plans
- 

A valid report, well documented, should:

- Clarify the **human resources issues** for review and document the scope of review
- Record Consultation with **relevant personnel**
- Identify policies and procedures relevant to the research topic
- Apply ethical framework

It should also clearly establish the relationship between you and your organization/workplace.

The documented evidence must include:

- Official identification, such as the organisation's/employer's letterhead, file name/numbers,

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and a clear statement about you and your role as a manager [to establish **authenticity**]

- Dates and timeframes [to establish **currency**]
- Description of the work allocation function, how you identified needs, resources, agreed on performance indicators, identified risk etc [**validity – Element 1**]
- Description of how you assessed performance and provided feedback [**validity – Elements 2&3**]
- Description of strategies to manage follow up, including examples of monitoring coaching and counselling and (if applicable) terminating a team member [**validity – Element 4**]

### ***2 A final report form***

Some form of documented evidence evidencing that the above was completed, and implemented [**validity – Element 4**]

### ***3 Evidence to support your:***

- *communication skills to articulate expected standards of performance, to provide effective feedback and to coach staff who need development*
- *risk management skills to analyse, identify and develop mitigation strategies for identified risks*
- *planning and organisation skills to ensure a planned and objective approach to the performance management system*

Such evidence may be in the form of emails/memos between you and your workplace supervisor, written feedback from your workplace supervisor and/or from others involved with the people performance management functions discussing/commenting upon outcomes achieved and the value of the recommendations for future activity regarding the performance management system, staff development options and people performance information [**validity – Element 4 (4.3)**]

NB: Written feedback from team members or to human resources personnel is appropriate evidence in relation to communication skills in this context

### ***4 Third party report***

Your facilitation of all aspects of the implementation and monitoring that supports work across a range of people performance functional areas described above should be verified by a credible third party, usually a manager or senior colleague. Again, such a report must be identified, as above, dated and signed. If in the form of an email, the report would be self-identifying and dated.

### **In conclusion**

To ensure that your evidence is **sufficient**, you should include at least three different forms of evidence, as described above, of involvement in human resources functions. Together, the research documents, emails and third party report should demonstrate your competency.

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## **BSB51107: Diploma of Management**

### **Qualification notes**

#### **Descriptor**

This qualification reflects the role of individuals who are engaged to manage the work of others or to add value to or review management practices. Their role may be in any industry or organisational setting. Typically people in these roles will have considerable experience in their respective industries or vocational areas and couple an informed perspective of the specific work requirements with their managerial approaches.

The BSB51107 Diploma of Management requires a sound theoretical knowledge base and managerial competencies to plan, carry out and evaluate own work and/or the work of a team.

#### **Job Roles**

Job roles and titles vary across different industry sectors. Possible job titles relevant to this qualification include:

- Manager.

#### **Qualification Pathways**

#### **Prerequisite requirements**

There are no prerequisite requirements for individual units of competency.

#### **Pathways into the qualification**

Preferred pathways for candidates considering this qualification include:

- after achieving the BSB40807 Certificate IV in Frontline Management or other relevant qualification/s

OR

- providing evidence of competency in the majority of units required for the BSB40807 Certificate IV in Frontline Management or other relevant qualification/s

OR

- with vocational experience but without formal supervision or management qualification.

Examples of indicative job roles for candidates seeking entry based upon their vocational experience include:

- Coordinator
- Leading Hand
- Supervisor
- Team Leader

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This breadth of expertise would equate to the competencies required to undertake this qualification.

### **Pathways from the qualification**

After achieving the BSB51107 Diploma of Management, candidates may undertake the BSB60407 Advanced Diploma of Management, or a range of other Advanced Diploma qualifications.

### **Licensing, Legislative, Regulatory or Certification Considerations**

There is no direct link between this qualification and licensing, legislative and/or regulatory requirements. However, where required, a unit of competency will specify relevant licensing, legislative and/or regulatory requirements that impact on the unit.

### **Qualification Rules**

**Total number of units = 8**

**5 core units** from the core units listed below plus

**3 elective units**

The **3 elective units** may be selected from the core or elective units listed below, the BSB07 Business Services Training Package or any other currently endorsed national Training Package. If not listed below, 1 unit may be selected from either a Certificate IV or Advanced Diploma qualification.

Elective units must be relevant to the work outcome, local industry requirements and the qualification level.

Units selected from other Training Packages must not duplicate units selected from or available within the BSB07 Business Services Training Package.

### **Core Units**

#### **Customer Service**

BSBCUS501A Manage quality customer service

#### **Financial Management**

BSBFIM501A Manage budgets and financial plans

#### **Information Management**

BSBINM501A Manage an information or knowledge management system

#### **Learning and Development**

BSBLED501A Develop a workplace learning environment

#### **Management**

BSBMGT502B Manage people performance

BSBMGT515A Manage operational plan

BSBMGT516A Facilitate continuous improvement

**Occupational Health and Safety**

BSBOHS509A Ensure a safe workplace

**Project Management**

BSBPMG510A Manage projects

**Risk Management**

BSBRSK501A Manage risk

**Workplace Effectiveness**

BSBWOR501A Manage personal work priorities and professional development

BSBWOR502A Ensure team effectiveness

**Elective Units**

**Compliance**

BSBCOM503B Develop processes for the management of breaches in compliance requirements

**Franchising**

BSBFRA502B Manage a franchise operation

**Human Resource Management**

BSBHRM402A Recruit, select and induct staff

BSBHRM503A Manage performance management systems

BSBHRM504A Manage workforce planning

**Intellectual Property**

BSBIPR501A Manage intellectual property to protect and grow business

**Sustainability**

BSBSUS501A Develop workplace policy and procedures for sustainability

**Workplace Relations**

BSBWRK509A Manage industrial relations

**Selecting Elective Units for Different Outcomes**

The context for this qualification varies and this must guide the selection of elective units. Examples of appropriate elective units for particular outcomes follow.

**Manager, Information Services**

**5 core units** plus

**3 elective units** selected from:

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- BSBCOM503B Develop processes for the management of breaches in compliance requirements
- BSBINM501A Manage an information or knowledge management system
- BSBMGT516A Facilitate continuous improvement
- BSBRSK501A Manage risk
- PSPSEC601A Define information systems framework

### **Store Manager**

**5 core units** plus

**3 elective units** selected from:

- BSBCUS501A Manage quality customer service
- BSBHRM402A Recruit, select and induct staff
- BSBMGT516A Facilitate continuous improvement
- BSBOHS509A Ensure a safe workplace
- WRR01B Manage merchandise and store presentation

### **Employability Skills**

[Employability Skills Summary](#)

### **Classifications**

ASCO 32 BUSINESS AND ADMINISTRATION ASSOCIATE PROFESSIONALS

ASCED4 0803 Business and Management

ANZSCO 132000 BUSINESS ADMINISTRATION MANAGERS